



## Audit report – VET Quality Framework

### Delegation Requirements and Standards for Registered Training Organisations 2015

#### ORGANISATION DETAILS

|                            |                                                                                                 |
|----------------------------|-------------------------------------------------------------------------------------------------|
| Organisation's legal name: | Training Management Pty Ltd                                                                     |
| Trading name/s:            | Traxion Training<br>Anywhere Anytime Training<br>RPL Certification<br>Landscape Skills<br>APSIC |
| RTO number:                | 32254                                                                                           |
| CRICOS number:             | N/A                                                                                             |

#### AUDIT TEAM

|                      |            |
|----------------------|------------|
| Lead auditor:        | John Price |
| Assistant/s:         | N/A        |
| Technical advisor/s: | N/A        |

#### AUDIT DETAILS

|                                   |                                                                     |
|-----------------------------------|---------------------------------------------------------------------|
| Audit reason 1:                   | <b>Delegation Audit</b>                                             |
| Activity type:                    | Site Audit                                                          |
| Address of site/s visited:        | 1/146 Bundall Road, Bundall QLD 4217                                |
| Date/s of audit:                  | 19 <sup>th</sup> and 20 <sup>th</sup> September 2017                |
| Organisation's contact for audit: | Roslynn Parry Director<br>RozP@traxiontraining.com.au 0419 309 634  |
| Delegation Requirements audited:  | R1, R2, R3, R4, R5, R6                                              |
| Standards/Clauses audited:        | 1.1, 1.2, 1.3, 1.8, 1.13, 1.14, 1.16, 2.4, 4.1, 5.1, 5.2, 5.3, 5.4. |

#### BACKGROUND

- Traxion Training is an innovative Registered Training Organisation based at Bundall on the Gold Coast in Queensland that offers simplified training solutions for businesses around Australia. They also provide partnership opportunities and a wide range of administrative, consulting and training options to assist any business to meet their strategic directions.
- Traxion Training is managed by a small team of professionals that support all administrative, training and assessment activities within the organisation and also provide consultative support to their external business clients to meet their training and business needs.
- They meet regularly with all staff and encourage them to suggest improvements to their daily practices. This has led to more efficient and effective learner management systems and student support.



- Traxion Training delivers training through a variety of delivery methods, including an easy-to-use online format with the additional one-on-one support from a team of professional trainers in the workplace and from a help desk.
- Traxion Training works with employers to incorporate within standard training packages and theoretical concepts the company-specific information needed to make the learning experience more relevant and practical for their students/employees. Their experienced sales staff also provide assistance in understanding all possible government funding options that may be available to cover the costs of training.
- The range of administrative, consulting and management services solutions are designed to assist businesses to grow and achieve strategic goals.
- Traxion Training is a Pre-Qualified Supplier (PQS) to the Queensland Government and receive PQS funding for the Certificate III Guarantee as well as Higher Level Skills Training (HLS) (QLD) funding.

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

- 1451

#### AUDIT SAMPLE

| Code     | Training products                             | Mode/s of delivery / assessment* | Current enrolments<br>(If not yet on scope, record N/A) |
|----------|-----------------------------------------------|----------------------------------|---------------------------------------------------------|
| CHC50113 | Diploma of Early Childhood Education and Care | Workplace                        | 132                                                     |
| FNS40215 | Certificate IV in Bookkeeping                 | Distance                         | 70                                                      |

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

#### INTERVIEWEES

| Name          | Position                              | Training products |
|---------------|---------------------------------------|-------------------|
| Roslynn Parry | Director                              | Both              |
| Kate Baring   | TCGC Consultant                       | Both              |
| Tara Kent     | Training Quality Manager              | Both              |
| Karen Tywford | Administration and Compliance Manager | Both              |

#### ORIGINAL FINDING AT TIME OF AUDIT

##### Audit finding as at 20/09/17:

Delegation requirements: Requirements met

Standards requirements: Compliant

- The level of non-compliance against the Standards considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- 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.



## RATING OF FINDINGS

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

## AUDIT FINDING BY DELEGATION REQUIREMENT

### Requirements for a delegate Quality Assurance System (Delegation requirements)

| Section | Original finding |
|---------|------------------|
| R1      | Requirements met |
| R2      | Requirements met |
| R3      | Requirements met |
| R4      | Requirements met |
| R5      | Requirements met |
| R6      | Requirements met |



## AUDIT FINDING BY STANDARD

### Standards for Registered Training Organisations 2015 (the Standards)

| Standard   | Original finding |
|------------|------------------|
| Standard 1 | Compliant        |
| Standard 2 | Compliant        |
| Standard 4 | Compliant        |
| Standard 5 | Compliant        |

## 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:** Requirements met

| 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:*



- Traxion Training has defined and documented a 'Delegation Quality Assurance System' (DQAS) that is delineated from their existing RTO compliance quality system.
- Each of the 'Requirements' associated with the delegation are 'mapped' to relevant policies, procedures and recording forms in the DQAS.
- A specific procedure, '7.2 DQAS Responsibilities and Accountabilities', has been developed to:
  - Identify the relevant person involved in the delegation process;
  - Clarify their duties; and
  - Determine their authority to perform each duty.
- The 'DQAS.1 QAS Authorities Matrix' summarises each person's roles and responsibilities.

**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:** Requirements met

| <b>Evidence guidance</b>                                                                                                                                                                                                    | <b>Y</b>                            | <b>N</b>                 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|
| 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:                                                                                                                                                                                   |                                     |                          |
| <ul style="list-style-type: none"> <li>• designing, planning, implementing, monitoring and reviewing the Delegate's performance against the delegation relevant to the VET Regulator Standards and the NVETR Act</li> </ul> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>• managing staff competence</li> </ul>                                                                                                                                               | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>• ensuring accountability and transparency</li> </ul>                                                                                                                                | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>• reporting obligations</li> </ul>                                                                                                                                                   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>• managing documents and records</li> </ul>                                                                                                                                          | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

*Reasons for finding of Met:*

The processes listed below have been developed to control the activities listed above for this 'Requirement 1.2' and have been implemented throughout the delegation system:

- 7.1 Traxion Training DQAS Overview
- 7.2 DQAS Responsibilities and Accountabilities
- 7.3 DQAS Human Resource Management
- 7.4 DQAS Accountability Reporting and Review
- 7.5 DQAS Documents and Records Management



- 7.6 DQAS Scope Planning and Management
- 7.7 DQAS New Program Release/Removal and Review

The following recording forms and checklists are used to record the delegation activities:

- DQAS.0 Monthly Meeting Records
- DQAS.1 QAS Authorities Matrix
- DQAS.2 QAS Performance Review Checklist
- DQAS.3 QASHRM Performance Plan and TNA
- DQAS.4 QAS HRM Currency Monitoring Log
- DQAS.5 QAS Document & Records Register
- DQAS.6 QAS Continuous Improvement Register
- DQAS.7 Annual Internal Review – Part A & Part B
- Annual Internal Review – SRTOs 2015
- ASQA Delegate Report – Annual Activity Summary
- Delegate Report Authorisations
- DQAS.8 Scope Change Checklist
- Student Transition Checklist
- Marketing Checklist

## 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:** Requirements met

| 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:*

- The last Internal Review was completed in October 2016 and occurs throughout a series of meetings that contain items for review detailed in each meeting agenda.
- Each review meeting focuses on a component of the Delegation Agreement and the degree of implementation of the related policy and/or procedure to ensure all aspects of the Delegation Agreement are included.
- The review ensured the delegation Quality Assurance System is effectively and consistently implemented and identified a number of positive opportunities that are recorded on ‘DQAS.7 Annual Internal Review Part B’. This information is then added to ‘DQAS.6 Continuous Improvement



Register' for improvement actions to be developed, implemented and monitored through to completion.

**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:** Requirements met

| Evidence guidance                                                                                                                           | Y                                   | N                        |
|---------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|
| 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:*

- The Internal Review identified the training of staff as a strength of the delegation Quality Assurance System. Each staff member was interviewed as part of the review regarding their duties, and the review identified implementation activities were being met.
- Another strength was associated with the opportunity for staff to contribute suggestions and improvements to the system. These have resulted in an on-going approach to the management of changes in learning resources and reporting systems such as AVETMISS as well as the implementation of 'paperless' logging of opportunities for continuous improvement.
- No weaknesses in the system were identified as each process was effectively implemented. The opportunities for improvement identified during the review added to the effectiveness of the systems in place rather than overcoming requirements not being met.
- Monitoring scope activities is managed through Procedure '7.6 DQAS Scope Planning and Management' and the review incorporated the review of meeting minutes and Action Plans indicating 'Action Steps', 'Responsibility' for each action and 'Details' associated with each action that covered the status of scope change activities.
- Scope changes are directly related to business activities and the review identified, through feedback from industry partners, that additions to scope had been effective. Through this feedback the review also identified a number opportunities to remove training products from scope that weren't adding value to the business or that of its partners.

**R 2.3**

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

**Original finding:** Requirements met



| Evidence guidance                                                                                                            | Y                                   | N                        |
|------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|
| The Delegate has systematically acted on, monitored and evaluated improvement opportunities arising from the Internal Review | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

*Reasons for finding of Met:*

- Each opportunity to improve is recorded on 'DQAS.7 Annual Internal Review Part B'. This information is then added to the 'DQAS.6 Continuous Improvement Register' for improvement actions to be developed, implemented and monitored through to completion.
- The information contained in the 'DQAS.6 Continuous Improvement Register' is reviewed using a 'Continuous Improvement Tracker' tool at every monthly Management Meeting to determine the status of the improvement actions being developed and implemented; and the effectiveness of the changes determined prior to being 'signed off' as complete or the need to assign extra human resources to finalise the improvement.
- The 'DQAS.6 Continuous Improvement Register' also has the capacity to determine trends in continuous improvement activities through the ability to create specific reports on pre-determined areas of opportunities.

**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:

- Determining and monitoring the necessary competence and performance of personnel.**
- Where applicable, providing training or taking other actions to achieve necessary competence and performance.**
- 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:** Requirements met

| 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:*

Traxion Training has developed a number of controls to ensure competent personnel perform the delegated functions. These controls include procedures for:

- 7.2 DQAS Responsibilities and Accountabilities;
- 7.3 DQAS Human Resource Management; and
- 7.4 DQAS Accountability Reporting and Review





Each person in the organisation has a role in the delegation system and have been inducted into each procedure associated with their role and the relevance it has in creating an efficient and effective delegation Quality Assurance System. As each procedure is implemented checklists and reporting tools are used to record the findings and outcomes.

These checklists and tools include:

- DQAS.2 QAS Performance Review Checklist;
- DQAS.3 QAS HRM Performance Plan and TNA; and
- DQAS.4 QAS HRM Currency and Monitoring Log.

The overall process involves all current and new staff. The Administration and Compliance Manager and/or the Training Quality Manager who have both undertaken successful scope management activities in Traxion Training or at previous RTO employment, conduct a Training Needs Analysis (TNA) interview with each staff member. From the results of the TNA they generate Performance Plans for each individual that indicates what competence exists and what competence needs to be developed.

The requirements of the Performance Plan are implemented either internally or externally with the assistance of suppliers, e.g. training on the implementation of a new AVETMISS and Learning Management System; and the 'Currency and Monitoring Log' is then updated.

Competency in performing delegation duties is monitored during Management Meetings that discuss on-going scope additions or removals using Procedure '7.6 DQAS Scope Planning and Management' and the status of activities associated with Action Plans that cover the status of scope change activities. Any requirements to action competency improvement is discussed and recorded in the meeting minutes. No actions have been required as at the date of this delegation audit.

At each structured Annual Performance Review the status of the 'Currency and Monitoring Log' is discussed and any further training requirements, e.g. to cover staff absences, etc. are entered into the revised Performance Plan for action to be taken.

## 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: Requirements met

| 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: <ul style="list-style-type: none"> <li>• Quality training and assessment outcomes that demonstrate compliance with the <i>Standards for Registered Training Organisations 2015</i></li> </ul> | <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 <a href="#">General Direction – Learner Transition</a> | <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:*

- The development of controls for all Quality Assurance Activities has assisted in establishing consistency in delegation activities.
- Access to delegation controls and records is available to all staff.
- Outcomes of delegation activities discussed at meetings are made available to all staff, and staff are encouraged to discuss facts based on objective findings.
- The delegation audit identified that all compliance requirements associated with *the Standards for Registered Training Organisations 2015* and the *General Direction – Learner Transition* were met and no students were disadvantaged in any transition arrangements.
- A Student Transition Checklist is used to manage any transition requirements. The latest transition conducted was for the BSB40415 Certificate IV in Small Business Management. Learner records indicate that students either completed the qualification or were enrolled in the latest qualification BSB42515 Certificate IV in Small Business Management.
- Traxion Training includes a statement about their Delegation Agreement on their website. The information conforms with the requirements of the Delegation Agreement.

**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:** Requirements met

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

*Reasons for finding of Met:*

- Report submitted to ASQA on 16<sup>th</sup> September 2017 reporting on scope activity.
- Information on training.gov.au is up-to-date.

**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:** Requirements met



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

*Reasons for finding of Met:*

- Last Annual Report was submitted to ASQA on 31<sup>st</sup> March 2017.
- There have been no requests from ASQA for further information.

**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:** Requirements met

| 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:*

Traxion Training has developed and implemented the following procedures and recording systems to ensure controls are in place to ensure documents and records related to the delegated functions are effectively controlled and maintained:

- 7.4 DQAS Accountability Reporting and Review;
- 7.5 DQAS Documents and Records Management; and
- DQAS5.5 QAS Document and Records Register.

These controls are reviewed at the Annual Internal Review.

**R 6.2**  
The Delegate has a documented procedure that is consistently implemented that defines the controls for:

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

**Original finding:** Requirements met

| 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:*

Procedure 7.5 DQAS Documents and Records Management defines the controls for documents related to:

- Approval;
- Review and updating;
- Version status
- Distribution; and
- Access to records

The same procedure also defines the following controls related to records:

- Identification;
- Storage;
- Protection;
- Retrieval;
- Retention; and
- Removal of records.

Evidence of the implementation of these controls occurs as a consequence of each Management Meeting that discusses changes to scope. Through the management of minutes of meetings and scope planning and management records.



**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

| 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

| Evidence guidance                                                                                                        | Y                                   | N                        |
|--------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|
| For each training product sampled, the amount of training to be provided identified in each strategy is consistent with: | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • 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

| Evidence guidance                                                                                                                                                                          | Y                                   | N                        |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|
| For all training products sampled, there are sufficient:                                                                                                                                   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>• trainers and assessors</li> </ul>                                                                                                                 | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>• educational and support services to meet the needs of learners</li> </ul>                                                                         | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>• learning resources that address the requirements of all components of the relevant training product and are accessible to all learners</li> </ul> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>• facilities and equipment to accommodate the number of learners</li> </ul>                                                                         | <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.

Table 1.8.1 Principles of Assessment

|             |                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Fairness    | <p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.</p> <p>The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>                                                   |
| Flexibility | <p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> <li>• reflecting the learner's needs;</li> <li>• assessing competencies held by the learner no matter how or where they have been acquired; and</li> <li>• drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.</li> </ul> |
| Validity    | <p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> <li>• assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;</li> </ul>                                                                |



|             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|             | <ul style="list-style-type: none"> <li>• assessment of knowledge and skills is integrated with their practical application;</li> <li>• assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and</li> <li>• judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul> |
| Reliability | Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.                                                                                                                                                                                                                                                                                                            |

Table 1.8.2 Rules of Evidence

|              |                                                                                                                                                                             |
|--------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Validity     | The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.  |
| Sufficiency  | The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.                       |
| Authenticity | The assessor is assured that the evidence presented for assessment is the learner's own work.                                                                               |
| Currency     | The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past. |

**Original finding:** Compliant

|                          |          |          |
|--------------------------|----------|----------|
| <b>Evidence guidance</b> | <b>Y</b> | <b>N</b> |
|--------------------------|----------|----------|

### CHC50113 Diploma of Early Childhood Education and care

CHCECE005 Provide care for babies and toddlers

CHCECE024 Design and implement the curriculum to foster children's learning and development

### FNS40215 Certificate IV in Bookkeeping

FNSBKG403 Establish and maintain an accrual accounting system

FNSINC401 Apply principles of professional practice to work in the financial services industry

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.

Assessment 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

### 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:

- vocational competencies at least to the level being delivered and assessed;
- current industry skills directly relevant to the training and assessment being provided; and
- 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

|                          |
|--------------------------|
| <b>Evidence guidance</b> |
|--------------------------|



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                        |
| Bronwyn Reid            | CHC50113 Diploma of Early Childhood Education and Care | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Hayley Lambert          | CHC50113 Diploma of Early Childhood Education and Care | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Jenny Goldsmith         | CHC50113 Diploma of Early Childhood Education and Care | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Summer Wolf             | CHC50113 Diploma of Early Childhood Education and Care | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Nicole Doon             | FNS40215 Certificate IV in Bookkeeping                 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Vicki McDonald          | FNS40215 Certificate IV in Bookkeeping                 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" 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

| Evidence guidance                                               | Y                                   | N                        |
|-----------------------------------------------------------------|-------------------------------------|--------------------------|
| VET qualifications of trainers and assessors have been verified | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Each trainer / assessor **must meet at least one** of the following requirements:

| Trainer / Assessor name | Schedule 1 Item 1                   |                          | Schedule 1 Item 2        |                          |
|-------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|
|                         | Y                                   | N                        | Y                        | N                        |
| Bronwyn Reid            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Hayley Lambert          | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Jenny Goldsmith         | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Summer Wolf             | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Nicole Doon             | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Vicki McDonald          | <input checked="" 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

| Evidence guidance                                                          |                          |                          |                          | Y                        | N                                   |                          |
|----------------------------------------------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|-------------------------------------|--------------------------|
| The RTO uses assessors that conduct assessment only.                       |                          |                          |                          | <input type="checkbox"/> | <input checked="" type="checkbox"/> |                          |
| If no, clause is not audited. If yes:                                      |                          |                          |                          |                          |                                     |                          |
| Each assessor <b>must meet at least one</b> of the following requirements: |                          |                          |                          |                          |                                     |                          |
| Assessor name                                                              | Schedule 1<br>Item 1     |                          | Schedule 1<br>Item 2     |                          | Schedule 1<br>Item 3                |                          |
|                                                                            | Y                        | N                        | Y                        | N                        | Y                                   | N                        |
|                                                                            | <input 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*  
*Schedule 1, Item 3: TAESS00001 Assessor Skill Set or its successor*

**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

| 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:** Not audited

| Evidence guidance                                                                         | Y                        | N                                   |
|-------------------------------------------------------------------------------------------|--------------------------|-------------------------------------|
| People delivering training under supervision are utilised                                 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| If no, clauses 1.17 – 1.20 are not audited, go to <a href="#">Clause 1.22</a> . If yes:   |                          |                                     |
| Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14 | <input type="checkbox"/> | <input type="checkbox"/>            |
| People under supervision do not determine assessment outcomes                             | <input 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:** Not audited

| Evidence guidance | Y | N |
|-------------------|---|---|
|-------------------|---|---|

Each individual who works under the supervision of a trainer **must meet all** requirements for each training product being delivered:

| Individual working under supervision name | Training product code/s delivered | 1.18 (a)                 |                          | 1.18 (b)                 |                          | 1.18 (c)                 |                          |
|-------------------------------------------|-----------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
|                                           |                                   | Y                        | N                        | Y                        | N                        | Y                        | N                        |
|                                           |                                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

*Schedule 1, Item 4: TAESS00003 Enterprise trainer and assessor skill set or its successor, or  
TAESS00007 Enterprise trainer – presenting skill set or its successor; or  
TAESS00008 Enterprise trainer – mentoring skill set or its successor*

**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:** Not audited

| Evidence guidance                                | Y                        | N                        |
|--------------------------------------------------|--------------------------|--------------------------|
| Training and assessment complies with Standard 1 | <input type="checkbox"/> | <input type="checkbox"/> |

**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:** Not audited

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

**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

| 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

| 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 type="checkbox"/>            | <input type="checkbox"/> | <input checked="" 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 type="checkbox"/>            | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • distinguishes between national recognised training and other training                                                    | <input type="checkbox"/>            | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • includes the code and title of each training product as per <a href="http://www.training.gov.au">www.training.gov.au</a> | <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 <a href="#">Clauses 1.1</a> or <a href="#">1.2</a>        | <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

| 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 competencies | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

**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

| 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 <a href="http://www.training.gov.au">www.training.gov.au</a>               | <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 type="checkbox"/>            | <input type="checkbox"/> | <input checked="" 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 <a href="#">Clauses 6.1 – 6.4</a> )                      | <input checked="" type="checkbox"/> | <input type="checkbox"/> |                                     |
| • 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 type="checkbox"/>            | <input type="checkbox"/> | <input checked="" 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:

- 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.

**Original finding:** Compliant

| 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 type="checkbox"/>            | <input type="checkbox"/> | <input checked="" 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

| 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"/> |