



Audit report – RTO Delegation

ORGANISATION DETAILS

Organisation's legal name: Educational Living Pty Ltd

Trading name/s: Educational Living Pty Ltd

RTO number: 3784

CRICOS number:

AUDIT TEAM

Lead auditor: Dr S. Foster

Assistant/s:

Technical advisor/s:

AUDIT DETAILS

Audit reason: RTO Delegate audit specify or delete

Activity type: Site visit

Address of site/s visited: 1st Floor, 27-33 Wood St., Beaconsfield, VIC 3807

Date/s of audit: 9th and 10th May 2016

Organisation's contact for audit: Airlie Anderson-Weir Quality manager
quality@educationalliving.vic.edu.au 03 9769 5155

Delegation requirements audited: R1, R2, R3, R4, R5, R6

Standards / Clauses audited: 1.1, 1.2, 1.3, 1.8, 1.13, 1.14, 1.15, 1.16, 1.17, 1.18, 1.19, 1.20, 1.21, 1.22, 1.23, 1.24, 1.25, 2.4, 4.1, 5.1, 5.2, 5.3, 5.4

BACKGROUND

- The delegate was established in 1991 by Edward Stone (Director/CEO) and Lisa Brodie (Director).
- The organisation provides training and assessment services in Engineering trades from pre-apprenticeship to diploma level qualifications as well as bespoke programs for enterprise workforce development activities.
- Clients are existing workers, including apprentices and senior secondary students.
- The organisation provides VET programs in engineering to secondary schools via partnership agreements with individual schools, particularly in the Catholic Education sector.
- The RTO directs much of its training services to thin markets in regional Victoria and NSW. This is in recognition of the skill needs of regional enterprises and young people in regions, particularly where there is limited access to other training provision. The emphasis is on developing authentic pathways to work for young people.
- They provide training and assessment services to enterprise clients in other states and territories on demand.



- Training facilities are generally through trade training centres and host enterprises. Where a school does not have a trade training centre they assist the school with portable equipment or negotiate use of trade training centre facilities in other schools. The use of trade training centre facilities is extended to apprentices who do not have access to specialised equipment in their workplace.
- Services are provided through fee-for-service, apprenticeship funding and VET in Schools funding and HESG training funds.
- The organisation is currently scoping the potential for using its delegation to amend its scope of registration to include pre-vocational training in automotive studies for commencement in 2017. Planning for this amendment to scope commenced in mid-2015.

Total number of current enrolments in RTO as at audit date: 630

AUDIT SAMPLE

Code	Training products	Mode/s of delivery / assessment*	Current enrolments (If not yet on scope, record N/A)
MEM30405	Certificate III in Engineering – Electronic / Electrical Trade	Apprenticeship, face-to-face, workplace	5
MEM50105	Diploma of Engineering – Advanced Trade	Apprenticeship, face-to-face, workplace	1

*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES

Name	Position	Training products
Mr Edward Stone	CEO, Trainer/assessor	MEM50105
Ms Lisa Brodie	Director – Operations, Trainer/assessor	MEM50105
Ms Airlie Anderson-Weir	Quality manager	

ORIGINAL FINDING AT TIME OF AUDIT

Audit finding as at 13/5/2016:

Delegation requirements:	Requirements met
Standards requirements:	Compliant

- If the requirements have not been met and/or non-compliance has been identified, this audit report describes evidence of the findings.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on n/a:

Delegation requirements:	n/a
Standards requirements:	n/a



AUDIT FINDING BY REQUIREMENT

Requirements for a delegate Quality Assurance System (Delegation requirements)

Section	Original finding	Finding following rectification
R1	Requirement met	n/a
R2	Requirement met	n/a
R3	Requirement met	n/a
R4	Requirement met	n/a
R5	Requirement met	n/a
R6	Requirement met	n/a

Standards for Registered Training Organisations 2015 (the Standards)

Standard	Original finding	Finding following rectification
Standard 1	Compliant	n/a
Standard 2	Compliant	n/a
Standard 4	Compliant	n/a
Standard 5	Compliant	n/a

RATING OF AUDIT FINDING

Performance of the delegated function:	Excellent
Effectiveness of the internal review:	Excellent

ABOUT THIS REPORT

This report details findings against the 'Requirements for a delegate Quality Assurance System', as described in Schedule 2 of the Delegation Agreement; and the *Standards for Registered Training Organisations 2015*.

Requirements for a delegate Quality Assurance System

- The evidence guidance included against each requirement is designed to guide the auditor and RTO on the requirements of the requirement. The evidence guidance is not designed to limit the audit findings and there may be other factors an auditor takes into consideration when determining whether the requirements have been met.
- The '*Reasons for finding of Met / Not Met*' section of the report will document all findings including any issues that were considered in the formulation of a finding.

Standards for Registered Training Organisations 2015

- The evidence guidance included against clause is designed to guide the auditor and RTO on the requirements of the clause. The evidence guidance is not designed to limit the audit findings and there may be other factors an auditor takes into consideration when determining whether compliance has been demonstrated.
- Where evidence of non-compliance is identified, the '*Reasons for finding of non-compliance*' section of the report will document the issues that were considered in the formulation of a finding of non-compliance.



REQUIREMENTS FOR A DELEGATE QUALITY ASSURANCE SYSTEM

R 1 GENERAL

To be compliant with R 1 the RTO must meet the following:

R 1.1

The quality assurance system is defined and documented, and ensures clear delineation and accountabilities of roles and responsibilities in relation to the delegated functions.

Original finding: Requirement met

Following rectification: n/a

Evidence guidance	Y	N
The quality assurance system is defined and documented	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The quality assurance system ensures clear delineation and accountabilities of roles and responsibilities in relation to the delegated functions	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met:

Evidence supplied

- QA policy – roles in managing the delegation
- Quality policy
- Continuous improvement policy
- Operating procedure – continuous improvement
- Operating procedure – assessment validation
- Operating procedure – internal audit

The evidence demonstrated that the RTO had clearly defined policies and procedures for managing its quality assurance system.

R 1.2

The quality assurance system includes processes related to the delegated functions that ensure the effective exercise of functions, including, but not limited to processes to guide the following activities:

- a) Designing, planning, implementing, monitoring and reviewing the Delegate's performance against the delegation relevant to the VET Regulator Standards and the NVETR Act
- b) Managing staff competence
- c) Ensuring accountability and transparency
- d) Reporting obligations
- e) Managing documents and records.

Original finding: Requirement met

Following rectification: n/a

Evidence guidance	Y	N
The quality assurance system includes processes related to the delegated functions which ensures the effective exercise of functions	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Processes guide the following activities:		
• designing, planning, implementing, monitoring and reviewing the Delegate's performance against the delegation relevant to the VET Regulator Standards and the NVETR Act	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• managing staff competence	<input checked="" type="checkbox"/>	<input type="checkbox"/>



- | | | |
|--|-------------------------------------|--------------------------|
| • ensuring accountability and transparency | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • reporting obligations | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • managing documents and records | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Reasons for finding of Met:

Evidence provided:

- Continuous improvement policy
- Governance policy
- Certificate, issuing and recognition policy
- Credit transfer policy
- Records management policy
- Transition of training policy
- Operating procedures – transition of training packages / expiry of accredited courses
- Professional development policy
- QA records
- Personnel files
- Strategic planning records and minutes developed in preparation for amending scope.

The evidence provided demonstrated that the organisation has clearly defined processes to meet its obligations as a delegate including providing relevant professional development to staff, managing its reporting and compliance obligations in respect of its registration and the exercise of its delegation.

R 2 MONITORING AND INTERNAL REVIEW

To be compliant with R 2 the RTO must meet the following:

R 2.1

Internal Review of the Quality Assurance System is undertaken at least annually to evaluate the system's continuing suitability and effectiveness, to ensure that the system is effectively and consistently implemented, and to ensure adherence to the delegation Agreement.

Original finding: Requirement met

Following rectification: n/a

Evidence guidance	Y	N
An Internal Review of the Quality Assurance System has been undertaken at least annually	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Internal Review:		
• evaluated the system's continuing suitability and effectiveness	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• ensured that the system is effectively and consistently implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• ensured adherence to the delegation Agreement	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met:

- Operating procedure – Internal audit
- Internal audit report
- Continuous improvement log

The organisation conducted an internal audit of its operations against the requirements of its registration under the NVR Act and the requirements of the delegation. The organisation has not held its delegation for a full calendar year therefore, a report is yet to be submitted to ASQA. However, the requirements for managing quality assurance of its operations and the relevant NVR Standards were reviewed as components of the internal audit.



R 2.2

The Internal Review:

- a) Is sufficiently comprehensive and robust to identify strengths and weaknesses in the Quality Assurance System and its implementation.
- b) Includes consideration of evidence gained through monitoring activities.
- c) Takes into consideration a range of relevant data and sources, including internal and external stakeholder feedback.
- d) Fosters the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function.

Original finding: Requirement met

Following rectification: n/a

Evidence guidance	Y	N
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The Internal Review:

- | | | |
|---|-------------------------------------|--------------------------|
| • was sufficiently comprehensive and robust to identify strengths and weaknesses in the Quality Assurance System and its implementation | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • included consideration of evidence gained through monitoring activities | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • took into consideration a range of relevant data and sources, including internal and external stakeholder feedback | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • fostered the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Reasons for finding of Met:

- Operating procedure – Internal audit
- Internal audit report
- Continuous improvement log

The internal review was comprehensive in its coverage and explicitly identified a range of evidence that was considered and the basis of evaluation of the organisation's performance against its registration requirements. The report of the review listed clearly aspects of performance that warranted further attention by the organisation.

R 2.3

The Delegate systematically acts on, monitors and evaluates improvement opportunities arising from the Internal Review.

Original finding: Requirement met

Following rectification: n/a

Evidence guidance	Y	N
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The Delegate has systematically acted on, monitored and evaluated improvement opportunities arising from the Internal Review ☒ ☐

Reasons for finding of Met:

Evidence provided

- Continuous improvement policy
- Operating procedure – continuous improvement
- Operating procedure – Internal audit
- Internal audit report



- Continuous improvement log

The organisation's policies and procedures clearly defined the processes and responsibilities for monitoring and improving its performance. The evidence provided demonstrated that the organisation collected, analysed and acted on a range of data in order to manage its continuous improvement and quality assurance processes.

R 3 MANAGING STAFF COMPETENCE

To be compliant with R 3 the RTO must meet the following:

R 3.1

The Delegate ensures competent personnel perform the delegated functions and decisions by:

- a) Determining and monitoring the necessary competence and performance of personnel.**
- b) Where applicable, providing training or taking other actions to achieve necessary competence and performance.**
- c) Ensuring personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate's obligations.**

Original finding: Requirement met

Following rectification: n/a

Evidence guidance	Y	N	N/A
The Delegate ensures competent personnel perform the delegated functions and decisions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The Delegate determines and monitors the necessary competency and performance of personnel	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The Delegate provides training or other actions to achieve necessary competence and performance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Delegate ensures personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate's obligations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

Reasons for finding of Met:

Evidence provided

- Trainer and assessor files
- Professional development register / continuing PD log
- HR database matrix
- Records of staff meetings and internal PD presentations, including relevant to reflective practice sessions
- FAQ entries in the intranet
- Peer mentor program

The evidence reviewed described a comprehensive system of staff recruitment, management, development and appraisal. The approach taken provides a strong foundation for effective quality assurance of personnel and for ensuring that they are well prepared to operate in accordance with the obligations and requirements of the organisation's registration and delegation status.

R 4 ACCOUNTABILITY AND TRANSPARENCY

To be compliant with R 4 the RTO must meet the following:



R 4.1

The Delegate ensures accountability and transparency in relation to the delegated functions by:

- a) Demonstrating that quality assurance processes and decisions are consistently applied.
- b) Demonstrating that decisions made are evidence-based and are made in a manner consistent with the principles of natural justice and procedural fairness.
- c) Demonstrating that outcomes of the delegated functions and decisions lead to:
 - Quality training and assessment outcomes
 - Effectively managed transition arrangements, and
 - No disadvantage to students.
- d) Accurate and authorised information regarding the Delegation Agreement is made public.

Original finding: Requirement met

Following rectification: n/a

Evidence guidance	Y	N	N/A
Quality assurance processes and decisions are consistently applied	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Decisions made are evidence-based and are made in a manner consistent with the principles of natural justice and procedural fairness	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The outcomes of the delegated functions and decisions have led to:			
• Quality training and assessment outcomes that demonstrate compliance with the <i>Standards for Registered Training Organisations 2015</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• The effective management of transition arrangements as required by the <i>Standards for Registered Training Organisations 2015</i> and the General Direction – Learner Transition	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• No disadvantage to students	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accurate and authorised information regarding the Delegation Agreement is made public	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

Reasons for finding of Met:

Evidence provided

- QA policy
- Training and assessment strategies for sampled qualifications
- Assessment tools for sampled units of competency
- Student assessment files
- Website information on the RTO
- Procedure - transitions

Nb. The RTO has not exercised its delegated functions at the date of audit. However, the quality assurance processes in place provide a strong basis for managing the organisation's accountability and transparency

R 5 REPORTING OBLIGATIONS

To be compliant with R 5 the RTO must meet the following:

R 5.1

The Delegate reports regularly and within set timeframes to ensure the completeness, accuracy and currency of information on the National Register



Original finding: Requirement met

Following rectification: n/a

Evidence guidance	Y	N
The Delegate reports regularly and within set timeframes	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Information on www.training.gov.au is complete, accurate and current	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met:

Evidence provided

- Training.gov.au entry
- Quality indicators reports
- Declaration of compliance

The Delegate's registration details are complete, accurate and current.

R 5.2

The Delegate reports regularly and within set timeframes to ASQA including:

- Annually in relation to the exercise of the delegated function
- On request

Original finding: Requirement met

Following rectification: n/a

Evidence guidance	Y	N	N/A
The Delegate has reported annually in relation to the exercise of the delegated function	<input type="checkbox"/>	<input type="checkbox"/>	
The Delegate has reported any information on request of ASQA	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met:

Evidence provided

- Quality indicator reports
- Declaration of compliance

The RTO has not exercised its delegation in the period following its acceptance as a delegate. As such a report has not been provided to ASQA. However, the RTO has complied with requirements to submit data as required for annual Quality Indicators reporting, which demonstrates appropriate behaviours and systems to satisfy this requirement. The RTO has also submitted its annual declaration of compliance with the Standards for Registered Training Organisations 2015.

R 6 MANAGING DOCUMENTS AND RECORDS

To be compliant with R 6 the RTO must meet the following:

R 6.1

The Delegate ensures that documents and records relating to the delegated functions are effectively controlled and maintained.

Original finding: Requirement met

Following rectification: n/a

Evidence guidance	Y	N
The Delegate ensures that documents and records relating to the delegated functions are effectively controlled and maintained	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met:

Evidence provided



- Records management policy
- Data management policy
- Operating procedure – records management
- TGA entry
- VETtrak records
- Personnel records
- Training and assessment strategies for sampled qualifications
- Resources for sampled qualifications and units of competency
- Assessment tools for sampled units of competency
- Document controls and register and management procedures
- Student records procedures

The policies and procedures for document management clearly outline the processes for managing the currency and accuracy of documentation. These include a suite of controlled documents including for managing amendments to the Delegate's registration as appropriate to the exercise of its delegation.

The organisation has clearly defined roles and responsibilities that encompass the delegated function. It has identified staff with explicit responsibilities for managing the delegation.

R 6.2

The Delegate has a documented procedure that is consistently implemented that defines the controls for:

- a) Approval, review and updating, version status, distribution of and access to documents.**
- b) Identification, storage, protection, retrieval, retention and removal of records**

Original finding: Requirement met

Following rectification: n/a

Evidence guidance	Y	N
The Delegate has a documented procedure that defines the controls for the approval, review and updating, version status, distribution of and access to documents	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Delegate a documented procedure that defines the controls for the Identification, storage, protection, retrieval, retention and removal of records	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Delegate implements these procedures consistently	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met:

Evidence provided

- Records management policy
- Operational procedures – records management
- Document controls and register and management procedures

The document management system described clear processes for managing currency and accuracy of documentation

The organisation's records management procedure clearly outlined the processes for managing and securing its records. Documentation enabling collection of information regarding student enrolment and participation was clear and comprehensive.

The organisation had a process for managing the security of information retained in hard and soft copy.



STANDARDS FOR REGISTERED TRAINING ORGANISATIONS 2015

STANDARD 1 The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses. To be compliant with Standard 1 the RTO must meet the following:

Clause 1.1

The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
A training and assessment strategy (or strategies) was provided for each training product sampled	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy is consistent with the requirements of the training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy provides a framework to guide the learning requirements and the training and assessment arrangements of each training product – the macro level requirements of the learning and assessment process	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy has been consistently implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Clause 1.2

For the purposes of [Clause 1.1](#), the RTO determines the amount of training they provide to each learner with regard to:

- a) the existing skills, knowledge and the experience of the learner;
- b) the mode of delivery; and
- c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:		
• the existing skills, knowledge and experience of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the mode/s of delivery	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the number of units and/or modules being delivered	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.3

The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:



- a) trainers and assessors to deliver the training and assessment;
- b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
- c) learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
- d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
For all training products sampled, there are sufficient:		
• trainers and assessors	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• educational and support services to meet the needs of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• learning resources that address the requirements of all components of the relevant training product and are accessible to all learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• facilities and equipment to accommodate the number of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Consistency is evident between each strategy and the above resources	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.8

The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):

- a) complies with the assessment requirements of the relevant training package or VET accredited course; and
- b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
MEM50105 Diploma of Engineering - Advanced Trade			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MEM30012A Apply mathematical techniques in a manufacturing, engineering or related environment.			
Assessment tools consist of:			
<ul style="list-style-type: none"> • Verbal/written short answer questions - assessing relevant mathematical computation exercises, including marking guide • Observation report - re. applying mathematical techniques in a manufacturing engineering or related environment . • Third party report - supplementary evidence of on-job performance of skills. 			
MEM07016C Set and edit computer controlled machines / processes			
Assessment tools consist of:			
<ul style="list-style-type: none"> • Verbal/written assessment of underpinning knowledge • Observation / demonstration - set and edit computer controlled machines/process 			



- 3rd Party report - supplementary evidence of on-job performance

Principles of Assessment – fairness, flexibility, validity, reliability:				
MEM30012A		MEM07016C		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability
Rules of Evidence – validity, sufficiency, authenticity, currency:				
MEM30012A		MEM07016C		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
MEM30405 Certificate III in Engineering (Electronic/Electrical Trade)			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MEM14005A Plan a complete activity			



Assessment tools consist of:

- Oral / written test of underpinning knowledge. Based on planning an complete activitiy
- Observation/demonstration of planning a complete activity
- 3rd Party Report - supplementary evidence of workplace performance of skills and knowledge

MEM12023A Perform engineering measurements

Assessment tools consist of:

- Verbal / written questionning to assess underpinning knowledge of measurement tools and their application.

Principles of Assessment – fairness, flexibility, validity, reliability:

MEM14005A		MEM12023A		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

Rules of Evidence – validity, sufficiency, authenticity, currency:

MEM14005A		MEM12023A		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past



Clause 1.13

In addition to the requirements specified in [Clause 1.14](#) and [Clause 1.15](#), the RTO's training and assessment is delivered only by persons who have:

- a) vocational competencies at least to the level being delivered and assessed;
- b) current industry skills directly relevant to the training and assessment being provided; and
- c) current knowledge and skills in vocational training and learning that informs their training and assessment.

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Each trainer / assessor **must meet all** requirements for each training product being delivered:

Trainer / Assessor name	Training product code/s delivered	1.13 (a)		1.13 (b)		1.13 (c)	
		Y	N	Y	N	Y	N
Charlie Galea	MEM30405	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Mark Joseph	MEM30405	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Andrew Burnett	MEM30405	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Edward Stone	MEM50105	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Lisa Brodie	MEM50105	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Clause 1.14

The RTO's training and assessment is delivered only by persons who have:

- a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and
- ~~b) from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.~~

Original finding: Compliant

Following rectification: n/a



Evidence guidance	Y	N
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VET qualifications of trainers and assessors have been verified	<input type="checkbox"/>	<input type="checkbox"/>
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Each trainer / assessor **must meet at least one** of the following requirements:

Trainer / Assessor name	Schedule 1 Item 1		Schedule 1 Item 2		Demonstrated equivalence	
	Y	N	Y	N	Y	N
Charlie Galea	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mark Joseph	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Andrew Burnett	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Edward Stone	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lisa Brodie	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor

Schedule 1, Item 2: A Diploma or higher level qualification in adult education

Clause 1.15

Where a person conducts assessment only, the RTO ensures that the person has:

- a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1, or demonstrated equivalence of competencies; and
b) ~~from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.~~

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
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The RTO uses assessors that conduct assessment only.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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If no, clause is not audited. If yes:

Assessor name

Training product code/s delivered

Each assessor (who conducts assessment only) must meet at least one of the following requirements:

- | | | |
|---|--------------------------|--------------------------|
| • TAE40110 Certificate IV in Training and Assessment or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAE40110 (TAA40104 is equivalent) | <input type="checkbox"/> | <input type="checkbox"/> |
| • diploma or higher qualification in adult education | <input type="checkbox"/> | <input type="checkbox"/> |



• equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• TAESS00001 Assessor skill set or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• equivalent competencies to TAESS00001 Assessor skill set	<input type="checkbox"/>	<input type="checkbox"/>

Each assessor (who conducts assessment only) must meet all of the following requirements:

• vocational competencies at least to the level being delivered (actual qualification/unit not required)	<input type="checkbox"/>	<input type="checkbox"/>
• current relevant industry skills	<input type="checkbox"/>	<input type="checkbox"/>
• current vocational training and learning knowledge and skills	<input type="checkbox"/>	<input type="checkbox"/>

Clause 1.16

The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
Trainers and assessors undertake professional development in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.17

Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
People delivering training under supervision are utilised	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If no, clauses 1.17 – 1.20 are not audited, go to Clause 1.21 . If yes:		
Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14	<input checked="" type="checkbox"/>	<input type="checkbox"/>
People under supervision do not determine assessment outcomes	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.18

The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

- a) holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
- b) has vocational competencies at least to the level being delivered and assessed; and



c) has current industry skills directly relevant to the training and assessment being provided.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y

N

Graham Locke

Each individual who works under the supervision of a trainer must meet at least one of the following requirements:

- | | | |
|---|-------------------------------------|--------------------------|
| • TAESS00003 Enterprise trainer and assessor skill set or its successor | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAESS00003 | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAESS00007 Enterprise trainer – presenting skill set or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAESS00007 | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAESS00008 Enterprise trainer – mentoring skill set or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAESS00008 | <input type="checkbox"/> | <input type="checkbox"/> |

Each individual who works under the supervision of a trainer must meet all of the following requirements:

- | | | |
|--|-------------------------------------|--------------------------|
| • vocational competencies at least to the level being delivered (actual qualification/unit not required) | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • current relevant industry skills | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Clause 1.19

Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y

N

Training and assessment complies with Standard 1

☒

☐

Clause 1.20

Without limiting Clauses 1.17 - 1.19, the RTO:

a) determines and puts in place:

i) the level of the supervision required; and

ii) any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and



b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
Supervision arrangements have been identified	<input checked="" type="checkbox"/>	<input type="checkbox"/>
People delivering training under supervision have been monitored by the supervising trainer	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.21

Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment:

- a) hold the training and assessment qualification at least to the level being delivered; or**
- b) have demonstrated equivalence of competencies.**

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
A TAE qualification or skill set is included in the audit scope	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If no, clause is not audited. If yes:		

Trainer / Assessor name

Each trainer/assessor that intends to deliver TAE40110 Certificate IV in Training and Assessment or TAESS00001 Assessor skill set must meet at least one of the following eight requirements:

• TAE40110 Certificate IV in Training and Assessment or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>
• TAE50111 Diploma of Vocational Education and Training or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• equivalent competencies to TAE50111	<input type="checkbox"/>	<input type="checkbox"/>
• TAE50211 Diploma of Training Design and Development or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• equivalent competencies to TAE50211	<input type="checkbox"/>	<input type="checkbox"/>
• diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

Trainer / Assessor name

Each trainer/assessor that intends to deliver any training product from the TAE10 Training and Education Training Package (excluding TAE40110 Certificate IV in Training and Assessment and TAESS00001 Assessor skill set) must meet one of the following requirements:



- hold a TAE training product at least to the level being delivered

☐ ☐

- equivalent competencies to the above

☐ ☐

Clause 1.22

From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

Note: from 1 January 2017, the requirements set out in Clause 1.22 continue to apply to any other AQF qualification or skill set from the Training and Education Training Package (or its successor).

Not audited as clause does not commence until 1 January 2016

Clause 1.23

From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:

- a) hold the qualification specified in Item 5 of Schedule 1; or
- b) work under the supervision of a trainer that meets the requirement set out in (a) above.

Not audited as clause does not commence until 1 January 2017

Clause 1.24

The RTO must ensure that any individual working under supervision under Clause 1.23.b) holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes.

Not audited as clause does not commence until 1 January 2017

Clause 1.25

From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).

Not audited as clause does not commence until 1 January 2016

STANDARD 2

The operations of the RTO are quality assured.

To be compliant with Standard 2 the RTO must meet the following:

**Clause 2.4**

The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Strategies have been developed to systematically monitor third party arrangements to ensure services comply with these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The above strategies have been implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

STANDARD 4

Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.

To be compliant with Standard 4 the RTO must meet the following:

Clause 4.1

Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

- a) accurately represents the services it provides and the training products on its scope of registration;
- b) includes its RTO Code;
- c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;
- d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
- e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
- f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;
- g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;
- h) includes the code and title of any training product, as published on the National Register, referred to in that information;
- i) only advertises or markets a non-current training product while it remains on the RTO's scope of registration;
- j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;
- k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and
- l) does not guarantee that:
 - i) a learner will successfully complete a training product on its scope of registration; or
 - ii) a training product can be completed in a manner which does not meet the requirements of [Clause 1.1](#) and [1.2](#); or
 - iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

Original finding: Compliant

Following rectification: n/a



Evidence guidance	Y	N	N/A
Advertising and marketing:			
• is accurate and factual	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• accurately represents the services provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• accurately represents the RTO scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• includes the RTO code	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• only refers to a person or organisation with their consent	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• identifies where a third party is recruiting prospective learners on behalf of the RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• identifies where training and assessment is being provided on behalf of another RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• identifies where training and assessment is being provided by a third party	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• distinguishes between national recognised training and other training	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• includes the code and title of each training product as per www.training.gov.au	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• includes accurate information about licensed or regulated outcomes	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• includes details about financial support provided, including VET FEE-HELP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• includes details about relevant government funding subsidies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does not guarantee that a learner:			
• will successfully complete a training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• can complete a training product in a manner not compliant with Clauses 1.1 or 1.2	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• will obtain a particular employment outcome unless this is in the control of the RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

STANDARD 5 Each learner is properly informed and protected.
To be compliant with Standard 5 the RTO must meet the following:

Clause 5.1

Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
Information is provided to prospective learners, prior to enrolment or commencement of training or assessment whichever comes first, about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and	<input checked="" type="checkbox"/>	<input type="checkbox"/>



competencies

Clause 5.2

Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

- a) the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;
- b) the training and assessment, and related educational and support services the RTO will provide to the learner including the:
 - i) estimated duration;
 - ii) expected locations at which it will be provided;
 - iii) expected modes of delivery;
 - iv) name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf; and
 - v) any work placement arrangements.
- c) the RTO's obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.
- d) the learner's rights, including:
 - i) details of the RTO's complaints and appeals process required by [Standard 6](#); and
 - ii) if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in;
- e) the learner's obligations:
 - i) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;
 - ii) any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and
 - iii) any materials and equipment that the learner must provide; and
- f) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Prior to enrolment or commencement, written information is provided on the following:			
• code and title of the training product as per www.training.gov.au	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• currency of the training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• estimated duration of training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• location/s where training and/or assessment will be provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• mode/s of delivery	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• name and contact details of any third party providing services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• work placement arrangements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• confirmation that the RTO is responsible for compliance of training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• confirmation that the RTO is responsible for issuance of AQF certification documentation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	



- details of the RTO complaints and appeals processes (also refer [Clauses 6.1 – 6.4](#)) ☒ ☐

• the learner's rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• the learner's obligation to repay any VET FEE-HELP debt	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• any entry requirements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• any materials and equipment the learner must provide	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Clause 5.3

Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

- all relevant fee information including:
 - fees that must be paid to the RTO; and
 - payment terms and conditions including deposits and refunds;
- the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;
- the learner's right to obtain a refund for services not provided by the RTO in the event the:
 - arrangement is terminated early; or
 - the RTO fails to provide the agreed services.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Fees are collected from individual learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
If no, clause is not audited. If yes:			
Written information is provided on the following, prior to enrolment or commencement:			
• all fees that must be paid	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• payment terms and conditions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• refund terms and conditions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• the learner's statutory right to a cooling-off period	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Clause 5.4

Where there are any changes to agreed services, the RTO advises the learner as soon as practicable, including in relation to any new third party arrangements or a change in ownership or changes to existing third party arrangements.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Learners are advised of any changes to agreed services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>