

RTO Sample

RTO Forms and Tools

Please note.

This document is a sample only. It includes only 23 pages of what is normally a 163 page document full forms needed to operate your RTO. This product is designed to be used in conjunction with RTO Policies and Procedures. When we issue Forms and Tools, we also include a student handbook and a separate folder of forms where we have extracted all of the most common forms individually ready for you to customise with your own header and footer. We also provide fully developed examples of some key documents such as the Training and Assessment Strategy.

Joe Newbery

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Improvements

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Version Control

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20 th Oct 2008	Final version – Version 1.0
21 st Jul 2009	Partial revision – Version 1.1
30 th Nov 2009	Partial revision – Version 1.2
15 th Jan 2010	Full revision (AQTF 2010) – Version 2
28 th May 2010	Partial revision – Version 2.1
14 th Sep 2010	Full revision Version 3.0 – Forms and Tools were separated
6 th July 2011	Full revision (VET Quality Framework released) – Version 4
13 th Jan 2013	Partial revision – Version 4.1
24 th Jan 2014	Partial revision – Version 4.2
15 th Sep 2014	Partial revision – Version 4.3
18 th Dec 2014	Full revision – Version 5.0, New RTO Standards 2015
3 rd April 2015	Partial revision – Version 5.1
2 nd July 2015	Partial revision – Version 5.2
3 rd Oct 2016	Partial revision – Version 5.3
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Industry Engagement Tools

Industry Engagement Questionnaire

Employee / Supervisor Name:	Phone:			
Business Name:	Date:			
Course / Qualification:				
Short description of the course / qualification:				
Question 1			Yes	No
Do the units of competence incorporated in the training and assessment strategy reflect the skills needs required in your business/industry today?			<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
Question 2			Yes	No
Do the proposed assessment strategy and tasks genuinely reflect the way these skills are performed in the workplace?			<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
Question 3			Yes	No
Is the proposed learning sequence and delivery mode suitable for personnel within your workplace? Can it be improved?			<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
Question 4			Yes	No

Acknowledgement by RTO Sample CEO:

Signed: _____ Date: ____ / ____ / ____

Assessment Validation Checklist³

Unit Code:		
Unit Name:		
Date of activity:		
Who participated:		
General suitability		
Questions	Y / N	Comments
Are the assessment instructions clearly explained?		
Is the level of difficulty of the assessment appropriate to the competency being assessed?		
Are the assessment tools and checklists logically structured to support the assessment?		
Validity		
Questions	Y / N	Comments
Are the assessment tasks based on realistic workplace activities?		
Is the evidence being collected related directly to the unit of competence being assessed?		

³ Maximising Confidence in Assessment Decision-Making, Resource Kit for Assessors, R. Booth, B.Clayton, R.House and S.Roy, NCVER, 2002, p. 13

Does the assessment assess the student's ability to meet the level of performance required in the workplace?		
Are the methods being used appropriate for the workplace environment?		
Has assessment mapping been completed to confirm that the entire unit is being assessed? (Please attach)		
Sufficiency		
Questions	Y / N	Comments
Is the assessment evidence gathered using a range of assessment methods collected over a number of different assessment activities?		
Is the assessment evidence collected from a range of the student's performances over time?		
Is there sufficient evidence of the student's knowledge and skills being considered in the assessment?		
Authenticity / Currency		
Questions	Y / N	Comments
Does the assessment method used guarantee that the evidence collected is the candidates own work?		
Does the assessment gather evidence from the candidate that is		

current or based on their recent activities?		
Reliability		
Questions	Y / N	Comments
Are appropriate assessment checklists available to record evidence based on the unit of competence?		
Are clear guidelines available to ensure that assessors make consistent decisions over time and with different candidates?		
Are there suitable instructions that support the same judgement being applied by different assessors?		
Flexibility		
Questions	Y / N	Comments
Can the assessment be adapted to meet the needs of all candidates?		
Is the opportunity available for the candidate will to have their previous experience recognised?		
Do the assessment methods support flexible arrangements with candidates that have low LLN skills?		
Fairness		
Questions	Y / N	Comments
Does the assessment process result in the candidate being given clear		

and timely information on assessment?		
Are appropriate opportunities for feedback provided to candidates?		
Are there clearly documented mechanisms for appeal against assessment decisions?		
Opportunities for Improvement		
Are there any opportunities for improvement identified as a result of this assessment validation?		

Student Enrolment Tools

Student Enrolment Form

Applicant Details:

Family Name:		Title:	
First Given Name:			
Second Given Name:			
Preferred Name:			
Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female	Birth Date:	
Home Number:		Mobile Number:	
Home address:	_____		
postal address:	_____		

Course details:

Course being applied for:			
Preferred location of training:	<input type="checkbox"/> In my workplace (on the job) <input type="checkbox"/> At RTO Sample (off the job)		
Date ready to start:		Date must complete by:	

Emergency contact details:

Full name:	
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Daytime Number:		Mobile Number:	
Night time Number:		Relationship:	

Personal details:

In which country were you born?	<input type="checkbox"/> Australia	<input type="checkbox"/> Other (Please specify):
Do you speak a language other than English at home? (If more than one language is spoken at home, indicate the one that is spoken most often)	<input type="checkbox"/> No, English only	<input type="checkbox"/> Yes (please specify):
How well do you speak English? (tick)	<input type="checkbox"/> Very well <input type="checkbox"/> Well <input type="checkbox"/> Not well <input type="checkbox"/> Not at al	
Are you of Aboriginal or Torres Strait Islander origin? (tick one)		
<input type="checkbox"/> No <input type="checkbox"/> Yes, Aboriginal <input type="checkbox"/> Yes, Torres Strait Islander <input type="checkbox"/> Yes, Both Aboriginal & Torres Strait Islander		
Do you identify yourself as having a disability? (Please tick)		
<input type="checkbox"/> No <input type="checkbox"/> Yes, Hearing/Deaf <input type="checkbox"/> Yes, Intellectual <input type="checkbox"/> Yes, Vision <input type="checkbox"/> Yes, Learning <input type="checkbox"/> Yes, Physical <input type="checkbox"/> Yes, Medical <input type="checkbox"/> Other		
Please specify:		
What is your highest COMPLETED school level? (Tick ONE box only.)		

<input type="checkbox"/> Year 12 or equivalent <input type="checkbox"/> Year 11 or equivalent <input type="checkbox"/> Year 10 or equivalent	<input type="checkbox"/> Year 9 or equivalent <input type="checkbox"/> Year 8 or below <input type="checkbox"/> Never attended school
In which YEAR did you complete school?	_____
Are you still attending secondary school?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Have you successfully completed any of the following qualifications?	<input type="checkbox"/> No <input type="checkbox"/> Yes - Bachelor Degree or Higher Degree <input type="checkbox"/> Yes - Advanced Diploma or Associate Degree <input type="checkbox"/> Yes - Diploma (or Associate Diploma) <input type="checkbox"/> Yes - Certificate IV (or Advanced Certificate/Technician) <input type="checkbox"/> Yes - Certificate III (or Trade Certificate) <input type="checkbox"/> Yes - Certificate II <input type="checkbox"/> Yes - Certificate I <input type="checkbox"/> Yes - Certificates other than the above
Of the following categories, which best describes your current employment status?	<input type="checkbox"/> Full-time employee <input type="checkbox"/> Part-time employee <input type="checkbox"/> Self-employed - not employing others <input type="checkbox"/> Employer <input type="checkbox"/> Employed - unpaid worker in a family business <input type="checkbox"/> Unemployed - seeking full-time work <input type="checkbox"/> Unemployed - seeking part-time work <input type="checkbox"/> Not employed - not seeking employment
Of the following categories, which best describes your main reason for undertaking this course / traineeship / apprenticeship? (Tick ONE box only.)	<input type="checkbox"/> To get a job <input type="checkbox"/> To develop my existing business <input type="checkbox"/> To start my own business <input type="checkbox"/> To try for a different career <input type="checkbox"/> To get a better job or promotion <input type="checkbox"/> It was a requirement of my job <input type="checkbox"/> I wanted extra skills for my job <input type="checkbox"/> To get into another course of study <input type="checkbox"/> For personal interest or self-development <input type="checkbox"/> Other reasons
RTO Sample requires that you provide us 100 points proof of identification. Please detail the	

<p>proof of identification you can provide and attach a copy to this enrolment application form.</p> <p>Please refer to the end of the enrolment form for guidelines for providing 100 points of identification.</p>	
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Your Personal Statement:

<p>Why are you choosing this course?</p>	
<p>Do you have a specific career aim or job in mind for the future?</p>	
<p>Do you consider that you have adequate literacy and numeracy skills to undertake the course:</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not sure</p>
<p>Are you seeking credit for previous training or recognition of prior learning:</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not sure</p>
<p>Are there any individual needs you have that we should be aware of so we take these into account when planning your training:</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not sure</p>
<p>If yes, please provide us a little more information:</p>	

Unique Student Identifier

If you're studying nationally recognised training in Australia from 1 January 2015, you will be required to have a Unique Student Identifier (USI). Your USI links to an online account that contains all your training records and results (transcript) that you have completed from 1 January 2015 onwards. Your results from 2015 will be available in your USI account in 2016.

When applying for a job or enrolling in further study, you will often need to provide your training records and results (transcript). One of the main benefits of the USI is the ability to provide students with easy access to their training records and results (transcript) throughout their life. You can access your USI account online from your computer, tablet or smart phone anytime. Fact sheets –available to download [Student Information for the USI](#)

It's free and easy to [create your own USI](#) and will only take a few minutes of your time. Alternatively, we can create your USI on your behalf. To do this we will need some additional identification information from you such as your driver's licence number.

Do you already have a Unique Student Identifier?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not sure
If you have a USI, please write it clearly in this space:	USI:
If no, would you like us to create your USI on your behalf?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, what State or Territory issued your Driver's Licence:	
What is your Driver's Licence Number?	

If you do not have a Driver's Licence, there are a range of other Proof of ID options including:

- Medicare Card
- Australian Passport
- Visa (with Non-Australian Passport)
- Birth Certificate (Australian) *please note a Birth Certificate extract is not sufficient
- Certificate Of Registration By Descent
- Citizenship Certificate
- ImmiCard

You can review the Proof of ID examples at this site: <http://www.usi.gov.au/help-centre/proof-of-ID/Pages/proof-of-ID.aspx>. Please provide us an one of the alternative ID options.

Employer details (if applicable)

Trading Name:			
Contact Name:			
Contact Number:		Fax number:	
Workplace address:	_____		
Date ready to start:		Date must complete by:	

Enrolling student

By signing this form, I certify that the information provided is true and correct. I further certify that:

- I have reviewed the Student Handbook supplied to me and have been informed about my rights and obligations.
- I have reviewed the Schedule of Fees and Payments and have been informed of the refund policy.
- I have reviewed the relevant course brochure and have been informed of the training and assessment services to be provided and the units of competency to be completed.
- The information I have provided in this form is true and correct.

Full name: _____

Sign: _____ Date: ____ / ____ / ____

RTO Sample representative

By signing this form, I certify that I will make every effort to deliver on the services outlined to students and provide every possible opportunity to students to complete their planned qualification.

Full name: _____

Sign: _____ Date: ____ / ____ / ____

100 Point Identification Guide

Each applicant **MUST** provide 100 points of identification from the list below.

Use of Identity		
Document	Explanation/description	Points
Defence Discharge Papers	Australian Defence Force discharge papers, in your name/former name.	70
Shooter or Firearm Licence	Current shooter or firearm licence showing signature and/or photo and same name as claim. Cannot accept: minor or junior permit and/or licence.	70
Security Licence	Current security protection industry or crowd control licence, showing signature and/or photo and same name as claim.	70
Bank/Financial Institution card, statement or passbook	Current ATM, credit or debit card showing your name and signature. Statement or passbook from current savings or cheque account showing your name and same address (if applicable) as your claim. Cannot accept: cards issued by organisations other than banks, credit unions or building societies, ATM or internet receipts/statements or account documentation issued by banks/financial institutions outside Australia.	40
Child's Birth Certificate	Australian birth certificate for a child showing your name as parent/guardian. Cannot accept: sibling's certificate.	40
Defence Force Identity Card	Identity Card issued by the Australian Defence Force, showing same name as claim, and photo or signature.	40
Australian Driver Licence – Motor Vehicle	Current state or territory issued driver licence, learner permit or provisional licence showing signature and/or photo and same name as claim.	40
Australian Divorce Papers	Australian divorce papers in your name/former name (e.g. Decree Nisi, Decree Absolute).	40
Educational Certificate	Up to 3 school/education qualification certificates for different years in your name/former name (school/TAFE/university/Registered Training Organisation [RTO]).	40
Australian Marriage Certificate	Marriage certificate issued by a state or territory government agency. Cannot accept: church or celebrant issued certificates.	40
Mortgage Papers	Legally drawn mortgage papers for an Australian residence in your name/former name.	40
Name Change	Legal change of name certificate or deed poll certificate.	40
Passport issued outside Australia	Current passport issued by a country other than Australia, with a valid entry stamp or visa.	40
Proof of Age Card	Current proof of age or photo identity card issued by a government agency in your name with photo and/or signature.	40
Registration Certificate from a Professional Board	Registration certificate from a national or state/territory professional registration board (e.g. doctors, nurses, dentists, physiotherapists, accountants).	40
Trade Certificate	Current Australian trade certificate in your name/former name. Must be signed by issuer or claimant.	40
Veterans' Affairs Gold Card	Current Department of Veterans' Affairs Gold Card issued in your name.	40
Reference from Indigenous Organisation	Reference from an Aboriginal/Torres Strait Islander organisation showing referee's full details and length of time they have known you.	20
Educational Report or Reference	Up to 3 school/education reports or references, including enrolment confirmations for different years or semesters, in your name/former name (school/TAFE/university/RTO).	20
Student ID Card	Current student ID card issued in your name with signature and/or photo (school/TAFE/university/RTO).	20
PAYG Payment Summary	PAYG payment summary, less than 2 years old, with tax file number. Cannot accept: Centrelink issued payment summaries.	20
Insurance Renewal	Current insurance renewal for house, contents, vehicle, boat, crop insurance in your name and showing same address as claim.	20
Tenancy Agreement or Lease	Current formal residential tenancy agreement or lease in your name and showing same address as claim.	20
Medicare Card	A current Medicare card showing your name.	20
Motor Vehicle Registration	Current motor vehicle registration showing your name, same address as claim and proof of payment.	20
Documents issued outside Australia	Up to 3 documents issued by a country other than Australia (equivalent to Australian documents listed of at least 20 points value), including lapsed foreign passports.	20
Other Licence	Up to 3 current Commonwealth, state or territory licence for coxswain, boat, aircraft etc. Must have your photo and/or signature and same address as claim (if applicable). Cannot accept: recreational fishing licence.	20
Rates Notice	Paid rates notice in your name and showing same address as claim, less than 12 months old.	20
Utility Account	Up to 3 paid utility accounts (e.g. gas, water, electricity or phone) in your name and showing receipt number and same address as claim, less than 12 months old.	20
Electoral Enrolment	Proof of electoral enrolment card issued in your name and same address as claim.	10
Other Financial Documents	Up to 3 current financial documents, such as superannuation, shares, life insurance, credit card statement or managed investment documents issued in your name. Cannot accept: hire or lease agreement.	10
Health Insurance Card	Current health insurance card showing your name.	10
Motoring Association Card	Current membership card or documents issued in your name.	10
Notice of Assessment	Taxation notice of assessment in your name less than 2 years old.	10
Employment Records	Termination notice, separation certificate, report or reference from employer in your name. Cannot accept: payslips.	10

Student Enrolment Interview Form

Applicant Name:		Title:	
Interviewer Name:			
Date of interview:			
Interview method:	Face-to-face <input type="checkbox"/>	Phone <input type="checkbox"/>	Video conf <input type="checkbox"/>
Course being applied for:			
Purpose. What is the applicant's career objective in seeking to complete this course? Is this the right course for them?	Notes:		
Individual needs. This may include educational needs, dietary, physical needs such as a disability, medical needs, language needs, etc.	Notes:		
RPL/RCC. Does the applicant have any current competence or prior learning?	Notes: RPL Credit Transfer		
Workplace requirements (if applicable). Does the applicant have any specific workplace requirements that need to be addressed in the training?	Notes: Establishment Orientation Commitment (hours/days) Supervision Duties		
Confirm pre-enrolment information. Does the applicant have any questions after reviewing the pre-enrolment information regarding our policies?	Notes: Complaints and appeals Services being delivered Fees / Refunds Privacy arrangements Safety arrangements Access to information		

	Support services Rights as a consumer	
<p>Confirm the services to be provided. Does the applicant have a sound understanding of the services to be provided as part of the course they are seeking to enter?</p>	<p>Notes:</p> The training product (code, title, version) Duration Delivery locations Mode of delivery and course program Planned training and assessment Details of third parties (if applicable) Materials and equipment the learner must provide	
<p>Unique student identifier. Does the applicant have one?</p>	<p>Notes:</p> Does the applicant understand the requirement and where to obtain the USI? Does the applicant understand the circumstances and implications of being exempt from the USI?	
<p>Applicant Signature:</p>	<p>Interviewer Signature:</p>	