Audit report – RTO Delegation

**ORGANISATION DETAILS**

<table>
<thead>
<tr>
<th>Organisation's legal name:</th>
<th>Australian Training School Pty Ltd</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trading name/s:</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>RTO number:</td>
<td>31595</td>
</tr>
<tr>
<td>CRICOS number:</td>
<td></td>
</tr>
</tbody>
</table>

**AUDIT TEAM**

<table>
<thead>
<tr>
<th>Lead auditor:</th>
<th>John Price</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant/s:</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>Technical advisor/s:</td>
<td>Not Applicable</td>
</tr>
</tbody>
</table>

**AUDIT DETAILS**

<table>
<thead>
<tr>
<th>Audit reason:</th>
<th>RTO Delegate audit directed to be completed by 30 June 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity type:</td>
<td>Site visit</td>
</tr>
<tr>
<td>Address of site/s visited:</td>
<td>Level 1, Unit 9A 503 Gympie Road, STRATHPINE, QLD 4500</td>
</tr>
<tr>
<td>Date/s of audit:</td>
<td>Document Review - 8 March and on-site audit 14/15 March 2016</td>
</tr>
<tr>
<td>Organisation’s contact for audit:</td>
<td>Michael McFillin Director <a href="mailto:info@mcfaudit.com.au">info@mcfaudit.com.au</a> 0434 778 423</td>
</tr>
<tr>
<td>Delegation requirements audited:</td>
<td>R 1.1 - R 6.2</td>
</tr>
<tr>
<td>Standards / Clauses audited:</td>
<td>Standards for Registered Training Organisations 2015, Clauses 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.</td>
</tr>
</tbody>
</table>

**BACKGROUND**

- Australian Training School Pty Ltd is a very small RTO and employs only two (2) staff since a recent downsizing. It currently has a small number of students and has only exercised its delegation functions to add the latest qualifications to its scope of registration when previously existing ones have been superseded and deemed to be non equivalent. The scope of their registration includes business and accounting training products that require a range of disciplines to be in place for successful outcomes to occur, a positive characteristic that is embedded in their approach to their quality management system that focuses on the requirements (R’s) for delegated functions.

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

- Seven (7) students in the FNS40615 Certificate IV in Accounting
- Zero (0) students in the FNS50215 Diploma of Accounting
AUDIT SAMPLE

<table>
<thead>
<tr>
<th>Code</th>
<th>Training products</th>
<th>Mode/s of delivery / assessment*</th>
<th>Current enrolments (If not yet on scope, record N/A)</th>
</tr>
</thead>
<tbody>
<tr>
<td>FNS40615</td>
<td>Certificate IV in Accounting</td>
<td>On-line</td>
<td>7</td>
</tr>
<tr>
<td>FNS50215</td>
<td>Diploma of Accounting</td>
<td>On-line</td>
<td>0</td>
</tr>
</tbody>
</table>

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

INTERVIEWEES

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Training products</th>
</tr>
</thead>
<tbody>
<tr>
<td>Michael McFillin</td>
<td>Director</td>
<td>FNS50215</td>
</tr>
<tr>
<td>Donna Menzies</td>
<td>Training Manager</td>
<td>FNS40615</td>
</tr>
</tbody>
</table>

ORIGINAL FINDING AT TIME OF AUDIT

Audit finding as at 15/03/20167:
Delegation requirements: Requirements NOT met
Standards requirements: NOT compliant
  • 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 05/04/2016:
Delegation requirements: Requirements met
Standards requirements: Compliant

AUDIT FINDING BY REQUIREMENT

Requirements for a delegate Quality Assurance System (Delegation requirements)

<table>
<thead>
<tr>
<th>Section</th>
<th>Original finding</th>
<th>Finding following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>R1</td>
<td>Requirement met</td>
<td>n/a</td>
</tr>
<tr>
<td>R2</td>
<td>Requirement met</td>
<td>n/a</td>
</tr>
<tr>
<td>R3</td>
<td>Requirement met</td>
<td>n/a</td>
</tr>
<tr>
<td>R4</td>
<td>Requirement not met</td>
<td>Requirement met</td>
</tr>
<tr>
<td>R5</td>
<td>Requirement met</td>
<td>n/a</td>
</tr>
<tr>
<td>R6</td>
<td>Requirement met</td>
<td>n/a</td>
</tr>
</tbody>
</table>

Standards for Registered Training Organisations 2015 (the Standards)

<table>
<thead>
<tr>
<th>Standard</th>
<th>Original finding</th>
<th>Finding following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Standard</td>
<td>Not compliant</td>
<td>Compliant</td>
</tr>
<tr>
<td>----------</td>
<td>---------------</td>
<td>-----------</td>
</tr>
<tr>
<td>Standard 2</td>
<td>Compliant</td>
<td>n/a</td>
</tr>
<tr>
<td>Standard 4</td>
<td>Not compliant</td>
<td>Compliant</td>
</tr>
<tr>
<td>Standard 5</td>
<td>Not compliant</td>
<td>Compliant</td>
</tr>
</tbody>
</table>

**RATING OF AUDIT FINDING**

Performance of the delegated function: Good

Effectiveness of the internal review: Good

**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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The quality assurance system is defined and documented</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>The quality assurance system ensures clear delineation and accountabilities of roles and responsibilities in relation to the delegated functions</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>

Reasons for finding of Met / Not Met:
- Australian Training School Pty Ltd (ATS) is a small Registered Training Organisation employing only two staff who perform as a small team all of the RTO’s activities associated with the management, administration, training and assessment functions related to being a Registered Training Organisation that also has a delegation from ASQA to manage its scope of registration functions. Nevertheless it has defined and developed a range of documents to control these delegation functions. These documents include:
  - Job Descriptions for accountability and responsibility in relation to the delegated functions based on an Organisational Chart;
  - Delegation Self-Assessment Checklist;
  - Application for Change to Scope form;
  - VET Investment Training and Employment Survey Report;
  - Internal Review;
  - Audit Schedule;
  - Continuous Improvement Log;
  - Record Keeping Policy;
  - Archival Policy;
  - Document and Version Control Policy and Procedure;
  - Document Register;
  - Transition Arrangements;
  - Transition Plans;
  - Assessment Policy;

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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The quality assurance system includes processes related to the delegated functions which ensures the effective exercise of functions</td>
<td>✗</td>
<td>☐</td>
</tr>
</tbody>
</table>

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 | ✗ | ☐ |
- managing staff competence | ✗ | ☐ |
- ensuring accountability and transparency | ✗ | ☐ |
- reporting obligations | ✗ | ☐ |
- managing documents and records | ✗ | ☐ |

Reasons for finding of Met / Not Met:

- Australian Training School Pty Ltd has developed a range of documents to assist in designing, planning, implementing, monitoring and reviewing its performance relevant to the VET Regulator Standards and NVETR Act. These documents include the following controls:
  - Application for Change to Scope form;
  - Industry Training and Assessment Consultation Form;
  - Audit Schedule and Annual Internal Review against the ATS Self-Assessment Checklist
  - Continuous Improvement Log;
  - Record Keeping Policy;
  - Archival Policy;
  - Document and Version Control Policy and Procedure;
  - Document Register;
  - Lodgement of ASQA Delegation Report
  - Transition Arrangements;
  - Transition Plans; and
  - Regular Meeting notes
- Staff competence is managed through the Director assigning delegation to scope activities to the Administration Officer (a position on the Organisation Chart undertaken by the Training Manager) and through regular meetings discussing scope activity progress to completion and providing support where required. Prior to gaining delegation status this position was responsible for managing scope changes in a competent manner.
- Both staff members maintain dynamic ‘To Do’ lists that identify the activities to be performed. These ‘TO Do’ lists instigate any discussion on delegation activities that need to be addressed.

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.

<table>
<thead>
<tr>
<th>Original finding: Requirement met</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
</table>

### Evidence guidance

An Internal Review of the Quality Assurance System has been undertaken at least annually

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>evaluated the system’s continuing suitability and effectiveness</td>
<td>✗</td>
<td>☐</td>
</tr>
<tr>
<td>ensured that the system is effectively and consistently implemented</td>
<td>✗</td>
<td>☐</td>
</tr>
<tr>
<td>ensured adherence to the delegation Agreement</td>
<td>✗</td>
<td>☐</td>
</tr>
</tbody>
</table>

**Reasons for finding of Met / Not Met:**

- A complete internal review using the ATS Self-Assessment Checklist was conducted on 27/11/2015 to ensure adherence to the delegation agreement.
- The internal review gathered information to improve the effectiveness of the quality assurance system and used the Continuous Improvement Log to action and implement improvement activity associated with the development of a reporting timetable. The improvement has been implemented.

**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:

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.

<table>
<thead>
<tr>
<th>Original finding: Requirement met</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
</table>

### Evidence guidance

The Internal Review:

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>was sufficiently comprehensive and robust to identify strengths and weaknesses in the Quality Assurance System and its implementation</td>
<td>✗</td>
<td>☐</td>
</tr>
<tr>
<td>included consideration of evidence gained through monitoring activities</td>
<td>✗</td>
<td>☐</td>
</tr>
<tr>
<td>took into consideration a range of relevant data and sources, including internal</td>
<td>✗</td>
<td>☐</td>
</tr>
</tbody>
</table>
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:**

- An internal review to ensure adherence to the delegation agreement was conducted on 27/11/2015.
- It identified the opportunity to develop a reporting process and timetable to assist in monitoring reporting obligations. This improvement was entered into the Continuous Improvement Log for action and implementation. The improvement has been implemented.
- The review took into consideration information from regular meetings to monitor the progress of scope applications and feedback gathered through Quality Indicator reporting as the only delegation functions have been associated with applications to extend scope that have been required when an existing qualification on scope has been superseded by a non-equivalent qualification.

**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.**

<table>
<thead>
<tr>
<th>Original finding: Requirement met</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
</table>

**Evidence guidance**

<table>
<thead>
<tr>
<th>The Delegate has systematically acted on, monitored and evaluated improvement opportunities arising from the Internal Review</th>
</tr>
</thead>
</table>

**Reasons for finding of Met / Not Met:**

- The internal review to ensure adherence to the delegation agreement was conducted on 27/11/2015 and, as mentioned in previous clauses, identified the opportunity to develop a reporting process and timetable to assist in monitoring reporting obligations. This improvement was entered into the Continuous Improvement Log for action and implementation. The improvement has been implemented.
- All other aspects of the review where noted as compliant.

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

- Not Applicable

**Analysis of rectification evidence:**

- Not Applicable

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**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.
b) Where applicable, providing training or taking other actions to achieve necessary competence and performance.

c) Ensuring personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate’s obligations.

<table>
<thead>
<tr>
<th>Original finding: Requirement met</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
<tr>
<td>The Delegate ensures competent personnel perform the delegated functions and decisions</td>
<td>☒</td>
</tr>
<tr>
<td>The Delegate determines and monitors the necessary competency and performance of personnel</td>
<td>☒</td>
</tr>
<tr>
<td>The Delegate provides training or other actions to achieve necessary competence and performance</td>
<td>☒</td>
</tr>
<tr>
<td>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</td>
<td>☒</td>
</tr>
</tbody>
</table>

Reasons for finding of Met / Not Met:

- As previously reported the Australian Training School is a very small RTO. Its two staff members share the majority of the activities for management, administration and training and assessment. This is reflected through the Job Descriptions that they follow associated with relevant positions on the Organisation Chart.
- Staff competence is managed through the Director assigning delegation to scope activities to the Administration Officer and through regular meetings reviewing scope activity progress to completion and providing support where required.
- The Director is also a trainer and assessor for the RTO and the Administration Officer also acts as the Training Manager and a trainer assessor. Their experience in scope delegation activities has existed since the RTO applied for additions to its scope prior to receiving delegation status.
- The are both qualified as trainers and assessors through the achievement of TAE40110 Certificate IV in Training and Assessment. This has also provided them with the practical skills and knowledge to develop and implement all aspects of the Training and Assessment Strategies that govern their scope of registration.
- Their skills, experience, qualifications and currency are recorded in Trainer Profiles.

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

- Analysis of rectification evidence:
  - Evidence yet to be supplied

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.

<table>
<thead>
<tr>
<th>Original finding: Requirement not met</th>
<th>Following rectification: Requirement met</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
<tr>
<td>Quality assurance processes and decisions are consistently applied</td>
<td>☒</td>
</tr>
<tr>
<td>Decisions made are evidence-based and are made in a manner consistent with the principles of natural justice and procedural fairness</td>
<td>☒</td>
</tr>
</tbody>
</table>

The outcomes of the delegated functions and decisions have led to:

- Quality training and assessment outcomes that demonstrate compliance with the Standards for Registered Training Organisations 2015
  - ☒
- The effective management of transition arrangements as required by the Standards for Registered Training Organisations 2015 and the General Direction – Learner Transition
  - ☒
- No disadvantage to students
  - ☒

Accurate and authorised information regarding the Delegation Agreement is made public
  - ☒

Reasons for finding of Met / Not Met:

- Communication in the small RTO is regular, comprehensive and transparent to enable consistent interpretation of decisions that may effect quality assurance processes.
- Both staff members share the majority of the activities associated with managing the RTO that also has a delegation from ASQA to manage its scope of registration functions. Nevertheless they have a range of control processes in place to ensure records of delegated functions are maintained and archived.
- The RTO has an Organisation Chart that indicate the roles of the people in the organisation. Both Staff members cover relevant roles and are guided by the details in Job Descriptions for each role.
- A Transition Arrangements Policy assists in managing transition and Transition Plans are used to identify the status of every student in a training product in a spreadsheet so that individual support through transition can be applied.
- As detailed later in this report a number of the Standards for Registered Training Organisations 2015 have not been met and once met this delegation requirement will be also met.

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

- Develop rectifications to relevant clauses in the Standards for Registered Training Organisations 2015: i.e. 1; 4; and 5 as detailed in the relevant sections of this audit report.

Analysis of rectification evidence:

- Rectifications supplied as detailed in Clauses 1; 4; and 5

**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

<table>
<thead>
<tr>
<th>Original finding: Requirement met</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
</table>

Australian Skills Quality Authority
Audit report RTO Delegation - Australian Training School Pty Ltd
### Evidence guidance

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Delegate reports regularly and within set timeframes</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>Information on <a href="http://www.training.gov.au">www.training.gov.au</a> is complete, accurate and current</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>

**Reasons for finding of Met / Not Met:**

- ASQA Delegates Report submitted on the 3/7/2015
- ASQA Delegate Report Activity Summary submitted on 13/02/2016

**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

**Evidence guidance**

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Delegate has reported annually in relation to the exercise of the delegated function</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>The Delegate has reported any information on request of ASQA</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

**Reasons for finding of Met / Not Met:**

- ASQA Delegates Report submitted on the 3/7/2015
- ASQA Delegate Report Activity Summary submitted on 13/02/2016
- There have been no requests from ASQA for any other information to be supplied

**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**

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Delegate ensures that documents and records relating to the delegated functions are effectively controlled and maintained</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>

**Reasons for finding of Met / Not Met:**

- Australian Training School controls and maintains documents through the following processes:
In order for the requirements to be Met, the organisation is required to:

-

Analysis of rectification evidence:

- Evidence yet to be supplied

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

a) Approval, review and updating, version status, distribution of and access to documents.

b) Identification, storage, protection, retrieval, retention and removal of records

<table>
<thead>
<tr>
<th>Original finding: Requirement met</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y  N</td>
</tr>
<tr>
<td>The Delegate has a documented procedure that defines the controls for the approval, review and updating, version status, distribution of and access to documents</td>
<td>☒  ☐</td>
</tr>
<tr>
<td>The Delegate a documented procedure that defines the controls for the Identification, storage, protection, retrieval, retention and removal of records</td>
<td>☒  ☐</td>
</tr>
<tr>
<td>The Delegate implements these procedures consistently</td>
<td>☒  ☐</td>
</tr>
</tbody>
</table>

Reasons for finding of Met / Not Met:

- Australian Training School controls and maintains documents through the following processes:
  - Document and Version Control Policy and Procedure
  - Record Keeping Policy;
  - Archival Policy;
  - Document Register.
- The Document and Version Control Policy and Procedure includes the following controls to ensure the identification, storage, protection, retrieval, retention and removal of records:
  - Definitions of controlled and uncontrolled documents;
  - Roles and Responsibilities - associated with each control;
  - Document Creation – Need is based on a list of criteria
  - Document Review - At least annually
  - Document Approval Process – Responsibility of the Director
  - Document Control Register – Spreadsheet contains relevant details associated with location,
    - Obsolete Documents – Describes the removal from point of use;
    - Electronic Format – Only current versions are accessible;
    - Version Control – Use of version numbers and references previous version filing system;
    - Monitoring and Improvement – managed by the Continuous Improvement System; and finally contains a link to the Records Management Policy

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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>A training and assessment strategy (or strategies) was provided for each training product sampled</td>
<td>☒</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Each strategy is consistent with the requirements of the training product</td>
<td>☒</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>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</td>
<td>☒</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product</td>
<td>☒</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Each strategy has been consistently implemented</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Australian Skills Quality Authority
Audit report RTO Delegation - Australian Training School Pty Ltd
### 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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>For all training products sampled, there are sufficient:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• trainers and assessors</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• educational and support services to meet the needs of learners</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• learning resources that address the requirements of all components of the relevant training product and are accessible to all learners</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• facilities and equipment to accommodate the number of learners</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Consistency is evident between each strategy and the above resources**

**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 1.8
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

**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
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>
<thead>
<tr>
<th>Original finding: Not compliant</th>
<th>Following rectification: Compliant</th>
</tr>
</thead>
</table>

### Evidence guidance

<table>
<thead>
<tr>
<th>FNS40615 Certificate IV in Accounting</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Assessment meets the assessment requirements of the training package or course.</strong></td>
</tr>
<tr>
<td>Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)</td>
</tr>
</tbody>
</table>

**FNSACC406 Set up and operate a computerised accounting system**

Assessment tools consist of:

- Assessment instruments for practical assessment, knowledge assessment and written assignments
- Assessment mapping to the requirements of the unit of competency
- Benchmark/model answers for each assessment method
- Student instructions
- Assessor Instructions
- Assessment Policy
- Assessor Code of Conduct
- Assessment Competency Record

**FNSACC301 Process financial transactions and extract interim reports**

Assessment tools consist of:

- Assessment instruments for practical assessment, knowledge assessment and written assignments
- Assessment mapping to the requirements of the unit of competency
- Benchmark/model answers for each assessment method
- Student Instructions
- Assessor Instructions
- Assessment Policy
- Assessor Code of Conduct
- Assessment Competency Record

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

<table>
<thead>
<tr>
<th>FNSACC406</th>
<th>FNSACC301</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance:</strong></td>
<td></td>
</tr>
<tr>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>☒</td>
<td>☐</td>
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<tr>
<td>☒</td>
<td>☒</td>
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<tr>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>☒</td>
<td>☒</td>
</tr>
</tbody>
</table>
application

☒ ☐ ☒ ☐ Assessment uses a range of assessment methods

☒ ☐ ☒ ☐ Criteria defining acceptable performance are outlined for all instruments

☒ ☐ ☒ ☐ Clear information about assessment requirements is provided (for assessors and students)

☒ ☐ ☒ ☐ Allows for reasonable adjustment and provides for objective feedback

☒ ☐ ☒ ☐ Considers dimensions of competency and transferability

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

<table>
<thead>
<tr>
<th>FNSACC406</th>
<th>FNSACC301</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment not yet conducted for this unit</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

Validity: Assessment evidence considered has direct relevance to the unit or module’s specifications

| ☐ | ☒ | ☐ | ☐ |

Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement

| ☒ | ☐ | ☐ | ☐ |

Authenticity: Assessment evidence gathered is the learner’s own work

| ☐ | ☒ | ☐ | ☐ |

Currency: Competency judgements include consideration of evidence from the present or the very recent past

Reasons for finding of non-compliance:

• Question “r” in written assessment for FNSACC406 Certificate IV in Accounting has been marked as correct even though the student (IDTO911), had not fully answered the question. This situation only existed for one question but was consistently marked in the same manner as being correct for another student’s evidence also.

• It is not clear in the ‘Acknowledgement of Assessment Received’ in the student declaration page as to whether the assessment has been considered to be sufficient as the section at the bottom of the page to be signed by the RTO is not signed nor dated.

• Incorrect information detailed in assessment document such as Part D ‘Outcome Table’ where it requires ‘C’ or ‘NYC’ when ‘S’ or ‘NS’ is appropriate at the individual assessment item level and Assessor Declaration Section of the assessment instruments where it refers to Principles of Assessment rather than Rules of Evidence.

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

• Re-write the question as it is currently difficult for the student and assessor to detect that there are actually two parts to the question.

• As there are other ways being used to determine if all assessment materials have been received and acknowledged to the student consideration needs to be given to the applicability of this section.

• Part D ‘Outcome Table’ contains a column for the assessor to mark if individual assessment items are satisfactory or unsatisfactory but the heading uses the term ‘Comp/NYC’ which is not the appropriate decision at the individual assessment item stage. The table also includes a
column for the assessor to write details if the assessment items are NYC rather than unsatisfactory.

- Assessor Declaration Section of the assessment instruments refer to ‘Principles of Assessment’ in the second dot point whereas it should be ‘Rules of Evidence’ to ensure the correct activities occur.

**Analysis of rectification evidence:**

- Assessment question "r" re-written.
- Section in assessment removed regarding receipt of assessment materials as it is recorded in correspondence with the student.
- ‘Part D ‘Outcome Table’ removed from assessment document to avoid confusion and separate assessment competency recording document created.
- Assessor Declaration and Student Declaration section now a separate document.

---

**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:

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

<table>
<thead>
<tr>
<th>Trainer / Assessor name</th>
<th>Training product code/s delivered</th>
<th>1.13 (a)</th>
<th>1.13 (b)</th>
<th>1.13 (c)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Y</td>
<td>N</td>
<td>Y</td>
</tr>
<tr>
<td>Donna Menzies</td>
<td>FNS40615 Certificate IV in Accounting</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td></td>
<td>FNS50215 Diploma in Accounting</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Michael McFillin</td>
<td></td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

**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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>VET qualifications of trainers and assessors have been verified</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Trainer / Assessor name</th>
<th>Schedule 1 Item 1</th>
<th>Schedule 1 Item 2</th>
<th>Demonstrated equivalence</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Y</td>
<td>N</td>
<td>Y</td>
</tr>
<tr>
<td>Donna Menzies</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Michael McFillian</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO uses assessors that conduct assessment only.</td>
<td>☐</td>
<td>☒</td>
</tr>
</tbody>
</table>

If no, clause is not audited. If yes:

Assessor name

<table>
<thead>
<tr>
<th>Training product code/s delivered</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Each assessor (who conducts assessment only) must meet at least one of the following requirements:</th>
</tr>
</thead>
</table>
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)
- current relevant industry skills
- current vocational training and learning knowledge and skills

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 1.16
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

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.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>People delivering training under supervision are utilised</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>If no, clauses 1.17 – 1.20 are not audited, go to Clause 1.21. If yes:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>People under supervision do not determine assessment outcomes</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

**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:

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.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual working under supervision name</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Each individual who works under the supervision of a trainer must meet at least one of the following requirements:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TAESS00003 Enterprise trainer and assessor skill set or its successor</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>equivalent competencies to TAESS00003</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>TAESS00007 Enterprise trainer – presenting skill set or its successor</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>equivalent competencies to TAESS00007</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>TAESS00008 Enterprise trainer – mentoring skill set or its successor</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>equivalent competencies to TAESS00008</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
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)
- current relevant industry skills

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  

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training and assessment complies with Standard 1</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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  

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>
Supervision arrangements have been identified  
People delivering training under supervision have been monitored by the supervising trainer

**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**

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>A TAE qualification or skill set is included in the audit scope</td>
<td>☐</td>
<td>☒</td>
</tr>
</tbody>
</table>

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  
- equivalent competencies to TAE40110 (TAA40104 is equivalent)
- TAE50111 Diploma of Vocational Education and Training or its successor  
- equivalent competencies to TAE50111
- TAE50211 Diploma of Training Design and Development or its successor  
- equivalent competencies to TAE50211
- diploma or higher qualification in adult education  
- equivalent competencies to diploma or higher qualification in adult education

---

**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
- equivalent competencies to the above

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

<table>
<thead>
<tr>
<th>STANDARD 2</th>
<th>The operations of the RTO are quality assured.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>To be compliant with Standard 2 the RTO must meet the following:</td>
</tr>
</tbody>
</table>

**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.

<table>
<thead>
<tr>
<th>Original finding: Compliant</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
<tr>
<td>Strategies have been developed to systematically monitor third party arrangements</td>
<td>☒</td>
</tr>
<tr>
<td>The above strategies have been implemented</td>
<td>☐</td>
</tr>
</tbody>
</table>

**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

<table>
<thead>
<tr>
<th>STANDARD 4</th>
<th>Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>To be compliant with Standard 4 the RTO must meet the following:</td>
</tr>
</tbody>
</table>

**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: Not compliant  Following rectification: Compliant

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advertising and marketing:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• is accurate and factual</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>• accurately represents the services provided</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• accurately represents the RTO scope of registration</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>• includes the RTO code</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• only refers to a person or organisation with their consent</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>• uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>• identifies where a third party is recruiting prospective learners on behalf of the RTO</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>• identifies where training and assessment is being provided on behalf of another RTO</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>• identifies where training and assessment is being provided by a third party</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>• distinguishes between national recognised training and other training</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>• includes the code and title of each training product as per</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td><a href="http://www.training.gov.au">www.training.gov.au</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• includes accurate information about licensed or regulated outcomes</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>• includes details about financial support provided, including VET FEE-HELP</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>• includes details about relevant government funding subsidies</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Does not guarantee that a learner:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• will successfully complete a training product</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• can complete a training product in a manner not compliant with Clauses 1.1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>or 1.2</td>
<td></td>
<td>x</td>
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</tr>
</tbody>
</table>
• will obtain a particular employment outcome unless this is in the control of the RTO

Reasons for finding of non-compliance:

- The RTOs website does not contain the RTO Code.
- The RTOs Facebook page does not contain the RTO Code.
- The sections/pages of the RTOs internet site that reference courses being delivered as part of the Scope of Registration do not have any Qualification Code number associated with the Qualification Title.
- Course offered that are non-accredited are not clearly identified separately from accredited courses to indicate that they are non-accredited. Currently information on non-accredited courses occupy sections of the website that advertise nationally accredited courses and could be confusing for students.

Analysis of rectification evidence:

- RTO Code included on the website and Facebook pages.
- Website information indicates that all qualification codes and titles are now advertised as detailed on training.gov.au.
- Non-accredited courses have been removed from the website to avoid any confusion with nationally accredited qualifications.
- Course information indicates that course are conducted on-line.

### 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.

<table>
<thead>
<tr>
<th>Original finding:</th>
<th>Not compliant</th>
<th>Following rectification:</th>
<th>Compliant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td></td>
<td>Y</td>
<td>N</td>
</tr>
</tbody>
</table>

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.

Reasons for finding of non-compliance:
The findings below also relate to Clause 4.1 above and once rectifications are developed and compliant for Clause 4.1 the following non-compliances will also be addressed.

- The RTOs website does not contain the RTO Code.
- The RTOs Facebook page does not contain the RTO Code.
- The sections/pages of the RTOs internet site that reference courses being delivered as part of the Scope of Registration do not have any Qualification Code number associated with the Qualification Title.
- Course offered that are non-accredited are not clearly identified separately from accredited courses to indicate that they are non-accredited. Currently information on non-accredited courses occupy sections of the website that advertise nationally accredited courses and could be confusing to students.
- The course advertising materials indicate that the courses are delivered in a face-to-face classroom environment whereas they are all delivered on-line.

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

As indicated above once the rectifications are developed and compliant for Clause 4.1 the following rectifications will also be addressed.

- Include the RTO’s Code on the website and Facebook home page.
- Include on all course materials the qualification code with the title of the qualification as it appears on training.gov.au
- Clearly identify on the RTO’s website the courses that are non-accredited so that they can be distinguished from those that are nationally accredited.
- Make it clear in the course information that the courses are all delivered on-line and not in a face-to-face environment.

Analysis of rectification evidence:

- RTO Code included on the website and Facebook pages.
- Website indicates that all qualification codes and titles are now advertised as detailed on training.gov.au.
- Non-accredited courses have been removed from the website to avoid any confusion with nationally accredited qualifications.
- Course information clearly indicates that course are conducted on-line

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.

<table>
<thead>
<tr>
<th>Original finding: Not compliant</th>
<th>Following rectification: Compliant</th>
</tr>
</thead>
</table>

**Evidence guidance**

Prior to enrolment or commencement, written information is provided on the following:

- code and title of the training product as per www.training.gov.au
- currency of the training product
- estimated duration of training and/or assessment
- location/s where training and/or assessment will be provided
- mode/s of delivery
- name and contact details of any third party providing services
- work placement arrangements
- confirmation that the RTO is responsible for compliance of training and/or assessment
- confirmation that the RTO is responsible for issuance of AQF certification documentation
- details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4)
- the learner’s rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment
- the learner’s obligation to repay any VET FEE-HELP debt
- any entry requirements
- any materials and equipment the learner must provide
- any implications on the learner’s entitlement to access government funding by undertaking the training and/or assessment

### Reasons for finding of non-compliance:

Analysis of the following four non-compliances will indicate that each of them are also associated with Clause 4.1 and 5.1 above and once rectified and compliant will also rectify the relevant points below.

- The RTOs Website does not include the RTOs Code.
- The RTO’s Facebook Page does not include the RTO’s Code on the Home page.
- The course information on the website does not include the Qualification Codes.
- The course information available from the website refers to delivery and assessment occurring in a classroom environment whereas it is all conducted on-line.
The RTO’s website contains a range of links to other documents that supply the public and prospective/existing students with information regarding the RTOs training products and complaints process.

The following comments relate to the content of the relevant documents that require amendment:

Refund & Cancellation Policy

- Policy has two different statements regarding cancellation. One under the ‘Refunds’ heading states $150 and the other under the “Withdrawal due to illness or hardship” states 25% of full course fees.

Code of Practice

- Under the heading Continuous Improvement in the fourth dot point down there is a statement “Regular meetings of trainees will be held . . .”. This does not occur as all students are delivered and assessed on-line.

- Under the heading Marketing Policy the statement regarding “uses NRT and AQTF logos . . .”. The reference to the use of the AQTF logo is incorrect.

- Under the heading Training Administration and Management there is reference in the list to recording of attendance. Recording of attendance does not occur in the RTO’s mode of delivery.

- Under the heading Behaviour there are statements that are no longer relevant to the RTO’s circumstances, e.g. information relates to face-to-face courses.

- Under the heading Discipline there are statements that are no longer relevant to the RTO’s circumstances, e.g. information states “immediately cancel the class”.

- Under the heading Our Commitment to You there are statements that are no longer relevant to the RTO’s circumstances, e.g. information that relates to “providing a pleasant, friendly environment . . .”

Complaints and Appeals Procedure

- Under the heading Formal Complaint or Appeal the second dot point includes a position, VET Coordinator, that is not on the RTOs organisation chart and not undertaken by other staff members.

- There is inconsistency in statements about timing and process between this document and other documents that describe Complaints and Appeals such as the Student Handbook that references QSG management as part of the process.

- The second dot point from the end of this document references an organisation that is no longer relevant to your RTO’s referral process.

- The final dot point references www.training.com.au When accessed this link does not appear to be relevant to complaints or grievances.

Enrolment policy

- Third paragraph from the end refers to short courses that are no longer conducted.

- Although it is not necessary to have a USI at the enrolment stage there is no information that alerts students to the consequences of not providing a USI.

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

Rectify the issues identified in the following documents.

Refund & Cancellation Policy

- Clarify in this policy the amount of the refund as currently the policy has two different statements regarding cancellation. One under the ‘Refunds’ heading states $150 and the other under the “Withdrawal due to illness or hardship” states 25% of full course fees.

Code of Practice
• Correct the statement under the heading *Continuous Improvement* in the fourth dot point down as there is a statement “Regular meetings of trainees will be held . . .”. This does not occur as all students are delivered and assessed on-line.

• Under the heading *Marketing Policy* the statement regarding “uses NRT and AQTF logos . . .” should state “uses NRT and AQF logos . . .”

• Correct the statement under the heading *Training Administration and Management* as there is reference in the list to recording of attendance that doesn't occur in the RTO’s mode of delivery.

• Correct the statements under the heading of *Behaviour* as there are statements that are no longer relevant to your RTO’s circumstances, e.g. it relates to face-to-face courses that are no longer conducted.

• Correct the statement under the heading of *Discipline* as there are statements that are no longer relevant to your RTO’s circumstances, e.g. “immediately cancel the class”.

• Correct the statement under the heading of *Our Commitment to You* as there are statements that are no longer relevant to your RTO’s circumstances, e.g. “providing a pleasant, friendly environment . . .”

Complaints and Appeals Procedure

• Correct the statement under the heading *Formal Complaint or Appeal* as the second dot point includes a position that is not on your organisation chart.

• Ensure there is consistency in statements about timing and process between this document and other documents that describe Complaints and Appeals such as the Student Handbook that references QSG management as part of the process.

• Correct the statement in the second dot point from the end of this document as it references a process that is no longer relevant to your RTO’s referral process.

• Ensure any web links related to complaints go to the relevant location.

Enrolment policy

• Correct the statement in the third paragraph from the end as it refers to short courses that are no longer conducted.

• Ensure the students are aware of the consequences of not supplying a USI.

Analysis of rectification evidence:

• Refund information details have been clarified in the Refund and Cancellation Policy.

• Code of Practice Policy re-written to remove unnecessary details.

• Complaints and Appeals Policy re-written for consistency when it appears in other documents. Responsibilities for implementing the Policy reflect current organisation chart positions and links to relevant locations are now confirmed.

• Enrolment Policy modified and no longer refers to short courses.

• USI information included in Enrolment Policy to make students aware of the consequences of not having a USI with regards to issuing of Qualifications and Statements of Attainment.

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**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.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fees are collected from individual learners</td>
<td>☒</td>
<td>☐</td>
<td></td>
</tr>
</tbody>
</table>

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 | ☒ | ☐ |     |
- payment terms and conditions | ☒ | ☐ |     |
- refund terms and conditions | ☒ | ☐ |     |
- the learner’s statutory right to a cooling-off period | ☐ | ☐ | ☒ |

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.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learners are advised of any changes to agreed services</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

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