#### Audit Report

**RTO Code – RTO Name**

####

#### Report on compliance with the Standards for Registered Training Organisations (RTOs) 2015

Prepared by: Auditor Name

Date

**Notes about this audit tool:**

* This audit tool has been developed by Newbery Consulting and made available as a free download in support of the VET sector (because that’s what we do).
* We have produced this audit tool to provide RTOs a useful tool that can be customised and which provides audit criteria which can be easily interpreted and go to the core of each standard.
* You are encouraged to customise this audit tool, we only request that you leave the
“© Newbery Consulting – 2015” notice in the footer of the document as a recognition of the original work.
* This audit tool has deliberately omitted clauses that do not relate to most RTOs or which are not yet applicable. If you are a private RTO that does not deliver TAE qualifications or utilise trainers / assessors under supervision, then this tool is perfect for you. We will add other clauses as needed.
* Newbery Consulting recommends that this tool be used to conduct internal compliance audits with the Standards for Registered Training Organisations (RTOs) 2015 and only by a person who is a qualified auditor and experienced in VET Quality Framework compliance.
* Newbery Consulting does not accept any liability in connection with the use of this audit tool.
* This audit tool should be used in conjunction with the actual [Standards for Registered Training Organisations (RTOs) 2015](https://www.comlaw.gov.au/Details/F2014L01377)
* Feedback is always welcome. Please send to enquiries@newberyconsulting.com.au

**Joe Newbery**

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| **FOCUS OF AUDIT**  |
| **Code** | **Title** | **Mode(s) of delivery** | **Delivery site(s)** |
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| **PERSONS INTERVIEWED** |
| **Name** | **Position** | **Comment** |
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| **BACKGROUND** |
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| **AUDIT OUTCOME BY STANDARD** |
| **Standard** | **Outcome** | **Clauses** |
| Standard 1 | Choose an item. |  |
| Standard 2 | Choose an item. |  |
| Standard 3 | Choose an item. |  |
| Standard 4 | Choose an item. |  |
| Standard 5 | Choose an item. |  |
| Standard 6 | Choose an item. |  |
| Standard 7 | Choose an item. |  |
| Standard 8 | Choose an item. |  |

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| **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.**  |

 |
| **Training and Assessment Strategies** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
| **Training Product:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **The training and assessment strategy:** | **Yes** | **No** | **N/A** | **Comments:** |
| Is available for each item sampled in the audit | [ ]  | [ ]  | [ ]  |  |
| Identifies a specific learner cohort and their needs and entry level | [ ]  | [ ]  | [ ]  |
| Identifies a specific mode of delivery and this aligns with the units of competency being delivered | [ ]  | [ ]  | [ ]  |
| Identifies the amount of training to be provided and this aligns with the number of units of competency being delivered | [ ]  | [ ]  | [ ]  |
| Identifies the planned learning and assessment activities at the macro level | [ ]  | [ ]  | [ ]  |
| Details the sequence and structure of the learning and assessment activities | [ ]  | [ ]  | [ ]  |
| Reflects the current delivery arrangements at the time of the audit | [ ]  | [ ]  | [ ]  |
| Details relevant industry and/or licensing requirements | [ ]  | [ ]  | [ ]  |
| Details the human and physical resources required to support the delivery | [ ]  | [ ]  | [ ]  |
| Aligns with the requirements of the relevant training package and the lessons learned through industry engagement | [ ]  | [ ]  | [ ]  |

*Copy and paste additional tables as needed* |

**Rectification:**
In order to become compliant, the organisation is to:

* Provide
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| **1.2**  | **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.** |

 |
| **Individual Learning Pathway** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
| **Training Product:**

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| --- | --- | --- | --- |
| **The organisation:** | **Yes** | **No** | **Comments:** |
| Applies a process or has arrangements to engage with learners prior to their commencement to determine their existing skills and knowledge, their prior learning and current competence and how this should influence their individual learning pathway. | [ ]  | [ ]  |  |
| The amount of training to be provided or being provided is consistent with: |  |  |
| * The existing skills, knowledge and experience of each learner
 | [ ]  | [ ]  |
| * The mode/s of delivery allocated to each individual learner
 | [ ]  | [ ]  |
| * The number of units and/or modules being delivered to each individual learner
 | [ ]  | [ ]  |

*Copy and paste additional tables as needed* |

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| **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.** |

 |
| **Training and Assessment Resourcing** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
| **Training Product:**

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| --- | --- | --- | --- |
| **For all training products sampled, there are sufficient:** | **Yes** | **No** | **Comments:** |
| Trainers and assessors to accommodate the number of learners | [ ]  | [ ]  |  |
| Educational and support services to meet the needs of learners | [ ]  | [ ]  |
| Learning resources consistent with the training package and are accessible to all learners | [ ]  | [ ]  |
| Facilities and equipment to accommodate the number of learners | [ ]  | [ ]  |
| Resources consistent with the training and assessment strategy | [ ]  | [ ]  |

*Copy and paste additional tables as needed* |

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| **1.4**  | **The RTO meets all requirements specified in the relevant training package or VET accredited course.** |

 |
| **Training Package Alignment** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
| **Training Product:**

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| --- | --- | --- | --- | --- |
| **For each training product sampled, the current delivery arrangements align with:** | **Yes** | **No** | **N/A** | **Comments:** |
| The qualification packaging rules | [ ]  | [ ]  | [ ]  |  |
| Entry requirements | [ ]  | [ ]  | [ ]  |
| Prerequisite requirements | [ ]  | [ ]  | [ ]  |
| Licensing / regulatory requirements | [ ]  | [ ]  | [ ]  |
| Assessment requirements (ref clause 1.8) | [ ]  | [ ]  | [ ]  |
| Correct codes and titles | [ ]  | [ ]  | [ ]  |
| Consistent with scope of registration | [ ]  | [ ]  | [ ]  |

*Copy and paste additional tables as needed* |

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| **1.5****1.6**  | **The RTO’s training and assessment practices are relevant to the needs of industry and informed by industry engagement.****The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of: a) its training and assessment strategies, practices and resources; and b) the current industry skills of its trainers and assessors.** |

 |
| **Industry Engagement**  | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
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| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Has a documented strategy to systematically engage with industry using a range of strategies | [ ]  | [ ]  |  |  |
| Can provide evidence of applied industry engagement strategies to ensure: |  |  |  |
| * The selected units of competency align with industry requirements
 | [ ]  | [ ]  | [ ]  |
| * The assessment tasks being applied reflect the tasks performed in industry
 | [ ]  | [ ]  |  |
| * The learning content being applied is consistent with industry requirements
 | [ ]  | [ ]  |  |
| * The mode and sequence of delivery is consistent with the needs of industry
 | [ ]  | [ ]  |  |
| * The resources and equipment used are consistent with industry requirements
 | [ ]  | [ ]  |  |
| * That trainers and assessors hold current industry skills and knowledge
 | [ ]  | [ ]  |  |
| Applies a strategy to systematically identify and act on opportunities for improvement resulting from industry engagement | [ ]  | [ ]  |  |

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| **1.7**  | **The RTO determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses.** |

 |
| **Education Support Services** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
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| **The organisation:** | **Yes** | **No** | **Comments:** |
| Engages with learners during the enrolment process to identify their support needs | [ ]  | [ ]  |  |
| Has documented education support arrangements to meet the needs of individual learners | [ ]  | [ ]  |
| Identifies a broad range of education support services to meet the needs of individual learners | [ ]  | [ ]  |
| Can provide examples of how education support services have been provided to individual learners | [ ]  | [ ]  |

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| **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 and the Rules of Evidence.** |

 |
| **Assessment** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
| **Training Product:**

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| --- | --- | --- | --- |
| **For each training product, the assessment:** | **Yes** | **No** | **Comments:** |
| Assessed the tasks inherent within the elements of competency and the performance criteria | [ ]  | [ ]  |  |
| Assessed the knowledge requirement identified within the unit of competency | [ ]  | [ ]  |
| Assessed the performance / skills requirement within the unit of competency | [ ]  | [ ]  |
| Assessment was conducted in accordance with the required assessment conditions  | [ ]  | [ ]  |
| Was verifiable using retained evidence in accordance with record retention requirements | [ ]  | [ ]  |
| The assessment process and documentation is consistent with the **principles of assessment**:  |  |  |
| * Fairness - Clear instructions / briefings, suitable resourcing and time allocation
 | [ ]  | [ ]  |
| * Flexibility - Allows for individual needs
 | [ ]  | [ ]  |
| * Reliability - Uses criteria or benchmarking to define the acceptable level of performance
 | [ ]  | [ ]  |
| * Validity - Assessment tasks align with the unit of competency being assessed and the workplace
 | [ ]  | [ ]  |
| The assessment evidence to be / being collected supports the **rules of evidence**:  |  |  |
| * Validity - Evidence aligns with the task being assessed and the unit of competency
 | [ ]  | [ ]  |
| * Sufficiency - Uses a range of assessment methods / confirms consistent performance
 | [ ]  | [ ]  |
| * Authenticity - Is based on the learners own performance and can be verified
 | [ ]  | [ ]  |
| * Currency – Evidence is collected at the time of the assessment or is based on the recent past
 | [ ]  | [ ]  |

*Copy and paste additional tables as needed* |

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| **1.9****1.10****1.11**  | **The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that details: a) when assessment validation will occur; b) which training products will be validated; c) who will lead and participate in validation; and d) how the outcomes will be documented and acted upon.****Each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle.****Systematic validation is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have: a) vocational competencies and currency; b) current knowledge and skills in vocational teaching and learning; and c) the required training and assessment qualification.** |

 |
| **Assessment Validation** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
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| **The organisation:** | **Yes** | **No** | **Comments:** |
| Is applying a suitable method for assessment validation that involves checking that the assessment tool/s produce/s valid, reliable, sufficient, current and authentic evidence | [ ]  | [ ]  |  |
| Has a documented strategy for the conduct of its assessment validation that details the training product, date and persons involved  | [ ]  | [ ]  |
| Meets the requirements to validate all training products on the scope of registration within five years and 50% within the first three years | [ ]  | [ ]  |
| Undertakes assessment validation using a statistically valid sample of the total assessments completed over a chosen period | [ ]  | [ ]  |
| Persons contributing to assessment validation collectively: |  |  |
| * have the vocational competencies and current industry skills relevant to the assessment being validated
 | [ ]  | [ ]  |
| * can demonstrate current knowledge and skills in vocational teaching and learning
 | [ ]  | [ ]  |
| * hold the training and assessment qualification or assessor skill set
 | [ ]  | [ ]  |
| Persons leading assessment validation have not been involved in the particular instance of the delivery relating to the training product being validated | [ ]  | [ ]  |
| Retains records relating to assessment validation including the competency and currency of person/people leading and participating in the validation activities, the sampling method, the training products sampled, the validation record, and the validation outcomes | [ ]  | [ ]  |
| Applies arrangements to systematically identify and act on opportunities for improvement that result from assessment validation | [ ]  | [ ]  |

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| **1.12** | **The RTO offers recognition of prior learning to individual learners** |

 |
| **Recognition of Prior Learning** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
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| **The organisation:** | **Yes** | **No** | **Comments:** |
| Systematically offers RPL to individual learners during their enrolment process | [ ]  | [ ]  |  |
| Has suitable RPL assessment tools for each training product that meet the requirements of the relevant training package / accredited course | [ ]  | [ ]  |

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| **1.13****1.14****1.16** | **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.****The RTO’s training and assessment is delivered only by persons who have the training and assessment qualification (refer to schedule 1)****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.** |

 |
| **Trainer/Assessor Competency** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
| **Trainer / Assessor:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Trainer and Assessor has:** | **Yes** | **No** | **Comments:** |
| The vocational competencies at least to the level being delivered and assessed | [ ]  | [ ]  |  |
| A minimum of the TAE40110 Certificate IV in Training and Assessment or a diploma or higher level qualification in adult education | [ ]  | [ ]  |
| Verified or certified qualifications or certificates on file to demonstrate their competency | [ ]  | [ ]  |
| Sufficient evidence of their current industry knowledge and skills | [ ]  | [ ]  |
| Sufficient evidence of vocational training knowledge and skills | [ ]  | [ ]  |
| Sufficient evidence of professional development in vocational education and training | [ ]  | [ ]  |

*Copy and paste additional tables as needed* |

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| **1.26****1.27** | **The RTO ensures that:** **a) learners enrolled in superseded training products which have been replaced are completed within a period of one year;****b) learners enrolled in superseded training products which are not replaced are completed within a period of two years;****c) learners enrolled in superseded skill set, unit of competency, accredited short course or module which are not replaced are completed within a period of one year;****d) a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.****Where a training package requires the delivery of a superseded unit of competency the requirement specified in clause 1.26 does not apply.** |

 |
| **Training Package Transition** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
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| --- | --- | --- | --- | --- |
| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Complies with transition requirements in response to a superseded training product | [ ]  | [ ]  | [ ]  |  |
| Complies with transition requirements in response to removed or deleted training product | [ ]  | [ ]  | [ ]  |
| Engages with each learner about their transition and individual circumstances | [ ]  | [ ]  | [ ]  |
| Has applied suitable strategies to transition equivalent and non-equivalent units of competency where applicable | [ ]  | [ ]  | [ ]  |
| Does not commence learners in training products that have been removed or deleted | [ ]  | [ ]  | [ ]  |
| Has complied with training package qualification rules where superseded units remain as imported within the qualification | [ ]  | [ ]  | [ ]  |

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| **2.1** | **The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.**  |

 |
| **Overall Compliance / Quality Assurance** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
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| **The organisation:** | **Yes** | **No** | **Comments:** |
| Is compliant with the clauses sampled across all operations within its scope of registration | [ ]  | [ ]  |  |

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| **2.2** | **The RTO:** **a) systematically monitors the RTO’s training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and** **b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO’s training and assessment strategies and practices.**  |

 |
| **Continuous Improvement** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
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| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Applies systematic arrangements to monitor and ensure the ongoing compliance of training and assessment strategies and practices  | [ ]  | [ ]  | [ ]  |  |
| Collects and analyses the following information to monitor the quality of training and assessment strategies and practices : |  |  |  |
| * Activity data (AVETMISS)
 | [ ]  | [ ]  | [ ]  |
| * Quality indicator data
 | [ ]  | [ ]  | [ ]  |
| * Validation outcomes
 | [ ]  | [ ]  | [ ]  |
| * Client feedback
 | [ ]  | [ ]  | [ ]  |
| * Trainer and assessor feedback
 | [ ]  | [ ]  | [ ]  |
| * Complaints and appeals
 | [ ]  | [ ]  | [ ]  |
| Can demonstrate how its improvement activities have been informed by monitoring outcomes | [ ]  | [ ]  | [ ]  |

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| **2.3****2.4** | **The RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.****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.** |

 |
| **Third Party Compliance** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
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| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Has a written agreement for any third party service providers | [ ]  | [ ]  | [ ]  |  |
| Includes in the written agreement sufficient monitoring arrangements consistent with the nature of the services being provided | [ ]  | [ ]  | [ ]  |
| Applies sufficient strategies and resources to systematically monitor any services delivered on its behalf | [ ]  | [ ]  | [ ]  |
| Can provide sufficient evidence of systematic monitoring consistent with the nature of the services being provided | [ ]  | [ ]  | [ ]  |

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| **3.1****3.2****3.3****3.4** | **The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.****All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.****AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete, and providing all agreed fees the learner owes to the RTO have been paid.****Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.** |

 |
| **AQF Certification** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
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| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Only issues AQF certification documentation to learners who have been assessed as meeting the requirements of the training product. What controls are in place? | [ ]  | [ ]  | [ ]  |  |
| Issues AQF certificates that comply with the requirements specified within Schedule 5 of the Standards For Registered Training Organisations | [ ]  | [ ]  | [ ]  |
| Maintains and can produce a register of all qualifications and statements of attainments it has issued | [ ]  | [ ]  | [ ]  |
| Issues AQF certification documentation within 30 days of all requirements being met | [ ]  | [ ]  | [ ]  |
| Retains records of qualifications and statements of attainment it has issued for a period of 30 years | [ ]  | [ ]  | [ ]  |
| Provides access to records of qualifications and statements of attainment to current and past learners | [ ]  | [ ]  | [ ]  |

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| **3.5** | **The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by: a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or b) authenticated VET transcripts issued by the Registrar.** |

 |
| **Credit Transfer** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
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| **The organisation:** | **Yes** | **No** | **Comments:** |
| Informs learners of the opportunity and steps to seek credit for units of competency they have been previously awarded | [ ]  | [ ]  |  |
| Authenticates evidence used by learners to substantiate units of competency previously issued | [ ]  | [ ]  |
| Establishes the valid equivalence of a unit of competency when credit is being sought and the unit codes are different | [ ]  | [ ]  |
| Recognises that outcomes issued by any other RTO | [ ]  | [ ]  |

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| **3.6** | **The RTO meets the requirements of the Student Identifier scheme, including: a) verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose; b) ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014; c) ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar; and d) ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.** |

 |
| **Unique Student Identifier** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
|

|  |  |  |  |
| --- | --- | --- | --- |
| **The organisation:** | **Yes** | **No** | **Comments:** |
| Applies arrangements to collect the Student Identifier from the student or create it on their behalf (with their permission) | [ ]  | [ ]  |  |
| Verifies Student Identifiers before being used to issue an AQF certificate | [ ]  | [ ]  |
| Has not issued AQF certificates without a verified Student Identifier (unless an exemption applies) | [ ]  | [ ]  |
| Informs learners (where an exemption applies) that results will not be included in the USI system | [ ]  | [ ]  |
| Applies arrangements to ensure the privacy and security of Student Identifiers and related records | [ ]  | [ ]  |
| Is not retaining identity records used to create a Student Identifier after it has been created | [ ]  | [ ]  |

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**Rectification:**
In order to become compliant, the organisation is to:

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| **4.1** | **Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.** |

 |
| **Marketing Practices** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
|

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Accurately represents its scope of registration | [ ]  | [ ]  | [ ]  |  |
| Accurately represents the services to be or being provided | [ ]  | [ ]  | [ ]  |
| Provides accurate and factual advertising and marketing content | [ ]  | [ ]  | [ ]  |
| Includes its RTO Code in any marketing material | [ ]  | [ ]  | [ ]  |
| Only refers to another person or organisation with their written consent | [ ]  | [ ]  | [ ]  |
| Uses the NRT Logo only in accordance with the conditions of use  | [ ]  | [ ]  | [ ]  |
| Declares where a third party is recruiting prospective learners | [ ]  | [ ]  | [ ]  |
| Declares where it is delivering services on behalf of another RTO  | [ ]  | [ ]  | [ ]  |
| Declares where services are being delivered on its behalf by a third part | [ ]  | [ ]  | [ ]  |
| Distinguishes between nationally recognised and non-accredited training | [ ]  | [ ]  | [ ]  |
| Includes the code and title of any training product in its marketing | [ ]  | [ ]  | [ ]  |
| Only advertises a non-current training product while it remains on its scope | [ ]  | [ ]  | [ ]  |
| Only advertises a licensed or regulated outcome where this is verifiable | [ ]  | [ ]  | [ ]  |
| Includes details about government funded subsidies and entitlements | [ ]  | [ ]  | [ ]  |
| Does not provide any guarantees associated with the training services | [ ]  | [ ]  | [ ]  |

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**Rectification:**
In order to become compliant, the organisation is to:

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* Provide

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| **5.1****5.2** | **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.****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** |

 |
| **Pre-enrolment Information** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
|

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Provides information prior to enrolment or the commencement of training and assessment  | [ ]  | [ ]  | [ ]  |  |
| Provides advice to prospective learners’ about the training product appropriate to meeting the learner’s needs | [ ]  | [ ]  | [ ]  |
| Includes the following information: |  |  |  |
| * the code, title of the training product
 | [ ]  | [ ]  | [ ]  |
| * the estimated duration
 | [ ]  | [ ]  | [ ]  |
| * the location of service delivery
 | [ ]  | [ ]  | [ ]  |
| * the mode of training delivery
 | [ ]  | [ ]  | [ ]  |
| * work placement arrangements
 | [ ]  | [ ]  | [ ]  |
| * government subsidy obligations
 | [ ]  | [ ]  | [ ]  |
| * VET FEE HELP obligations
 | [ ]  | [ ]  | [ ]  |
| * entry requirements
 | [ ]  | [ ]  | [ ]  |
| * training / assessment requirements
 | [ ]  | [ ]  | [ ]  |
| * materials the learner must provide
 | [ ]  | [ ]  | [ ]  |
| * complaints and appeals processes
 | [ ]  | [ ]  | [ ]  |
| * details third parties
 |  |  |  |
| * learner’s rights if the agreed services are not delivered
 | [ ]  | [ ]  | [ ]  |
| * responsibility for the quality of the training and assessment and for the issuance of the AQF certificates
 | [ ]  | [ ]  | [ ]  |

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**Rectification:**
In order to become compliant, the organisation is to:

* Provide
* Provide

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| **5.3****5.4** | **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: a) all relevant fee information including: i) fees that must be paid to the RTO; and ii) payment terms and conditions including deposits and refunds; b) the learner’s rights as a consumer, including but not limited to any statutory cooling-off period, if one applies; c) the learner’s right to obtain a refund for services not provided by the RTO in the event the: i) arrangement is terminated early; or ii) the RTO fails to provide the agreed services.** **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.** |

 |
| **Fee Information** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
|

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Collects fees from individual learners*If no, this standard is not audited* | [ ]  | [ ]  | [ ]  |  |
| Includes the following fee information: |  |  |  |
| * the total fees
 | [ ]  | [ ]  | [ ]  |
| * other fees and charges
 | [ ]  | [ ]  | [ ]  |
| * payment terms and conditions
 | [ ]  | [ ]  | [ ]  |
| * refund terms and conditions
 | [ ]  | [ ]  | [ ]  |
| * right to a cooling off period
 | [ ]  | [ ]  | [ ]  |
| Advises learners of changes to agreed services as soon as practicable | [ ]  | [ ]  | [ ]  |

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**Rectification:**
In order to become compliant, the organisation is to:

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| **6.1****6.2****6.3** | **The RTO has a complaints policy to manage and respond to allegations involving the conduct of its trainers, assessors; other staff; third parties or a learner of the RTO.****The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO’s behalf.****The RTO’s complaints policy and appeals policy ensure the principles of natural justice and procedural fairness; are publicly available; explain the procedure for making a complaint or appeal; ensure complaints and appeals are acknowledged in writing; finalised as soon as practicable and provide for review by an independent party**  |

 |
| **Complaints and Appeals** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
|

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Has a policy developed to respond to complaints and appeals that: |  |  |  |  |
| * may involve the conduct of its trainers, assessors; other staff; third parties or a learner of the RTO
 | [ ]  | [ ]  | [ ]  |
| * include procedure for submitting a complaint
 | [ ]  | [ ]  | [ ]  |
| * include procedure for requesting a review of a decision made by the RTO
 | [ ]  | [ ]  | [ ]  |
| * requires acknowledgement of complaints and appeals in writing
 | [ ]  | [ ]  | [ ]  |
| * details arrangements for seeking an independent third party review
 | [ ]  | [ ]  | [ ]  |
| * adopts the principles of natural justice and procedural fairness
 | [ ]  | [ ]  | [ ]  |
| * are available to the public
 | [ ]  | [ ]  | [ ]  |
| * promotes the finalisation of complaints and appeals as soon as practicable
 | [ ]  | [ ]  | [ ]  |

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**Rectification:**
In order to become compliant, the organisation is to:

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* Provide

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| **6.4****6.5****6.6** | **Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required and regularly updates the complainant or appellant on the progress of the matter.****The RTO securely maintains records of all complaints and appeals and their outcomes and identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.****The RTO has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.** |

 |
| **Complaints and Appeals (Cont)** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
|

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Advises a person making a complaint or appeal in writing for the reasons why more than 60 days is required  | [ ]  | [ ]  | [ ]  |  |
| Provides regular updates to a person making a complaint or an appeal where more than 60 days is required | [ ]  | [ ]  | [ ]  |
| Securely maintains records of complaints or appeals | [ ]  | [ ]  | [ ]  |
| Identifies the causes of complaints and/or appeals and takes corrective action | [ ]  | [ ]  | [ ]  |
| Applies a policy to respond to complaints and appeals that is sufficiently broad to cover the services it provides including employees, contractors, third parties, regulators, industry and learners | [ ]  | [ ]  | [ ]  |

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**Rectification:**
In order to become compliant, the organisation is to:

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| **7.3****7.4** | **Where the RTO requires, either directly or through a third party, a prospective or current learner to prepay fees in excess of a total of $1500 (being the threshold prepaid fee amount), the RTO must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.****The RTO holds public liability insurance that covers the scope of its operations throughout its registration period.** |

 |
| **Fee Protection and PL Insurance** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
| Please note that this standard is not applicable to government entities and universities which are also an RTO.

|  |  |  |  |  |
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| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Applies the following fee protection mechanism: |  |  |  |  |
| * Limits the fees collected from individual learners prior to their commencement to less than $1,500,

or | [ ]  | [ ]  | [ ]  |
| * Holds an unconditional financial guarantee from a bank operating in Australia

or | [ ]  | [ ]  | [ ]  |
| * Holds current membership of a Tuition Assurance Scheme approved by ASQA

or | [ ]  | [ ]  | [ ]  |
| * Has approval or another fee protection measure approved by ASQA
 | [ ]  | [ ]  | [ ]  |
| Holds a current policy for public liability insurance that covers training and assessment activities | [ ]  | [ ]  | [ ]  |

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**Rectification:**
In order to become compliant, the organisation is to:

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| **8.1** | **The RTO cooperates with the VET Regulator: a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO’s registration; b) in the conduct of audits and the monitoring of its operations; c) by providing quality/performance indicator data; d) by providing information about substantial changes to its operations or any event that would significantly affect the RTO’s ability to comply with these standards within 90 calendar days of the change occurring; e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and f) in the retention, archiving, retrieval and transfer of records.** |

 |
| **Cooperating with the NVR** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
|

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Provides accurate and complete responses to requests for information by ASQA | [ ]  | [ ]  | [ ]  |  |
| Cooperates during regulatory audits and makes information available on request | [ ]  | [ ]  | [ ]  |
| Complies with mandatory reporting requirements including Total VET Activity data reporting and Quality Indicator reporting | [ ]  | [ ]  | [ ]  |
| Provides information about substantial changes to its operations or significant changes to its ownership or any event that would significantly affect the RTO’s ability to comply with these standards within 90 days of the change occurring | [ ]  | [ ]  | [ ]  |
| Complies with retention, archiving, retrieval and transfer of records requirements | [ ]  | [ ]  | [ ]  |

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**Rectification:**
In order to become compliant, the organisation is to:

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| **8.2** | **The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator: a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and b) in the conduct of audits and the monitoring of its operations.** |

 |
| **Third Party Governance** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
|

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **The organisation:** | **Yes** | **No** | **N/A** | **Comments:** |
| Has current third party arrangements in place for delivery of services.If no, clause is not audited. If yes: | [ ]  | [ ]  | [ ]  |  |
| Has written agreements which include a clause requiring that third parties co-operate with ASQA in:* Providing accurate and factual responses to information requests from ASQA relevant to the delivery of services
* In the conduct of audits and the monitoring of its operations
 | [ ]  | [ ]  | [ ]  |

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**Rectification:**
In order to become compliant, the organisation is to:

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| **8.5****8.6** | **The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.****The RTO ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.** |

 |
| **Legislative / Regulatory Induction** | **Result** | **✓** | **Result** | **✓** |
| Compliant |  | Not applicable |  |
| Non-compliant |  | Improvement  |  |
|

|  |  |  |  |
| --- | --- | --- | --- |
| **The organisation:** | **Yes** | **No** | **Comments:** |
| Can provide evidence of how it complies with legislation and regulatory requirements relevant to its operations, including:* Work Health and Safety legislation
* Privacy protection legislation
* Student Identifiers legislation
* National VET Regulator legislation
 | [ ]  | [ ]  |  |
| Implements arrangements to ensure that staff and learners are informed of their legislative and regulatory obligations | [ ]  | [ ]  |
| Provides evidence that staff are informed of their legislative and regulatory obligations | [ ]  | [ ]  |
| Provides evidence that learners are informed of their legislative and regulatory obligations | [ ]  | [ ]  |

 |

**Rectification:**
In order to become compliant, the organisation is to:

* Provide
* Provide