

Audit Guide – Clause 5.1	
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.	
<p>What is this clause about: This clause is about consumer protection. You are a service provider and the learner is a consumer. When you consider this clause, you need to do so in conjunction with the requirements of Australian Consumer Law. I absolutely recommend that all RTO chief executives and managers become familiar with the information contained at the Australian Consumer Law website (click).</p> <p>This clause requires that the RTO take active steps to engage with the prospective learner to inform them very clearly about the services being provided and to ensure that the RTO has determined the learner’s needs and directed them to a course that is suitable to meet their needs. RTO’s should think of this requirement as a mini training needs analysis of the learner. The RTO should have specified enrolment procedures that detail the process to channel prospective learners through an engagement process and information pathway to ensure their needs are identified and they are provided with detailed and accurate information to inform their decisions about enrolment. It may be the case that once the RTO has determined the learner’s needs, the RTO may conclude that they do not have the services to meet the specific learner requirements. In this case, it is a valid outcome to refer the prospective learner to another RTO. RTO's should not enroll a learner into a course for their own benefit where it is not consistent with the learners training needs. I know that’s an obvious statement, but you would be amazed!</p>	
<p>Evidence to prepare:</p> <ul style="list-style-type: none"> – Details of the RTO’s enrolment procedure including policy or forms used to quality assure the process. – Access to the learner records where learner engagement may be verified and training needs are recorded. – Evidence of the arrangements to engage with learners prior to their enrolment and to provide accurate and detailed information about the services being offered. 	<p>You must be able to demonstrate that:</p> <ul style="list-style-type: none"> – You engage with learners prior to their enrolment to determine their training needs and provide them accurate and detailed information about the services being offered. – You take into account the learner’s existing skills and competency and have arrangements to determine the amount of training for each learner and apply recognition processes where applicable. <p>You should prepare for these types of questions:</p> <ul style="list-style-type: none"> – Can you talk me through your process to engage with learners prior to their enrolment and to determine their training needs? – Can you talk me through how you take into account the learner’s existing skills and competency? – Can we access learner records to verify this process being applied?

Newbery's Audit Guide - Standards for Registered Training Organisations (RTOs) 2015

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