

Audit Guide – Clause 3.1	
3.1 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.	
<p>What is this clauses about: This clause is about ensuring that you have suitable controls or mechanisms to ensure that assessments which are not conducted properly or are insufficiently recorded, not signed, etc are captured before they are entered into the student management system and relied on for the issuance of any nationally recognised outcomes. Every record of assessment that the RTO receives should be channeled through administration area where it is reviewed for its completeness and detail. If the record is not accurate or sufficiently detailed, it should be returned to the assessor for additional work before it is accepted. I frequently remind clients that if these records get through administration and into the learner file, the next person to see that record will be an auditor. <u>Do not</u> allow trainers to input assessment results into the student management system.</p> <p>As a consequence of the requirements of this clause, the accuracy of your assessment records also becomes relevant. It is critical that your assessment evidence is sufficiently detailed and accurate and the information such as the assessment date entered into the student management system corresponds with the hard copy record. Do not allow your student management system to default to the date the result was entered. Your administrative staff should correct this and ensure that the date entered is the date of assessment that appears on the hard copy record.</p>	
<p>Evidence to prepare:</p> <p>Evidence of how the organisation ensures that its AQF certificates are only issued to persons who have been validly assessed as competent. This may include:</p> <ul style="list-style-type: none"> – Evidence that assessment decisions are recorded properly and signed for by a qualified trainer assessor – Evidence of a quality review of assessment records as they are received to ensure they have been properly completed with the correct learner details, course details, sufficient assessment evidence and are signed 	<p>You must be able to demonstrate that:</p> <ul style="list-style-type: none"> – You haven't suitable controls to ensure that only valid assessments which are properly recorded are accepted by the organisation before they are entered into a student management system – The details recorded within your student management system are in alignment with the retained student assessment items which verify assessment decisions. <p>You should prepare for these types of questions:</p> <ul style="list-style-type: none"> – What arrangements do you apply to prevent assessments which are not properly completed from being accepted for the issuance of a unit of competency? – Can you provide me the following student records please and can we get access to these student's outcomes in your student management system?

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<ul style="list-style-type: none">– Evidence that outcomes are correctly entered into a student management system with the relevant details including the date of the assessment decision	<ul style="list-style-type: none">– For this student, I need to see the assessment decision record relating to the 3 assessment tasks identified within your assessment plan and the record of where the student was signed off as competent. I would like to now check this assessment date within the student management system.

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