

## Audit report – RTO Delegation

### ORGANISATION DETAILS

Organisation's legal name: Horticultural Training Pty Ltd

Trading name/s: Horticultural Training Pty Ltd

RTO number: 5370

CRICOS number:

### AUDIT TEAM

Lead auditor: John Price

Assistant/s: Not Applicable

Technical advisor/s: Not Applicable

### AUDIT DETAILS

Audit reason: RTO Delegate audit

Activity type: Site visit

Address of site/s visited: 21 Biggs Court, Albany Creek, QLD 4035

Date/s of audit: 7<sup>th</sup> and 31<sup>st</sup> March 2016

Organisation's contact for audit: Elizabeth Smith Director  
l.smith@horticulturaltraining.com.au (07) 32648613

Delegation requirements audited: R 1.1 - R 6.2

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

- Horticultural Training Pty Ltd was established in 1991 and is a privately owned and operated company offering a range of services to the agribusiness sector. Horticultural Training Pty Ltd was encouraged by the industry to become a Registered Training Organisation in 1997. The range of AQF offerings add value to its client base that includes industry, government and the community.

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

- Two (2) in AHC50510 Diploma of Arboriculture
- Zero (0) in BSB40812 Certificate IV in Frontline Management

### AUDIT SAMPLE

| Code | Training products | Mode/s of delivery / assessment* | Current enrolments<br>(If not yet on scope, record |
|------|-------------------|----------------------------------|--|
|------|-------------------|----------------------------------|--|



|   |  |       |      |
|---|--|-------|------|
|   |  |       | N/A) |
| <b>BSB40812</b>   | Certificate IV in Frontline Management | Mixed | 0    |
| <b>AHC50510</b>   | Diploma of Arboriculture               | Mixed | 2    |
| *Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify) |  |       |      |

## INTERVIEWEES

| Name            | Position | Training products                               |
|-----------------|----------|---|
| Elizabeth Smith | Director | AHC50510 Diploma of Arboriculture               |
| Elizabeth Smith | Director | BSB40812 Certificate IV in Frontline Management |

## ORIGINAL FINDING AT TIME OF AUDIT

### Audit finding as at 31/03/2016:

|                          |                         |
|--------------------------|-------------------------|
| Delegation requirements: | <b>Requirements met</b> |
| Standards requirements:  | <b>Compliant</b>        |

- 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.

## AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

### Audit finding following analysis of additional evidence provided on dd/mm/yyyy:

|                          |            |
|--------------------------|------------|
| Delegation requirements: | <b>n/a</b> |
| Standards requirements:  | <b>n/a</b> |

## AUDIT FINDING BY REQUIREMENT

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

| Section | Original finding | Finding following rectification |
|---------|------------------|---------------------------------|
| R1      | Requirement met  | n/a                             |
| R2      | Requirement met  | n/a                             |
| R3      | Requirement met  | n/a                             |
| R4      | Requirement met  | n/a                             |
| R5      | Requirement met  | n/a                             |
| R6      | Requirement met  | n/a                             |

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

| Standard   | Original finding | Finding following rectification |
|------------|------------------|---------------------------------|
| Standard 1 | Compliant        | n/a                             |



|            |           |     |
|------------|-----------|-----|
| Standard 2 | Compliant | n/a |
| Standard 4 | Compliant | n/a |
| Standard 5 | Compliant | n/a |

## RATING OF AUDIT FINDING

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

## ABOUT THIS REPORT

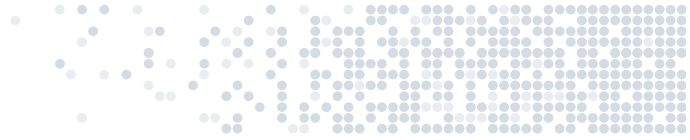
This report details findings against the 'Requirements for a delegate Quality Assurance System', as described in Schedule 2 of the Delegation Agreement; and the *Standards for Registered Training Organisations 2015*.

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: Requirement met

Following rectification: n/a

| 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 / Not Met:

- Horticultural Training Pty Ltd has a Quality Assurance Manual that defines all of the policies and procedures it requires to control and implement its delegated functions. These policies and procedures are implemented and listed in the following Requirement, 1.2.
- Horticultural Training Pty Ltd's Organisational Chart indicates the key roles to manage its delegation.
- Horticultural Training Pty Ltd defines the responsibilities and accountabilities for all positions in the organisation chart through job descriptions and responsibility definition statements in the relevant quality assurance documents.

In order for the requirements to be Met, the organisation is required to:

- Not Applicable

Analysis of rectification evidence:

- Not Applicable

#### 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: Requirement met

Following rectification: n/a

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



- |   |                                     |                          |
|---|-------------------------------------|--------------------------|
| • designing, planning, implementing, monitoring and reviewing the Delegate's performance against the delegation relevant to the VET Regulator Standards and the NVETR Act | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • managing staff competence   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • ensuring accountability and transparency  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • reporting obligations   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • managing documents and records  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

*Reasons for finding of Met / Not Met:*

- Horticultural Training Pty Ltd has implemented a comprehensive Quality Assurance System that is used to design, develop and manage the delegation tasks to modify scope from the initial:
  - industry engagement on the need to add or subtract a training product;
  - developing the Training and Assessment Strategy (TAS);
  - ensuring the physical, human, and delivery and assessment resources are available;
  - transitioning students where applicable;
  - providing data to ASQA for scope changes; through to
  - monitoring training.gov.au for implementation of the changes.
- A Quality Assurance Manual lists the policies, procedures and other controlled processes to cover all delegation activities and includes:
  - Business Process document that contains process flowchart covering all delegation activities;
  - Management Responsibility Table that aligns with Organisational Chart positions;
  - Monthly staff meetings to monitor delegation activities;
  - Customer needs analysis surveys to gather data for future scope activities;
  - Design and Development Planning to consider additions to scope;
  - Designing and validating assessments prior to use that includes Assessment Validation Register;
  - Training and Assessment Strategy Development;
  - Transition planning;
  - Staff recruitment, professional development and performance review to ensure staff competence to perform delegation activities;
  - Maintaining Important Records;
  - Controlling Important Documents;
  - Changes to Scope and Delegate Reporting;
  - Monitoring and measuring customer satisfaction;
  - Complaints and Appeals procedures;
  - Internal Review of the Quality Assurance System and schedule to regularly review activities associated with delegated functions; and
  - Improvement Opportunities and Problem Resolution.

*In order for the requirements to be Met, the organisation is required to:*

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable



## 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: Requirement met

Following rectification: n/a

| 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 / Not Met:

- Horticultural Training Pty Ltd has chosen to schedule the review of its Quality Assurance System to ensure it is effectively implemented throughout the year rather than at a single internal review one-day event. Fourteen (14) individual reviews took place last year.
- The review findings that required rectification to ensure adherence to the delegation agreement were related to 'Requirement 4.1 (c)', i.e. "quality training and assessment outcomes" and included the need to upgrade learning and assessment guides as well as aligning oral and observation assessments against the requirements of the training product.
- The rectification outcome from the last of these reviews was finalised on 30/07/2015.

In order for the requirements to be Met, the organisation is required to:

- Not Applicable

Analysis of rectification evidence:

- Not Applicable

### R 2.2

The Internal Review:

- Is sufficiently comprehensive and robust to identify strengths and weaknesses in the Quality Assurance System and its implementation.
- Includes consideration of evidence gained through monitoring activities.
- Takes into consideration a range of relevant data and sources, including internal and external stakeholder feedback.
- Fosters the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function.

Original finding: Requirement met

Following rectification: n/a

| 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 ☒ ☐
- took into consideration a range of relevant data and sources, including internal and external stakeholder feedback ☒ ☐
- fostered the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function ☒ ☐

*Reasons for finding of Met / Not Met:*

- The fourteen (14) internal review activities carried out last year identified some weaknesses in the system that were overcome through using the 'Improvement Opportunities and Problem Resolution' process. The last of these was associated with 'Requirement 4.1 (c)' as mentioned in Requirement 2.1 above and resolved in July 2015.
- The review considers the outcomes of the Monthly Management Meetings that are used to monitor the action plans established for the delegation activities. The meetings discuss progress on activities and if necessary the Director organises the necessary support. Example Meeting Minutes of 29/03/16.
- Although there are only a very small number of students in the AHC50510 Diploma of Aborigiculture their feedback indicate the learning and assessment to be demanding but essential to their progress in their organisation and the industry-this can be considered a strength of the system.
- Another strength is that workplace supervisor feedback has also indicated that the rigour in the course is essential for their organisation.
- As student numbers increase further data will be gathered to confirm or deny the findings from the small number of students currently enrolled.
- A planned review of the Training and Assessment Strategy (TAS) with industry will also include this feedback to determine if the structure of electives is appropriate.

*In order for the requirements to be Met, the organisation is required to:*

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable

**R 2.3**

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

**Original finding:** Requirement met

**Following rectification:** n/a

**Evidence guidance**

**Y**

**N**

The Delegate has systematically acted on, monitored and evaluated improvement opportunities arising from the Internal Review ☒ ☐

*Reasons for finding of Met / Not Met:*

- The progressive nature of the reviews carried out have enabled a number of changes to take place as previously indicated against 'Requirement 4.1 (c)'.
- Other data gathered from external feedback from students and workplace supervisors has been obtained but because the amount of data is relatively small at this stage it has been noted and will be considered as more student feedback is gathered as the student enrolments increase. This approach avoids over-reacting and making decisions without sufficient data.
- Monthly Management Meetings monitor the progress of delegation activities, were relevant, and support is able to be provided by the Director to achieve delegation activities when required.

*In order for the requirements to be Met, the organisation is required to:*



- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable

### **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:** Requirement met

**Following rectification:** n/a

| <b>Evidence guidance</b>  | <b>Y</b>                            | <b>N</b>                 | <b>N/A</b>               |
|---|-------------------------------------|--------------------------|--------------------------|
| 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 / Not Met:*

- Horticultural Training Pty Ltd is a relatively small RTO and uses the same staff to process delegation activities who previously had the responsibility for these activities prior to gaining ASQA Delegation status. Nevertheless the Monthly Management Meetings provide the venue for the Director to reinforce the relevance and importance of delegation status, monitor progress towards scope management change, and provide appropriate support where needed to ensure the annual review of the delegation agreement, and relevant document control and record management processes are implemented.
- Each position in the Organisation Chart is covered by a Position Description.
- Each staff member is subject to a Performance Review that includes discussing existing skill requirements and opportunities for improvement.
- Weekly administration meetings ensure all RTO administration processes are implemented regarding fees, student data and records management.
- Horticultural Training Pty Ltd uses a 'System Improvement Notice' process to gather data from staff members on opportunities to improve all RTO processes.
- Outcomes from internal improvement opportunities are reflected in current internal Professional Development activities taking place for training in Database Management and individualised IT training to ensure system upgrades are correctly implemented.

*In order for the requirements to be Met, the organisation is required to:*

- Not Applicable

*Analysis of rectification evidence:*





- Not Applicable

## 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:

- Demonstrating that quality assurance processes and decisions are consistently applied.
- Demonstrating that decisions made are evidence-based and are made in a manner consistent with the principles of natural justice and procedural fairness.
- 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.
- Accurate and authorised information regarding the Delegation Agreement is made public.

Original finding: Requirement met

Following rectification: n/a

| 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:  |                                     |                          |                          |
| • Quality training and assessment outcomes that demonstrate compliance with the <i>Standards for Registered Training Organisations 2015</i>   | <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 / Not Met:

- As mentioned previously the fourteen (14) on-going internal review activities detected the opportunity to rectify aspects associated with 'R 4.1 c)' above and rectifications were developed and effectively implemented. These included the need to upgrade learning and assessment guides as well as aligning oral and observation assessments against the requirements of the training product.
- Transition planning documents are used to record management decisions on transitioning activities. These include:
  - Immediately Horticultural Training Pty Ltd is made aware of changes to Training products it ceases to enrol new students in the training product and informs existing students of the changes and provides guidance on the options available.
- The Transition Planning document is then used to manage other transition requirements associated with activities such as:
  - Review and comparing the differences between the 'old' and 'new' training product;
  - Reviewing the adequacy of existing delivery and assessment practices and resources;



- Determining the need to upskill trainers and assessors;
- Modifying testamurs;
- Modifying marketing and advertising materials;
- Reviewing enrolment practices;
- Developing Training and Assessment Strategies (TAS) in consultation with industry;
- Completing all documentation related to delegation;
- Informing ASQA on its extension to scope; and
- Checking the national register for changes.
- Horticultural Training Pty Ltd is conscious of the choice that it has as detailed in their Delegation Agreement section 7.3 to advertise or promote its role as a delegate, namely “. . . if the Proposed Delegate wishes to advertise or promote its role as a delegate . . .”. It has chosen not to. If it decides to do so in the future it is aware of its responsibilities in section 7.3 of the Delegation Agreement.

*In order for the requirements to be Met, the organisation is required to:*

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable

## **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:** Requirement met

**Following rectification:** n/a

| <b>Evidence guidance</b>  | <b>Y</b>                            | <b>N</b>                 |
|---|-------------------------------------|--------------------------|
| 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 / Not Met:*

- Annual report was sent to ASQA on the 01/03/2016

*In order for the requirements to be Met, the organisation is required to:*

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable

### **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:** Requirement met

**Following rectification:** n/a

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



The Delegate has reported annually in relation to the exercise of the delegated function ☒ ☐

The Delegate has reported any information on request of ASQA ☒ ☐ ☐

*Reasons for finding of Met / Not Met:*

- Annual Report sent to ASQA on 01/03/16
- Horticultural Training Pty Ltd was required to submit information in 2015 regarding a complaint that had been received by ASQA. All of this complaint information is detailed in Complaint Number: 1006680.

*In order for the requirements to be Met, the organisation is required to:*

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable

## **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:** Requirement met

**Following rectification:** n/a

**Evidence guidance**

**Y**

**N**

The Delegate ensures that documents and records relating to the delegated functions are effectively controlled and maintained ☒ ☐

*Reasons for finding of Met / Not Met:*

- Horticultural Training Pty Ltd has implemented procedures for 'Maintaining Important Records' and 'Controlling Important Documents'. These procedures are reviewed during the annual review of delegation process.
- The Administration Manager is responsible for maintaining the document register.
- Maintaining Important Records Procedure details a range of controls to ensure the accuracy and integrity of records is maintained.
- Data is backed up to the main H-drive and 'Cloud' back-up system (hosted in Australia) each night.

*In order for the requirements to be Met, the organisation is required to:*

- Not Applicable

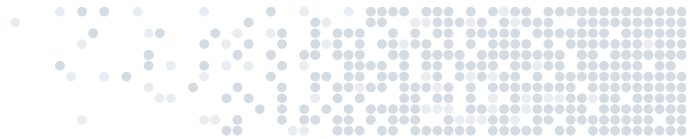
*Analysis of rectification evidence:*

- Not Applicable

### **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:** Requirement met

**Following rectification:** n/a

| <b>Evidence guidance</b>   | <b>Y</b>                            | <b>N</b>                 |
|--|-------------------------------------|--------------------------|
| 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 / Not Met:*

- Horticultural Training Pty Ltd has implemented procedures for 'Maintaining Important Records' and 'Controlling Important Documents'. These procedures are reviewed during the annual review of delegation process.
- The 'Maintaining Important Records' Procedure covers the requirement to ensure the:
  - Accuracy of records;
  - Access responsibility, security and confidentiality of records;
  - Storage periods of records; and
  - Archival and disposal of records.
- The 'Controlling Important Documents' Procedure covers the controls necessary for the:
  - Initiation, approval and review of new documents;
  - Responsibility for changes;
  - Version status; and
  - Distribution, location and methods of access to documents.
- Data is backed up to the main H-drive and 'Cloud' back-up system (hosted in Australia) each night.

*In order for the requirements to be Met, the organisation is required to:*

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable



## STANDARDS FOR REGISTERED TRAINING ORGANISATIONS 2015

**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

Following rectification: n/a

| 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"/> |

Reasons for finding of non-compliance:

- Not Applicable

In order to become compliant, the organisation is required to:

- Not Applicable

Analysis of rectification evidence:

- Not Applicable

### 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

Following rectification: n/a

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

For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:



|   |                                     |                          |
|---|-------------------------------------|--------------------------|
| • 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"/> |

*Reasons for finding of non-compliance:*

- Not Applicable

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

- Not Applicable

*Analysis of rectification evidence:*

- Evidence yet to be supplied

### 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

**Following rectification:** n/a

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

For all training products sampled, there are sufficient:

|  |                                     |                          |
|--|-------------------------------------|--------------------------|
| • trainers and assessors   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • educational and support services to meet the needs of learners   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • learning resources that address the requirements of all components of the relevant training product and are accessible to all learners | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • facilities and equipment to accommodate the number of learners   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Consistency is evident between each strategy and the above resources   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

*Reasons for finding of non-compliance:*

- Not Applicable

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

- Not Applicable

*Analysis of rectification evidence:*

- Evidence yet to be supplied

### 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.**

**Original finding:** Compliant

**Following rectification:** n/a

| Evidence guidance | Y | N | N/A |
|-------------------|---|---|-----|
|-------------------|---|---|-----|

#### AHC50510 Diploma of Arboriculture

Assessment meets the assessment requirements of the training package or course. ☒ ☐

Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) ☒ ☐ ☐

#### AHCARB501A Assess trees

Assessment tools consist of:

- Performance Guide for assessment
- Assessment instruments for knowledge assessment and practical observation
- Student instructions contained within assessment instruments
- Mapping to the requirements of the unit of competency
- Benchmarks/model answers

#### AHCARB503A Diagnose tree disease

Assessment tools consist of:

- Performance Guide for assessment
- Assessment instruments for knowledge assessment and practical observation
- Student instructions contained within assessment instruments
- Mapping to the requirements of the unit of competency
- Benchmarks/model answers

Principles of Assessment – fairness, flexibility, validity, reliability:

| AHCARB501<br>A                      |                          | AHCARB503<br>A                      |                          | Evidence guidance:   |
|-------------------------------------|--------------------------|-------------------------------------|--------------------------|--|
| Y                                   | N                        | Y                                   | N                        |  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Elements addressed (to levels as defined in performance criteria)                        |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Knowledge evidence/required knowledge addressed  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Performance evidence/required skills addressed   |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Assessment conditions/critical aspects of evidence addressed                             |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Context and consistency of assessment addressed to appropriate AQF level                 |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Assessment of knowledge and skills is integrated with their practical application        |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Assessment uses a range of assessment methods  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Criteria defining acceptable performance are outlined for all instruments                |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Clear information about assessment requirements is provided (for assessors and students) |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Allows for reasonable adjustment and provides for objective feedback                     |



☒ ☐ | ☒ ☐ Considers dimensions of competency and transferability

Rules of Evidence – validity, sufficiency, authenticity, currency:

| AHCARB501<br>A                      |                          | AHCARB503<br>A                      |                          |                    |  |
|-------------------------------------|--------------------------|-------------------------------------|--------------------------|--------------------|--|
| Y                                   | N                        | Y                                   | N                        | Evidence guidance: |  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Validity:          | Assessment evidence considered has direct relevance to the unit or module's specifications       |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Sufficiency:       | Sufficient assessment evidence is considered to substantiate a competency judgement              |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Authenticity:      | Assessment evidence gathered is the learner's own work   |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Currency:          | Competency judgements include consideration of evidence from the present or the very recent past |

Reasons for finding of non-compliance:

- Not Applicable

In order to become compliant, the organisation is required to:

- Not Applicable

Analysis of rectification evidence:

- Not Applicable

#### 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

Following rectification: n/a

#### Evidence guidance

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 |

Leanne Jones                      AHC50510      Diploma      of   ☒ ☐ ☒ ☐ ☒ ☐  
Arboriculture





Reasons for finding of non-compliance:

- Not Applicable

In order to become compliant, the organisation is required to:

- Not Applicable

Analysis of rectification evidence:

- Not Applicable

#### 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

Following rectification: n/a

#### Evidence guidance

Y N

VET qualifications of trainers and assessors have been verified

☒ ☐

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

| Trainer / Assessor name | Schedule 1<br>Item 1                |                          | Schedule 1<br>Item 2     |                          | Demonstrated<br>equivalence |                          |
|-------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|-----------------------------|--------------------------|
|                         | Y                                   | N                        | Y                        | N                        | Y                           | N                        |
| Leanne Jones            | <input checked="" 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

Reasons for finding of non-compliance:

- Not Applicable

In order to become compliant, the organisation is required to:

- Not Applicable

Analysis of rectification evidence:

- Not Applicable

#### 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

Following rectification: n/a



| 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:                |                          |                                     |

| Assessor name |
|---------------|
|---------------|

Training product code/s delivered

Each assessor (who conducts assessment only) must meet at least one of the following requirements:

|   |                          |                          |
|---|--------------------------|--------------------------|
| • TAE40110 Certificate IV in Training and Assessment or its successor           | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAE40110 (TAA40104 is equivalent)                  | <input type="checkbox"/> | <input type="checkbox"/> |
| • diploma or higher qualification in adult education                            | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to diploma or higher qualification in adult education | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAESS00001 Assessor skill set or its successor                                | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAESS00001 Assessor skill set                      | <input type="checkbox"/> | <input type="checkbox"/> |

Each assessor (who conducts assessment only) must meet all of the following requirements:

|  |                          |                          |
|--|--------------------------|--------------------------|
| • vocational competencies at least to the level being delivered (actual qualification/unit not required) | <input type="checkbox"/> | <input type="checkbox"/> |
| • current relevant industry skills   | <input type="checkbox"/> | <input type="checkbox"/> |
| • current vocational training and learning knowledge and skills  | <input type="checkbox"/> | <input type="checkbox"/> |

Reasons for finding of non-compliance:

•

In order to become compliant, the organisation is required to:

•

Analysis of rectification evidence:

- Evidence yet to be supplied

### 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

Following rectification: n/a

| 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 ☒ ☐

*Reasons for finding of non-compliance:*

- Not Applicable

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

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable

#### **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

**Following rectification:** n/a

| <b>Evidence guidance</b>  | <b>Y</b>                 | <b>N</b>                            |
|---|--------------------------|-------------------------------------|
| 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 1.21</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"/>            |

*Reasons for finding of non-compliance:*

- 

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

- 

*Analysis of rectification evidence:*

- Evidence yet to be supplied

#### **Clause 1.18**

**The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:**

- holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
- has vocational competencies at least to the level being delivered and assessed; and
- has current industry skills directly relevant to the training and assessment being provided.

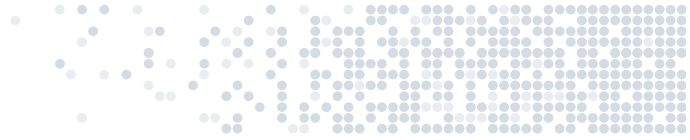
**Original finding:** Not audited

**Following rectification:** n/a

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

#### **Individual working under supervision name**

Each individual who works under the supervision of a trainer must meet at least one of the following requirements:



|   |                          |                          |
|---|--------------------------|--------------------------|
| • TAESS00003 Enterprise trainer and assessor skill set or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAESS00003                                 | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAESS00007 Enterprise trainer – presenting skill set or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAESS00007                                 | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAESS00008 Enterprise trainer – mentoring skill set or its successor  | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAESS00008                                 | <input type="checkbox"/> | <input type="checkbox"/> |

Each individual who works under the supervision of a trainer must meet all of the following requirements:

|  |                          |                          |
|--|--------------------------|--------------------------|
| • vocational competencies at least to the level being delivered (actual qualification/unit not required) | <input type="checkbox"/> | <input type="checkbox"/> |
| • current relevant industry skills   | <input type="checkbox"/> | <input type="checkbox"/> |

*Reasons for finding of non-compliance:*

- 

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

- 

*Analysis of rectification evidence:*

- Evidence yet to be supplied

#### **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

**Following rectification:** n/a

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

*Reasons for finding of non-compliance:*

- 

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

- 

*Analysis of rectification evidence:*

- Evidence yet to be supplied



### 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

**Following rectification:** n/a

| 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"/> |

*Reasons for finding of non-compliance:*

- 

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

- 

*Analysis of rectification evidence:*

- Evidence yet to be supplied

### Clause 1.21

Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment:

- a) hold the training and assessment qualification at least to the level being delivered; or
- b) have demonstrated equivalence of competencies.

**Original finding:** Not audited

**Following rectification:** n/a

| Evidence guidance   | Y                        | N                                   |
|---|--------------------------|-------------------------------------|
| A TAE qualification or skill set is included in the audit scope | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| If no, clause is not audited. If yes:                           |                          |                                     |

### Trainer / Assessor name

Each trainer/assessor that intends to deliver TAE40110 Certificate IV in Training and Assessment or TAESS00001 Assessor skill set must meet at least one of the following eight requirements:

- |  |                          |                          |
|--|--------------------------|--------------------------|
| • TAE40110 Certificate IV in Training and Assessment or its successor    | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAE40110 (TAA40104 is equivalent)           | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAE50111 Diploma of Vocational Education and Training or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAE50111                                    | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAE50211 Diploma of Training Design and Development or its successor   | <input type="checkbox"/> | <input type="checkbox"/> |



- |   |                          |                          |
|---|--------------------------|--------------------------|
| • equivalent competencies to TAE50211   | <input type="checkbox"/> | <input type="checkbox"/> |
| • diploma or higher qualification in adult education                            | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to diploma or higher qualification in adult education | <input type="checkbox"/> | <input type="checkbox"/> |

#### Trainer / Assessor name

Each trainer/assessor that intends to deliver any training product from the TAE10 Training and Education Training Package (excluding TAE40110 Certificate IV in Training and Assessment and TAESS00001 Assessor skill set) must meet one of the following requirements:

- |   |                          |                          |
|---|--------------------------|--------------------------|
| • hold a TAE training product at least to the level being delivered | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to the above                              | <input type="checkbox"/> | <input type="checkbox"/> |

*Reasons for finding of non-compliance:*

- 

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

- 

*Analysis of rectification evidence:*

- Evidence yet to be supplied

#### Clause 1.22

From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

**Note:** from 1 January 2017, the requirements set out in Clause 1.22 continue to apply to any other AQF qualification or skill set from the Training and Education Training Package (or its successor).

Not audited as clause does not commence until 1 January 2016

#### Clause 1.23

From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:

- a) hold the qualification specified in Item 5 of Schedule 1; or
- b) work under the supervision of a trainer that meets the requirement set out in (a) above.

Not audited as clause does not commence until 1 January 2017

**Clause 1.24**

The RTO must ensure that any individual working under supervision under Clause 1.23.b) holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes.

Not audited as clause does not commence until 1 January 2017

**Clause 1.25**

From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).

Not audited as clause does not commence until 1 January 2016

**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

**Following rectification:** n/a

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

*Reasons for finding of non-compliance:*

- Not Applicable

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

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable

**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

**Following rectification:** n/a

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

*Reasons for finding of non-compliance:*

- Not Applicable

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

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable

**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

**Following rectification:** n/a

**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"/> |
|---|-------------------------------------|--------------------------|

*Reasons for finding of non-compliance:*

- Not Applicable

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

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable

**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

Following rectification: n/a

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

*Reasons for finding of non-compliance:*

- Not Applicable

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

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable

### 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

**Following rectification:** n/a

| 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"/> |

*Reasons for finding of non-compliance:*

- Not Applicable

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

- Not Applicable

*Analysis of rectification evidence:*

- Not applicable

**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

**Following rectification:** n/a

| 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"/> |
|--|-------------------------------------|--------------------------|--------------------------|

*Reasons for finding of non-compliance:*

- Not Applicable

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

- Not Applicable

*Analysis of rectification evidence:*

- Not Applicable