ORGANISATION DETAILS

<table>
<thead>
<tr>
<th>Organisation's legal name:</th>
<th>International Institute of Training (Australia) Pty Ltd</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trading name/s:</td>
<td>WYN Training</td>
</tr>
<tr>
<td>RTO number:</td>
<td>21528</td>
</tr>
<tr>
<td>CRICOS number:</td>
<td>n/a</td>
</tr>
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</table>

AUDIT TEAM

<table>
<thead>
<tr>
<th>Lead auditor:</th>
<th>Chloe Dyson</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant/s:</td>
<td>n/a</td>
</tr>
<tr>
<td>Technical advisor/s:</td>
<td>n/a</td>
</tr>
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AUDIT DETAILS

<table>
<thead>
<tr>
<th>Application number/s:</th>
<th>1064560</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit number/s:</td>
<td>1006872</td>
</tr>
<tr>
<td>Audit reason 1:</td>
<td>Application - renewal</td>
</tr>
<tr>
<td>Audit reason 2:</td>
<td>n/a</td>
</tr>
<tr>
<td>Audit reason 3:</td>
<td>n/a</td>
</tr>
<tr>
<td>Activity type:</td>
<td>Site visit</td>
</tr>
<tr>
<td>Address of site/s visited:</td>
<td>1/286 Chapel Street, Prahran, VIC. 3181</td>
</tr>
<tr>
<td>Date/s of audit:</td>
<td>31/7/15</td>
</tr>
<tr>
<td>Organisation’s contact for audit:</td>
<td><a href="mailto:anthony@wyn.com.au">anthony@wyn.com.au</a>            Executive Director 9429 2320</td>
</tr>
<tr>
<td>Clauses audited:</td>
<td>clause 1.1, clause 1.2, clause 1.3, clause 1.4, clause 1.5, clause 1.6, clause 1.7, clause 1.8, clause 1.9, clause 1.10, clause 1.11, clause 1.12, clause 1.13, clause 1.14, clause 1.15, clause 1.16, clause 1.17, clause 1.18, clause 1.19, clause 1.20, clause 1.21, clause 1.26, clause 1.27, clause 2.1, clause 2.2, clause 2.3, clause 2.4, clause 3.1, clause 3.2, clause 3.3, clause 3.4, clause 3.5, clause 3.6, clause 4.1, clause 4.2, clause 5.1, clause 5.2, clause 5.3, clause 5.4, clause 6.1, clause 6.2, clause 6.3, clause 6.4, clause 6.5, clause 6.6, clause 7.3, clause 8.2, clause 8.6</td>
</tr>
</tbody>
</table>

BACKGROUND

- The RTO has been operating since 2004.
- It has six qualifications on its scope of registration and one accredited course. It is delivering programs in Victoria, with the intention to deliver programs in other States and Territories. It conducted programs in NSW and South Australia until 2010. The business was established by
Simon Fox and Craig Lindsay. The current CEO bought into the business after being engaged as a trainer at the RTO.

- The business operated in Bayswater until early 2015. It is currently conducting programs in Prahran and in a gym in the city on weekends.
- Delivery of all programs is blended, with a combination of online and face-to-face training, except for the Diabetes program, which is online.
- The CEO is supported by the Education Director and there is a permanent staff of four, with sessional staff conducting some programs. In addition to the CEO and the Education Director there is a sales and marketing officer and a part-time student support officer.

Total number of current enrolments in RTO as at audit date: 155

<table>
<thead>
<tr>
<th>Code</th>
<th>Training products</th>
<th>Mode/s of delivery / assessment*</th>
<th>Current enrolments</th>
</tr>
</thead>
<tbody>
<tr>
<td>BSB40407</td>
<td>Certificate IV in Small Business Management</td>
<td>Mixed</td>
<td>0</td>
</tr>
<tr>
<td>HLT40312</td>
<td>Certificate IV in Massage Therapy Practice</td>
<td>Mixed</td>
<td>7</td>
</tr>
<tr>
<td>SIS30313</td>
<td>Certificate III in Fitness</td>
<td>Mixed</td>
<td>61</td>
</tr>
<tr>
<td>SIS40210</td>
<td>Certificate IV in Fitness</td>
<td>Mixed</td>
<td>74</td>
</tr>
<tr>
<td>10046NAT</td>
<td>Certificate II in Understanding and Management of Diabetes</td>
<td>Online</td>
<td>11</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Training products</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anthony Spark</td>
<td>CEO and trainer</td>
<td>SIS30313, SIS40210</td>
</tr>
<tr>
<td>Ian Martin</td>
<td>Training Manager and trainer</td>
<td>SIS30313, SIS40210, BSB40307</td>
</tr>
</tbody>
</table>

**ORIGINAL FINDING AT TIME OF AUDIT**

Audit finding as at 03/082015: Critical non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- 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: n/a
## AUDIT FINDING BY STANDARD

<table>
<thead>
<tr>
<th>Standard</th>
<th>Original finding</th>
<th>Finding following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard 1</td>
<td>Not compliant</td>
<td>n/a</td>
</tr>
<tr>
<td>Standard 2</td>
<td>Not compliant</td>
<td>n/a</td>
</tr>
<tr>
<td>Standard 3</td>
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</tr>
<tr>
<td>Standard 4</td>
<td>Not compliant</td>
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</tr>
<tr>
<td>Standard 5</td>
<td>Not compliant</td>
<td>Compliant</td>
</tr>
<tr>
<td>Standard 6</td>
<td>Not compliant</td>
<td>Compliant</td>
</tr>
<tr>
<td>Standard 7</td>
<td>Not compliant</td>
<td>Compliant</td>
</tr>
<tr>
<td>Standard 8</td>
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<td>n/a</td>
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</table>

## ABOUT THIS REPORT

This report details findings against the *Standards for Registered Training Organisations 2015*. The evidence guidance included against each 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.
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: 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>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:

**BSB40407 Certificate IV in Small Business Management**
- The RTO submitted PowerPoint slides at audit and student notes as a description of delivery of the units *BSBSMB404A Undertake small business planning* and *BSBSMB405B Monitor and manage small business operations*.
- It would appear from these resources that these units were delivered online or as self-paced units, although the strategy for training and assessment did not articulate this. The CEO indicated their belief that the units were delivered online.
- In the absence of clarity regarding the program delivery and any clear guidance to trainers about any formative activities to be administered, it could not be confirmed that there is opportunity for students to develop, practice and consolidate their skills and knowledge before summative assessment.

**HLT40312 Certificate IV in Massage Therapy Practice**
- There is no guidance to trainers about delivery of this qualification.
- The learning materials are labelled according to topics and there is no guidance regarding which topic relates to which unit of competency. Given this, it could not be confirmed that learners are given sufficient opportunity to develop, practice and consolidate their skills prior to assessment.

**SIS30313 Certificate III in Fitness**  **SIS40210 Certificate IV in Fitness**
• There is no guidance to trainers about delivery of these qualifications.

• There was a timetable in place but no indication of how long the sessions are and what is to be covered in these sessions.

• There were no formative activities in the learning materials. Given this, it could not be confirmed that learners are given sufficient opportunity to develop, practice and consolidate their skills before assessment.

10046NAT Certificate II in Understanding and Management of Diabetes
• This online program includes activities to develop skills and knowledge. However, the RTO does not have a process in place to ensure that learners complete these activities before assessment.

• There is insufficient evidence to provide assurance that students engage in a learning program of sufficient breadth to develop the skills and knowledge in the accredited course modules.

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

 BSBS40407 Certificate IV in Small Business Management
 HLT40312 Certificate IV in Massage Therapy Practice
 SIS00313 Certificate III in Fitness
 SIS40210 Certificate IV in Fitness

• Provide evidence that there is sufficient opportunity provided to learners to develop, practice and consolidate the knowledge and skills in the abovementioned qualifications prior to assessment.

Analysis of rectification evidence:

 BSBS40407 Certificate IV in Small Business Management
 10046NAT Certificate II in Understanding and Management of Diabetes

• On 25 September 2015, ASQA approved the organisation’s application to remove the above listed qualifications and BSB40415 Certificate IV in Small Business Management from its scope of registration.

 HLT40312 Certificate IV in Massage Therapy Practice
 SIS00313 Certificate III in Fitness
 SIS40210 Certificate IV in Fitness

• Evidence provided comprised of:
  o Emails seeking feedback from ATSI collaborators
  o Revised strategies for the above listed qualifications
  o Staff handbook.

• The evidence outlined how learners would be provided with sufficient opportunity to develop, practice and consolidate the knowledge and skills prior to assessment.

• The requirements of the Clause have now been met.

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.

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

### Evidence guidance

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
- the mode/s of delivery
- the number of units and/or modules being delivered

<table>
<thead>
<tr>
<th>Clause 1.3</th>
</tr>
</thead>
</table>
| 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. |

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

### Evidence guidance

For all training products sampled, there are sufficient:

- trainers and assessors
- educational and support services to meet the needs of learners
- learning resources that address the requirements of all components of the relevant training product and are accessible to all learners
- facilities and equipment to accommodate the number of learners

Consistency is evident between each strategy and the above resources

### Reasons for finding of non-compliance:

#### Facilities

- Class 9B certificates are not in place for the two training venues currently used: Level 2, 50 Lonsdale St, Melbourne and Level 1, 286 Chapel St, Prahran. Removed MRO Darwin 29 September 2015
- The RTO uses a training room to assess the practical component of the Certificate IV in Massage Therapy Practice. Removed MRO Darwin 29 September 2015
  
  Where there is no access to a workplace the Training Package requires access to a suitably simulated environment for assessment. The RTO did not demonstrate that it has developed provide this environment for this qualification. Removed MRO Darwin 29 September 2015

#### BSB40407 Certificate IV in Small Business Management

**BSBSMB405B Monitor and manage small business operations**
BSBSMB404A Undertake small business planning
HLT40312 Certificate IV in Massage Therapy Practice
HLTREM401D Work within a massage framework
HLTHIR301C Communicate and work effectively in health
SIS30313 Certificate III in Fitness
SISFFIT308A Plan and deliver gym programs
SISFFIT303A Develop and apply an awareness of specific populations to exercise delivery
SIS40210 Certificate IV in Fitness
SISFFIT314A Plan and deliver exercise to older clients with managed conditions
SISFFIT420A Plan and deliver exercise programs to support desired body composition outcomes

- The RTO submitted learner resources for the abovementioned units of competency but there was insufficient guidance provided by the RTO regarding which resources related to which units of competency.

  The RTO did not provide evidence to demonstrate it had confirmed the learning resources address the requirements of the sampled units of competency.

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

- BSB40407 Certificate IV in Small Business Management
- BSBSMB405B Monitor and manage small business operations
- BSBSMB404A Undertake small business planning

- BSB40415 Certificate IV in Small Business Management
- BSBSMB405 Monitor and manage small business operations
- BSBSMB404 Undertake small business planning

- HLT40312 Certificate IV in Massage Therapy Practice
- HLTREM401D Work within a massage framework
- HLTHIR301C Communicate and work effectively in health

- SIS30313 Certificate III in Fitness
- SISFFIT308A Plan and deliver gym programs
- SISFFIT303A Develop and apply an awareness of specific populations to exercise delivery

- SIS40210 Certificate IV in Fitness
- SISFFIT314A Plan and deliver exercise to older clients with managed conditions
- SISFFIT420A Plan and deliver exercise programs to support desired body composition outcomes

- Provide evidence that there are Class 9B Certificates in place for the two venues used for training. Removed MRO Darwin 29/9-15

- Provide evidence that there are learning resources in place for the abovementioned units of competency that meet the requirements of sampled units of competency.

Analysis of rectification evidence:

- BSB40415 Certificate IV in Small Business Management
- BSBSMB405 Monitor and manage small business operations
- BSBSMB404 Undertake small business planning

  On 25 September 2015, ASQA approved the organisation’s application to remove this qualification from its scope of registration.
Audit report - International Institute of Training (Australia) Pty Ltd

Australian Skills Quality Authority

1.4

The RTO meets all requirements specified in the relevant training package or VET accredited course.

Original finding: Not compliant  
Following rectification: Compliant

Evidence guidance

<table>
<thead>
<tr>
<th>Training and assessment strategies and resources are consistent with the requirements of each training product sampled</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training and assessment practices are consistent with the requirements of each training product sampled</td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:

**HLT40312 Certificate IV in Massage Therapy Practice**

- The rules for this qualification clearly require delivery and assessment to include a treatment of health issues specific to people of Aboriginal and Torres Strait Islander (ATSI) background.

There was no evidence in the learning and assessment materials or the strategy for training and assessment that issues relating to working with people from an ATSI background have been...
SIS40210 Certificate IV in Fitness

- Entry requirements to the SIS40210 Certificate IV in Fitness are the completion of 10 units of competency, a current first aid qualification and a current CPR certificate.

The RTO does not require students studying both the Certificate III and Certificate IV in Fitness to complete the 10 units before commencing the Certificate IV and does not have a process to ensure that all pre-requisite requirements are met before entry to the Certificate IV component is assessed.

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

- Develop and implement a process so that it is verified that students entering the Certificate IV in Fitness meet entry requirements before commencement.

Analysis of rectification evidence:

SIS40210 Certificate IV in Fitness

- Evidence provided consisted of:
  - the strategy for training and assessment
  - an enrolment policy and procedure
  - website screenshot referencing entry requirements.

- The evidence confirms students will meet entry requirements prior to commencement.

- The requirements of the Clause have now been met.

Clause 1.5
The RTO’s training and assessment practices are relevant to the needs of industry and informed by industry engagement.

Original finding: Not compliant  Following rectification: Compliant

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training and assessment practices are informed by and consistent with the outcomes from industry engagement strategies</td>
<td></td>
<td>✓</td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:

- There was insufficient industry engagement to ensure that programs met the needs of industry – refer to Clause 1.6.

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

- address the requirements in Clause 1.6.
Please see Clause 1.6. The requirements of this Clause have now been met.

**Clause 1.6**
The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:

- a) its training and assessment strategies, practices and resources; and
- b) the current industry skills of its trainers and assessors.

<table>
<thead>
<tr>
<th>Original finding: Not compliant</th>
<th>Following rectification: Compliant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
<tr>
<td>A range of industry engagement strategies have been developed</td>
<td>☐</td>
</tr>
<tr>
<td>Industry engagement strategies have been implemented</td>
<td>☐</td>
</tr>
<tr>
<td>Outcomes from industry engagement strategies have been systematically used to inform:</td>
<td>☒</td>
</tr>
<tr>
<td>• training and assessment strategies</td>
<td>☐</td>
</tr>
<tr>
<td>• training and assessment practices</td>
<td>☐</td>
</tr>
<tr>
<td>• resources, including facilities and equipment</td>
<td>☒</td>
</tr>
<tr>
<td>• current industry skills required to be held by trainers and assessors</td>
<td>☒</td>
</tr>
</tbody>
</table>

**Reasons for finding of non-compliance:**

**BSB40407 Certificate IV in Small Business Management**
- Evidence of industry consultation consisted of an email from an RTO consultant providing feedback on assessment tools. The feedback addressed the structure of the tools, not their relevance to industry.

**HLT40312 Certificate IV in Massage Therapy Practice**
- The organisation provided a Record of industry consultation meeting document for this qualification. The industry representatives identified were the CEO, two trainers and an external RTO consultant. The record was not signed by participants.
- The record of consultation only confirmed current practice and did not have an impact on delivery, assessment, staffing and resources.
- With no other types evidence of industry consultation, the consultation was not sufficiently broad and did not have an impact on training and assessment strategies or practices, resources and staffing.

**SIS30313 Certificate III in Fitness**

**SIS40210 Certificate IV in Fitness**
- The organisation provided a Record of industry consultation meeting document for these qualifications. One industry representative, the CEO and an external RTO consultant participated in this meeting.

One action was recommended by the industry representative but there was no evidence that this had been implemented.
Consequently, the industry engagement undertaken did not have an impact on delivery, assessment, staffing and resources.

10046NAT Certificate II in Understanding and Management of Diabetes

- Evidence of industry consultation consisted of three emails from clients confirming the need for the qualification.

- There was no other evidence of how the provider had met the requirements of this Clause 1.6 a) and b) for this qualification.

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

BSB40407 Certificate IV in Small Business Management (or its successor) Removed MRO Darwin 29-9-15 Replaced with

BSB40415 Certificate IV in Small Business Management

HLT40312 Certificate IV in Massage Therapy Practice

SIS30313 Certificate III in Fitness

SIS40210 Certificate IV in Fitness

10046NAT Certificate II in Understanding and Management of Diabetes

- Provide evidence that a range of strategies for industry engagement are used by the RTO, and that outcomes of consultation have been systematically used to inform strategies for training and assessment; training and assessment strategies, resources including facilities and equipment; and the current industry skills required to be held by trainers and assessors.

Analysis of rectification evidence:

BSB40407 Certificate IV in Small Business Management

10046NAT Certificate II in Understanding and Management of Diabetes

- On 25 September 2015, ASQA approved the organisation's application to remove the above listed qualifications and BSB40415 Certificate IV in Small Business Management from its scope of registration.

HLT40312 Certificate IV in Massage Therapy Practice

SIS30313 Certificate III in Fitness

SIS40210 Certificate IV in Fitness

- For the above listed qualification, the organisation provided:
  o Formal records of consultation with industry practitioners including meeting records
  o Its continuous improvement policy and procedure
  o Emails of consultation with industry practitioners
  o Evidence of review and consultation with VET experts.

- In consideration of this evidence and evidence provided for other clauses within this report, the requirements of this clause have now been met.

Clause 1.7
The RTO determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses.

Original finding: Compliant  Following rectification: n/a
### Evidence guidance

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Support needs of learners have been identified</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>Learners have access to educational and support services necessary for them to meet the requirements of the relevant training product</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>

**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:** Not compliant  
**Following rectification:** n/a

### Evidence guidance

| 10046NAT Certificate II in Understanding and Management of Diabetes |
|---|---|---|---|
| Assessment meets the assessment requirements of the training package or course. | ☐ | ☒ | |
| Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) | ☒ | ☐ | ☐ |

**Assessment tools consist of:**
- Online multiple choice questions

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

<table>
<thead>
<tr>
<th>DBAUMD201A Understand the management of diabetes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment tools consist of:</td>
</tr>
<tr>
<td>- Online multiple choice questions</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>DBAPCC201A Understand the prevention, complications and care of diabetes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment tools consist of:</td>
</tr>
<tr>
<td>- Online multiple choice questions</td>
</tr>
</tbody>
</table>

| Evidence guidance: |
|---|---|---|---|---|---|---|---|
| ☐ | ☒ | ☐ | ☒ | Elements addressed (to levels as defined in performance criteria) |
| ☒ | ☐ | ☐ | ☒ | Knowledge evidence/required knowledge addressed |
| ☐ | ☐ | ☐ | ☒ | Performance evidence/required skills addressed |
| ☒ | ☐ | ☐ | ☒ | Assessment conditions/critical aspects of evidence addressed |
| ☐ | ☐ | ☒ | ☒ | Context and consistency of assessment addressed to appropriate AQF |
Assessment of knowledge and skills is integrated with their practical 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>DBAUMD20 1A</th>
<th>DBAPCC201 A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y N</td>
<td>Y N</td>
</tr>
<tr>
<td>Evidence guidance:</td>
<td></td>
</tr>
<tr>
<td>Validity: Assessment evidence considered has direct relevance to the unit or module’s specifications</td>
<td></td>
</tr>
<tr>
<td>Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement</td>
<td></td>
</tr>
<tr>
<td>Authenticity: Assessment evidence gathered is the learner’s own work</td>
<td></td>
</tr>
<tr>
<td>Currency: Competency judgements include consideration of evidence from the present or the very recent past</td>
<td></td>
</tr>
</tbody>
</table>

### Evidence guidance

**SIS30313 Certificate III in Fitness**

- Assessment meets the assessment requirements of the training package or course. ☒ ☐
- Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)
- SISFFIT308A Plan and deliver gym programs
- Assessment tools consist of:
  - Scenarios
  - Multiple choice online questions
  - Practical activity
- SISFFIT303A Develop and apply an awareness of specific populations to exercise delivery
- Assessment tools consist of:
Principles of Assessment – fairness, flexibility, validity, reliability:

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**Evidence guidance**

**SIS40210 Certificate IV in Fitness**

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

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

SISFFIT314A Plan and deliver exercise to older clients with managed conditions ☐ ☐ ☒

Assessment tools consist of:
- Scenarios
- Multiple choice online questions
- Practical activity

**SISFFIT420A Plan and deliver exercise programs to support desired body composition outcomes**

Assessment tools consist of:

- Scenarios
- Multiple choice online questions
- Practical activity

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

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**BSB40407 Certificate IV in Small Business Management**
Assessment meets the assessment requirements of the training package or course. □ ❌

Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) □ ❌ ❌

BSBSMB405B Monitor and manage small business operations
Assessment tools consist of:

Assessment tool submitted states that it relates to unit BSBSMB405B Market the small business. This is the wrong unit title. Some of the written questions relate tangentially to the unit BSBSMB405B but the practical activities do not relate to this unit. Assessment is not valid or reliable and would not collect sufficient valid evidence.

BSBSMB404A Undertake small business planning
Assessment tools consist of:

- The assessment tool submitted was developed on the 2/2/15 and given that this qualification was not delivered in 2015, is not the assessment tool used for the last program delivered (2013) as requested by the auditor

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

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Reasons for finding of non-compliance:

10046NAT Certificate II in Understanding and Management of Diabetes
DBAUMD201A Understand the management of diabetes
DBAPCC201A Understand the prevention, complications and care of diabetes

- The Training and Assessment Strategies Statement in the accredited course states that, ‘the learner will perform a range of assessment tasks.’ The assessment for both modules is online multiple choice assessment, that is, not a range of assessment tasks.

- There is no requirement for candidates to demonstrate that they have understood the application of the knowledge. There is no assessment of the Employability Skills cited in the accreditation document, particularly the communication skills, which according to the accreditation document, a desired outcome of the course.

SIS30313 Certificate III in Fitness
SISFFIT308A Plan and deliver gym programs
SISFFIT303A Develop and apply an awareness of specific populations to exercise delivery

- Candidates are able to attempt the assessment three times. The assessment is open book, automated and self-correcting.

- The assessment does not meet the requirements of the principles of assessment and rules of evidence.

- There are no processes in place that provide assurance that assessment was completed by the person who submitted it.

SISFFIT308A Plan and deliver gym programs
SISFFIT303A Develop and apply an awareness of specific populations to exercise delivery
Practical assessment and scenarios

- The unit of competency requires the candidate to ‘plan, demonstrate, supervise and monitor a range of gym programs customised for clients with specific fitness requirements and respond appropriately to the changing needs of clients’. The unit refers to the need to work with a range of clients. Assessment requires the candidate to consult with a client and plan a gym session (30 minutes) and deliver that session. Assessment does not require the candidate to demonstrate, supervise and monitor a range of gym sessions with a range of clients. The unit’s Elements, Skills and Knowledge requirements and Critical Aspects for Assessment are not addressed in assessment.

Online assessment

- The online multiple choice quizzes are formative rather than summative in nature as they are an open book comprehension activity. They do not require candidates to confirm their understanding of the application of knowledge. There is no strategy in place to confirm that the candidate is the person completing the assessment other than a declaration.

Further assessment (scenarios and practical activity) does not require candidates to confirm their understanding of the theoretical underpinnings of practice.

- The assessment record records outcomes against tasks, which are written for clusters of units of competency. There is no record provided to students of progress against units of competency.
SIS40210 Certificate IV in Fitness

*SISFFIT314A Plan and deliver exercise to older clients with managed conditions*
*SISFFIT420A Plan and deliver exercise programs to support desired body composition outcomes*

**Online assessment**
- The online multiple choice quizzes are formative rather than summative in nature as they are an open book comprehension activity.
- They do not require candidates to confirm their understanding of the application of knowledge.
- There is no strategy in place to confirm that the candidate is the person completing the assessment other than a declaration. **Removed MRO Darwin 29-9-15**
- Further assessment (scenarios and practical activity) does not require candidates to confirm their understanding of the theoretical underpinnings of practice.

*SISFFIT314A Plan and deliver exercise to older clients with managed conditions*
- The unit of competency requires evidence to be collected of the candidate working with a range of older clients, including consulting and communicating effectively.

The scenarios do not require the candidates to communicate and consult with clients. The practical activity only requires the candidate to work with one client.

Given this, the requirements of the unit’s Elements, Skills, Knowledge and Critical Aspects for Assessment are only partially addressed.

- Assessment does not collect sufficient, valid evidence.

*SISFFIT420A Plan and deliver exercise programs to support desired body composition outcomes*

The requirements of the unit are not addressed in assessment:
- This unit of competency states that assessment must ensure ‘development of body composition and exercise programs to support healthy eating for multiple clients who present with differing needs.’
- The practical assessment for this unit does not require the candidate to work with multiple clients nor does it require the implementation of programs.
- Healthy eating is only referred to in relation to discussing the principles of healthy eating in relation to body composition. There is no requirement for evidence to be collected of the candidate to provide general healthy eating advice as required by the unit.
- The scenario assessment does not require the candidate to design and implement exercise plans with clients.
- The assessment record records outcomes against tasks, which are written for clusters of units of competency. There is no record provided to students of progress against units of competency.
- Given the above noted issues, the requirements of the unit’s Elements, Skills, Knowledge and Critical Aspects for Assessment are only partially addressed. Assessment does not collect sufficient, valid evidence.
HLT40312 Certificate IV in Massage Therapy Practice

HLTREM401D Work within a massage framework
HLTHIR301C Communicate and work effectively in health

Quiz assessment
- The quizzes comprise a range of multiple choice and true/false questions. These are online and automated self-correcting questions. Candidates can attempt the questions three times.

- The questions do not require candidates to show that they can, ‘describe essential knowledge required to effectively do the task outlined in elements and performance criteria of this unit, manage the task and manage contingencies in the context of the identified work role’ as required by both of the units.

The questions are superficial and structured in a way that would collect evidence of knowledge that would be expected at a much lower AQF level than that expected at an AQF Level IV.

As such they would not gather evidence of the candidates’ understanding of the complex knowledge requirements as set out in each of the above listed units.

HLTREM401D Work within a massage framework
- Assessment was not valid and would not collect sufficient or valid evidence.

Practical assessment
- The mapping document for this unit referred to Practical Assessment 2. The evidence indicated that this document formed an important part of the administration of assessment.

The assessment tool provided at audit was not labelled Practical Assessment 2 and listed 10 units of competency, not the three listed in the mapping document as being relevant to this unit. There is insufficient guidance to assessors to ensure reliable and valid assessment.

- The unit requires practical assessment to take place in the workplace or in a simulated environment and states that this environment is defined as a supervised clinic. The unit states that the assessment environment should represent workplace conditions as closely as possible.

Practical assessment takes place in a classroom, using massage tables. Consequently, the RTO has not provided a suitable environment for assessment to meet the requirements of the unit.

- The unit of competency requires assessment to address the specific context in which the candidate is working – be it working as part of a team or as a sole practitioner.

- The assessment tasks do not contextualise assessment in accordance with the requirements of the unit.

The CEO stated that it was likely that students were most likely to be sole practitioners when they commence work but assessment did not address the requirements relating to sole practitioners described in the critical aspects of assessment.

- The unit of competency requires that a range of clinical situations be covered in assessment. Assessment did not address this requirement.

- The practical activities did not address the performance requirements in the elements of competency and the skills requirements of the unit - the focus of the assessment is on providing a
massage service rather than ensuring evidence is collected against adherence to a massage framework.

- The assessment record records outcomes against tasks, which are written for clusters of units of competency. There is no record provided to students of progress against units of competency.

**HLTHIR301C Communicate and work effectively in health**

- Assessment was not valid and would not collect sufficient, valid evidence.

**Practical assessment**

- The elements of competency and the skills requirements of the unit are not addressed in assessment.

- Candidates are not directed in instructions on the range of communication strategies to be demonstrated. The checklist that is used to record performance only very superficially addresses small sections of the unit of competency.

- The critical aspects of assessment are not addressed, for example demonstration of performance over a range of workplace situations; and the essential resources described in the unit of competency are not utilised in assessment.

**BSB40407 Certificate IV in Small Business Management**

**BSBSMB405B Monitor and manage small business operations**

- Assessment tool submitted states that it relates to unit BSBSMB405B Market the small business. This is the wrong unit title. Some of the written questions relate tangentially to the unit BSBSMB405B but the practical activities do not relate to this unit. Assessment is not valid or reliable and would not collect sufficient valid evidence.

**BSBSMB404A Undertake small business planning**

- The RTO advised it had not delivered BSB40407 since 2013. It had also recently been registered for the replacement qualification – BSB40415. The RTO advised that it had not yet developed its resources for the replacement qualification, and at the time of audit, was still within the relevant transition timeframe allowable to commence developing those resources.

  In consultation with ASQA it was determined that due consideration would be given to this and audit will only consider the superseded qualification so that those resources, used in 2013 could be reviewed to confirm it was compliant with the requirements of the Standards, and if so, would have demonstrated compliance for the replacement qualification, had those resources been developed and available.

- The assessment tool submitted for analysis indicated it had been developed on 2 February 2015. No other tools were available for review including those that may have been used in 2013 – the last time the RTO advised it had delivered the qualification. This tool was reviewed and did not meet the requirements of the unit.

- Given that the RTO was not able to produce assessment tools used at the last time of course delivery (2013) it could not be confirmed that the RTO had been resourced to assess this qualification in accordance with the requirements of the training package in 2013. Furthermore, as the representative sample for the replacement qualification BSB40415, it could not be confirmed that the RTO had the capacity to develop resources that would meet the training package requirements for BSB40415 Certificate IV in Small Business Management.
10046NAT Certificate II in Understanding and Management of Diabetes
SIS40210 Certificate IV in Fitness
HLT40312 Certificate IV in Massage Therapy Practice
BSB40407 Certificate IV in Small Business Management

- The RPL documentation submitted by the RTO (RPL qualification and experience matrix):
  - Did not explain how an RPL assessment decision is made.
  - Did not include information and guidance to assessors regarding how to make an assessment decision.
  - Indicated that the basis for determining RPL is the provision of limited evidence and an assessment matrix.

- The evidence provided would not allow for the collection of sufficient and valid evidence.

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

10046NAT Certificate II in Understanding and Management of Diabetes
DBAUMD201A Understand the management of diabetes
DBAPCC201A Understand the prevention, complications and care of diabetes
SIS40210 Certificate IV in Fitness
SISFFIT314A Plan and deliver exercise to older clients with managed conditions
SISFFIT420A Plan and deliver exercise programs to support desired body composition outcomes
HLT40312 Certificate IV in Massage Therapy Practice
HLTREM401D Work within a massage framework
HLTHIR301C Communicate and work effectively in health
BSB40407 Certificate IV in Small Business Management (or its successor)
BSBSMB405B Monitor and manage small business operations (or its successor)
Replaced with:
BSB40415 Certificate IV in Small Business Management
BSBSMB405 Monitor and manage small business operations
BSBSMB404 Undertake small business planning

- Provide assessment tools for the above listed units of competency that meet training package requirements, the principles of assessment and the rules of evidence... Removed MRO Darwin 29-9-15.
  Replaced with:
- Provide evidence to demonstrate the RTO implements an assessment system that ensures assessment (including recognition of prior learning)
  - Complies with the assessment requirements of the relevant training package and accredited course
  - Is conducted in accordance with the Principles of Assessment and the Rules of Evidence

- Provide evidence criteria and other relevant tools to... Removed MRO Darwin 29-9-15. Replaced with:
- The evidence provided must demonstrate there is sufficient guidance to assessors to ensure reliable and valid assessment.

RPL
- Provide complete RPL assessment tools in place for the listed qualifications that will gather sufficient and valid evidence that will meet all training package requirements.
The tools must include sufficient guidance and instruction to the learner and assessor to ensure valid and reliable judgements of competence.

Analysis of rectification evidence:

- **BSB40407 Certificate IV in Small Business Management**
- **10046NAT Certificate II in Understanding and Management of Diabetes**
  - On 25 September 2015, ASQA approved the organisation’s application to remove the above listed qualifications and BSB40415 Certificate IV in Small Business Management from its scope of registration.

- **SIS30313 Certificate III in Fitness**
  - **SISFFIT308A Plan and deliver gym programs**
  - **SISFFIT303A Develop and apply an awareness of specific populations to exercise delivery**

- **SIS40210 Certificate IV in Fitness**
  - **SISFFIT314A Plan and deliver exercise to older clients with managed conditions**
  - **SISFFIT420A Plan and deliver exercise programs to support desired body composition outcomes**

- **HLT40312 Certificate IV in Massage Therapy Practice**
  - **HLTREM401D Work within a massage framework**
  - **HLTHIR301C Communicate and work effectively in health**

  - Evidence provided comprised of extensive:
    - Practical tasks to be completed with completion evidence to be collated within a portfolio for assessment
    - Practical tasks to be undertaken and observed with corresponding evidence gathering observation sheets
    - Templates including but not limited to planning templates, client history templates, program design templates and evaluation templates
    - Knowledge assessments to be completed within practical activities and collated within the abovementioned portfolio
    - Multiple choice questions for which application of knowledge is further confirmed within the practical tasks.
    - Assessor guides.
    - Access to online assessments
    - Assessment mapping documents
    - RPL Assessor Kit
    - RPL Candidate Kit.

  - Analysis of the evidence determined the RTO has an assessment system that will ensure assessment (including recognition of prior learning):
    - complies with the assessment requirements of the relevant training package and accredited course
    - will be conducted in accordance with the Principles of Assessment and the Rules of Evidence
    - includes sufficient guidance to assessors to ensure reliable and valid assessment.

Clause 1.9
The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO’s scope of registration:

a) when assessment validation will occur;
b) which training products will be the focus of the validation;
c) who will lead and participate in validation activities; and
d) how the outcomes of these activities will be documented and acted upon.
Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

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The plan for validation has been implemented ✗ ☑ ☑

Reasons for finding of non-compliance:

- The validation plan does not state who will lead validation.
- The plan does not identify how the validation outcomes will be documented and acted upon.
- The validation plan was not implemented, as evidence of validation did not align with the dates in the validation plan.
- Validation is not sufficiently rigorous to effectively improve assessment as:
  - Validation records for SIS30313 and SIS40210 indicate that validation for 30 units of competency occurred on one day (23/2/15).
    The records do not provide evidence that assessment for each unit of competency was carried out; instead there is a summary for all units.
    The only improvement identified was that the ‘assessor guide could have clearer instructions’. There was no evidence that improvements had been made. The CEO stated that this validation took the whole day.
  - Validation records for HLT40312 indicate that validation for 12 units of competency occurred on one day (20/2/15). The records do not provide evidence that assessment for each unit of competency was carried out; instead there is a summary for all units.
    No opportunities for improvement were identified. Staff meeting minutes from 24/2/15 only state that, ‘Validation meeting for Massage course with Neil Minto went well’.
  - Assessment records for SIS30313 and SIS40210: There was no evidence in these records that validation included a consideration of completed assessments. Given this, validation did not test the effectiveness of the implementation of assessment tools.

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

- Develop a validation plan that states who will lead validation and how the validation outcomes will be documented and acted upon.
- Develop a validation process and supporting documentation that demonstrates that validation is sufficiently rigorous to effect improvements in assessment. The evidence provided is to include an explanation of how completed assessments will be analysed in order to determine the effectiveness of assessment tools.
- Provide evidence of commencement of the implementation of this process.
Analysis of rectification evidence:

- Evidence comprised of:
  - Rectification actions report
  - Assessment validation and moderation schedules and templates
  - Completed validation and moderation templates as aligned to the provided schedules
  - Risk management policy and procedure.

- The evidence provided confirmed a systematic and risk-management focused approach to moderation prior to assessment and validation following assessment.

- The requirements of the Clause have been met.

Clause 1.10
For the purposes of Clause 1.9, each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle, taking into account the relative risks of all of the training products on the RTO’s scope of registration, including those risks identified by the VET Regulator.

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The above have been achieved in implementing the plan for validation of assessment

Reasons for finding of non-compliance:

- The RTO’s validation procedures and practices do not include a consideration of relative risk of training products in scheduling validation. — Removed MRO Darwin 29-9-15

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

- Provide evidence that a consideration of the relative risk of training products is included in the scheduling of assessment validation. — Removed MRO Darwin 29-9-15

Clause 1.11
For the purposes of Clause 1.9, systematic validation of an RTO’s assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

a) vocational competencies and current industry skills relevant to the assessment being validated;

b) current knowledge and skills in vocational teaching and learning; and

c) the training and assessment qualification or assessor skill set referred to in Item 1 or 3 of Schedule 1.
Industry experts may be involved in validation to ensure there is the combination of expertise set out in (a) to (c) above.

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**Evidence guidance**

If no, clause is not audited. If yes:

- Validation of assessment has been completed for at least one training product. [X] [ ]
- Validation of assessment has been undertaken by one or more persons who, collectively, hold:
  - relevant vocational competencies and current industry skills [X] [ ]
  - current knowledge and skills in VET teaching and learning [X] [ ]
  - TAE40110 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor) [X] [ ]
- Final validation decisions are made by a person who was not directly involved with the delivery and assessment of the training product being validated [ ] [X]

**Reasons for finding of non-compliance:**

- The comments on the validation records (see 1.9) indicate that one recommendation was made by one industry expert.
- There was no record of a final decision being made about the status of this recommendation. Consequently it could not be determined the organisation had ensured decisions that were made were in accordance with the requirements of this Clause.

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

- Provide evidence that final validation decisions will be made by a person who is not directly involved with the delivery and assessment of the training product being validated.

**Analysis of rectification evidence:**

- Evidence comprised of:
  - Rectification actions report
  - Assessment validation schedules and templates
  - Completed validation templates as aligned to the provided schedules
  - Risk management policy and procedure
  - Extract from the training and assessment policy and procedure.
- The evidence confirmed that validation decisions would not be made by an assessor on their own work.
- The requirements of the Clause have been met.

Clause 1.12

The RTO offers recognition of prior learning to individual learners.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
</tr>
</thead>
</table>
| RPL has been offered to individual learners [X] [ ]

**Evidence guidance**

- [Y] [N]
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: Not compliant  Following rectification: Compliant

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 N</td>
<td>Y N</td>
<td>Y N</td>
</tr>
<tr>
<td>Anthony Spark</td>
<td>10046NAT</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
</tr>
<tr>
<td>Ian Martin</td>
<td>BSB40407, SIS30313, SIS40210</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
</tr>
<tr>
<td>Aaron Whear</td>
<td>BSB40407</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
</tr>
<tr>
<td>Martin Ojea</td>
<td>HLT40312</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
</tr>
<tr>
<td>Chris Hughes</td>
<td>SIS30313 and SIS40210</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
</tr>
<tr>
<td>Erin Splatt</td>
<td>SIS30313 and SIS40210</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
</tr>
<tr>
<td>David Bourke</td>
<td>HLTAIM003</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
<td>☒ ☐</td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:
- Aaron Whear (BSB40407 Certificate IV in Small Business Management)
  - is no longer at the RTO and his file not available.
- Ian Martin (Certificate IV in Small Business Management)
  - The only evidence provided to establish vocational currency for this trainer and assessor was a mapping document. Information within the document was not sufficient to confirm he met these requirements.
In order to become compliant, the organisation is required to:

- Provide evidence that there is a trainer in place who is adequately qualified to deliver the BSB40407 Certificate IV in Small Business Management.

Analysis of rectification evidence:

- On 25 September 2015, ASQA approved the organisation's application to remove BSB40407 Certificate IV in Small Business Management and its successor from its scope of registration.

- The requirements of this Clause have now been met.

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: Not compliant

Following rectification: Compliant

<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>X</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>Erin Splatt, Martin Ojea, David Bourke, Chris Hughes</td>
<td>Y</td>
<td>N</td>
<td>Y</td>
</tr>
<tr>
<td>Aaron Whear, Anthony Spark, Ian Martin</td>
<td>N</td>
<td>N</td>
<td>N</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:

- Ian Martin holds the TAA40104 Certificate IV in Training and Assessment. Equivalence with the TAE40110 has not been established. There was no evidence that supervision arrangements were in place.

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

- Provide evidence that supervision arrangements are in place for Ian Martin or provide evidence that he holds the TAE40110 or equivalent.

Analysis of rectification evidence:

- Evidence was provided that this staff member will not participate in any further training and assessment until he has completed his TAE40110 Certificate IV in Training and Assessment.

- The requirements of this Clause have now been met.
**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.

<table>
<thead>
<tr>
<th>Original finding:</th>
<th>Not audited</th>
<th>Following rectification:</th>
<th>n/a</th>
</tr>
</thead>
</table>

**Evidence guidance**

The RTO uses assessors that conduct assessment only. If no, clause is not audited. If yes:

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

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
- equivalent competencies to TAE40110 (TAA40104 is equivalent)
- diploma or higher qualification in adult education
- equivalent competencies to diploma or higher qualification in adult education
- TAESS00001 Assessor skill set or its successor
- equivalent competencies to TAESS00001 Assessor skill set

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

**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.

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

**Evidence guidance**

Trainers and assessors undertake professional development in the knowledge and practice of vocational training, learning and assessment.
of vocational training, learning and assessment, including competency based training and assessment.

Reasons for finding of non-compliance:
Anthony Spark
Martin Ojea
Aaron Whear
David Bourke
- No evidence was provided of professional development in competency based training and assessment for the abovementioned trainers.

In order to become compliant, the organisation is required to:
Anthony Spark
Martin Ojea
Aaron Whear
David Bourke
- Provide evidence that professional development in the knowledge and practice of competency based training and assessment has been undertaken by the above listed trainers and assessors.

Analysis of rectification evidence:
- Evidence provided comprised of, but was not limited to:
  - Certificates of completion and attendance at VINO and VELG sessions and workshops
  - Professional development plans and logs.
- The evidence confirmed the requirements of this Clause have been met.

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 compliant
Following rectification: Compliant

<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>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:
- According to the CEO he supervises Ian Martin however there was no evidence to support this.
- This trainer stated at audit that he occasionally carries out assessment, contrary to the requirements of this clause and the advice of the CEO.

In order to become compliant, the organisation is required to:
• Provide evidence that suitable supervision arrangements are in place for Ian Martin and that he will not determine assessment outcomes.

Analysis of rectification evidence:
• Evidence was provided that Ian Martin will not participate in any further training and assessment until he has completed his TAE40110 Certificate IV in Training and Assessment.

• The requirements of this Clause have now been met.

Clause 1.18
The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

a) holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;

b) has vocational competencies at least to the level being delivered and assessed; and

c) has current industry skills directly relevant to the training and assessment being provided.

Original finding: Not compliant  Following rectification: Compliant

Evidence guidance

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>

Ian Martin

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

• equivalent competencies to TAESS00003

• TAESS00007 Enterprise trainer – presenting skill set or its successor

• equivalent competencies to TAESS00007

• TAESS00008 Enterprise trainer – mentoring skill set or its successor

• equivalent competencies to TAESS00008

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:
- Ian Martin was nominated to deliver and assess the SIS40210 Certificate IV in Fitness. No evidence was provided to confirm he has any of the required TAE Skills Sets nor has equivalence been established.

*In order to become compliant, the organisation is required to:*
- Provide evidence that Ian Martin either holds one of the TAE Skills Sets or establish equivalent competence.

*Analysis of rectification evidence:*
- Evidence was provided that Ian Martin will not participate in any further training and assessment until he has completed his TAE40110 Certificate IV in Training and Assessment.
- The requirements of this Clause have now been met.

**Clause 1.19**
Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.

<table>
<thead>
<tr>
<th>Original finding: Not compliant</th>
<th>Following rectification: Compliant</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td>Y</td>
</tr>
<tr>
<td>Training and assessment complies with Standard 1</td>
<td>☐</td>
</tr>
</tbody>
</table>

*Reasons for finding of non-compliance:*
- There was no evidence provided that delivery and assessment was supervised. Refer to Clause 1.17.

*In order to become compliant, the organisation is required to:*
- Refer Clause 1.17.

*Analysis of rectification evidence:*
- Refer to evidence analysis in Clause 1.17.

- The requirements of this Clause have been met.

**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.

<table>
<thead>
<tr>
<th>Original finding: Not compliant</th>
<th>Following rectification: Compliant</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td>Y</td>
</tr>
<tr>
<td>Supervision arrangements have been identified</td>
<td>☐</td>
</tr>
<tr>
<td>People delivering training under supervision have been monitored by the supervising trainer</td>
<td>☐</td>
</tr>
</tbody>
</table>
Reasons for finding of non-compliance:

- The CEO advised he supervises Ian Martin. There was no evidence to support this had occurred.
- This trainer stated at audit that he occasionally carries out assessment, contrary to the requirements of this clause and the advice of the CEO.

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

- Provide evidence to confirm that suitable supervision arrangements are in place for Ian Martin and that he will not determine assessment outcomes.

Analysis of rectification evidence:

- Evidence was provided that Ian Martin will not participate in any further training and assessment until he has completed his TAE40110 Certificate IV in Training and Assessment.
- The requirements of this Clause have now been met.

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

<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>
<tr>
<td>If no, clause is not audited. If yes:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

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
Clause 1.26
Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:

a) where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register;

b) where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register;

c) where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and

d) a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.

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>One or more training products on the RTO's scope of registration has been superseded, removed or deleted since 1 April 2015</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

If no, clause is not audited. If yes:

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learners have been completed and issued certification or transferred to the replacement within one year of training products being superseded</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Learners have been completed and issued certification within two years of qualifications being removed or deleted</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Learners have been completed and issued certification within one year of skill sets, units, modules or short courses being removed or deleted</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Learners are not commenced in training products that have been removed or deleted</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
</tbody>
</table>

Clause 1.27
The requirements specified in Clause 1.26 (a) do not apply where a training package requires the delivery of a superseded unit of competency.  

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>One or more training products on the RTO's scope of registration requires delivery of a superseded unit of competency</td>
<td>☐</td>
<td>☒</td>
</tr>
</tbody>
</table>

If no, clause is not audited. If yes:

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The superseded unit of competency has continued to be delivered as required by training product packaging rules</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

STANDARD 2 The operations of the RTO are quality assured. 
To be compliant with Standard 2 the RTO must meet the following:
Clause 2.1
The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.

Original finding: Not compliant
Following rectification: Compliant

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is compliant with the clauses sampled across all operations within its scope of registration</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:
- The audit found that the RTO was not compliant in Standards 1, 2, 4, 5, 6 and 7.

In order to become compliant, the organisation is required to:
- Demonstrate that the RTO is compliant in Standards 1, 2, 4, 5, 6 and 7.

Analysis of rectification evidence:
- Evidence was provided that rectified non-compliances against Standards 1, 2, 4, 5, 6 and 7.
- The requirements of this Clause have been met.

Clause 2.2
The RTO:
- a) systematically monitors the RTO’s training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and
- b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO’s training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

Original finding: Not compliant
Following rectification: Compliant

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training and assessment strategies and practices are systematically monitored, including evaluation of:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• AVETMISS data</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• quality indicator data</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• validation outcomes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• client feedback</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• trainer and assessor feedback</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• complaints and appeals</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:
- The RTO’s continuous improvement procedures refer to regular meetings for continuous improvement purposes.

Meeting minutes and validation meeting minutes (which included Advisory Committee Meetings) did not provide evidence that a systematic continuous improvement approach to improve the
The quality of training and assessment was implemented.

- The RTO has not evaluated AVETMISS data and validation outcomes. The CEO submitted AVETMISS data but not its analysis as the basis for continuous improvement.

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

- Provide evidence that the RTO has a robust continuous improvement strategy in place, which considers the range of data described in Clause 2.2.

Analysis of rectification evidence:

- Evidence provided comprised of:
  - Rectification actions summary
  - AQTF survey questionnaires
  - Client evaluation forms
  - Complaints and appeals register
  - Employer evaluation forms
  - AVETMISS and QI data summaries
  - Strategy review forms
  - Course and industry advisory terms of reference
  - Continuous improvement register and schedules

- The evidence provided confirms a robust and inclusive continuous improvement strategy that considers a range of data and intelligence.

- The requirements of the Clause have been met.

**Clause 2.3**
The RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td></td>
</tr>
<tr>
<td>Third party arrangements are in place for delivery of services</td>
<td>Y</td>
</tr>
<tr>
<td>If no, clauses 2.3 – 2.4 are not audited. If yes:</td>
<td>N</td>
</tr>
<tr>
<td>A written agreement is in place for each arrangement (also refer Clause 8.2)</td>
<td>N/A</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: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td></td>
</tr>
<tr>
<td>Strategies have been developed to systematically monitor third party arrangements to ensure services comply with these Standards</td>
<td>Y</td>
</tr>
<tr>
<td>The above strategies have been implemented</td>
<td>N</td>
</tr>
</tbody>
</table>
STANDARD 3
The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.
To be compliant with Standard 3 the RTO must meet the following:

Clause 3.1
The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.

Original finding: Compliant  Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Only learners who have been assessed as meeting the requirements of the training product are issued with AQF certification documentation</td>
<td>☒  ☐</td>
</tr>
</tbody>
</table>

Clause 3.2
All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.

Original finding: Compliant  Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>AQF certification documentation:</td>
<td>☒  ☐</td>
</tr>
<tr>
<td>• complies with the AQF Qualifications Issuance Policy</td>
<td>☒  ☐</td>
</tr>
<tr>
<td>• complies with the requirements of Schedule 5 to these Standards</td>
<td>☒  ☐</td>
</tr>
<tr>
<td>• a register of all qualifications issued is maintained</td>
<td>☒  ☐</td>
</tr>
</tbody>
</table>

Reference: AQF Qualifications Issuance Policy, AQF Qualifications Register Policy

Clause 3.3
AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete, and providing all agreed fees the learner owes to the RTO have been paid.

Original finding: Compliant  Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>AQF certification documentation is issued within 30 days of all requirements being met</td>
<td>☒  ☐</td>
</tr>
</tbody>
</table>

Clause 3.4
Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.

Original finding: Compliant  Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records of qualifications and statements of attainment issued, sufficient to enable reissuance, are retained for a period of 30 years</td>
<td>☒  ☐</td>
</tr>
<tr>
<td>The above records are accessible to current and past learners</td>
<td>☒  ☐</td>
</tr>
</tbody>
</table>
Clause 3.5
The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:
   a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or
   b) authenticated VET transcripts issued by the Registrar.

Original finding: Compliant  Following rectification: n/a

Evidence guidance

Credit is provided to learners for units or modules where evidenced by AQF certification documentation or an authenticated VET transcript (unless licensing or regulatory requirements prevent this)  ☒  ☐

Clause 3.6
The RTO meets the requirements of the Student Identifier scheme, including:
   a) verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;
   b) ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014;
   c) ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar; and
   d) ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

Original finding: Compliant  Following rectification: n/a

Evidence guidance

Student Identifiers are verified before being used  ☒  ☐

AQF certification document is only issued to an individual with a verified Student Identifier, unless an exemption applies  ☒  ☐

Where an exemption applies, learners are informed prior to commencement that results will not be included in the USI system  ☒  ☐  ☐

Security of Student Identifiers and related records is ensured  ☒  ☐

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: 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>X</td>
<td></td>
</tr>
<tr>
<td>• accurately represents the RTO scope of registration</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• includes the RTO code</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>• only refers to a person or organisation with their consent</td>
<td></td>
<td></td>
<td>X</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></td>
<td>X</td>
</tr>
<tr>
<td>• identifies where a third party is recruiting prospective learners on behalf of the RTO</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>• identifies where training and assessment is being provided on behalf of another RTO</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>• identifies where training and assessment is being provided by a third party</td>
<td></td>
<td></td>
<td>X</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 <a href="http://www.training.gov.au">www.training.gov.au</a></td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>• includes accurate information about licensed or regulated outcomes</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>• includes details about financial support provided, including VET FEE-HELP</td>
<td></td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>
• includes details about relevant government funding subsidies  ☒  ☐  ☐

Does not guarantee that a learner:

• will successfully complete a training product  ☒  ☐

• can complete a training product in a manner not compliant with Clauses 1.1 or 1.2  ☒  ☐

• will obtain a particular employment outcome unless this is in the control of the RTO  ☒  ☐

Reasons for finding of non-compliance:

• Marketing materials did not use the code and title of NRT qualifications as stated on www.training.gov.au.

• Marketing materials stated that, ‘A Registered Training Organisation such as WYN Training must follow this process as per requirements set out by the Government’ ‘This process’ referred to the requirement for the candidate to complete an evidence matrix. This information is inaccurate and misleading.

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

• Provide revised marketing materials so that:
  o the code and title of all NRT qualifications appears as stated on www.training.gov.au.
  o Marketing materials do not make any inaccurate statements

Analysis of rectification evidence:

• Evidence provided comprised of:
  o Rectification actions report
  o Screenshots of its website information for HLT40312, SIS30313 and SIS40210
  o Course flyer for HLT40312
  o The Client Information Handbook.

• The evidence provided confirmed qualification information now aligns to information on www.training.gov.au and all information within the documents provided accurately reflects the organisation’s scope of registration and obligations.

• The requirements of the Clause have now been met.

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: Not compliant  Following rectification: Compliant

Evidence guidance  Y  N

Information is provided to prospective learners, prior to enrolment or commencement of  ☒  ☐
training or assessment whichever comes first, about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies

**Reasons for finding of non-compliance:**

**BSB40407 Certificate IV in Small Business Management**

- The RTO did not have pre-enrolment materials in place for BSB40407 Certificate IV in Small Business Management.

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

- Ensure that there are pre-engagement materials that meet the requirements of Standard 5 in place for the BSB40407 Certificate IV in Small Business Management or its successor.

**Analysis of rectification evidence:**

- On 25 September 2015, ASQA approved the organisation's application to remove the above this qualification and its successor from its scope of registration.

**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:** Not compliant  
**Following rectification:** Compliant

**Evidence guidance**

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>
Reasons for finding of non-compliance:

- The pre-enrolment information provided did not meet the requirements of this Clause.

**HLT40312 Certificate IV in Massage Therapy Practice**

- The RTO Website states that the full-time course is 22 weeks; however, the flyer states duration is 28 weeks.

**SIS30313 Certificate III in Fitness**

**SIS40210 Certificate IV in Fitness**

- The titles of the qualifications are not listed as stated on www.training.gov.au and as required by the Clause.

- The website (on page ‘Become a personal trainer) referred only to the ‘Certificate 3’ and the ‘Certificate 4’ and the ‘Cert III’ and ‘Cert IV’.

  The website (on page, ‘Browse a fitness course that works for you’) included titles but not the codes of these programs. In addition the titles are in lower case as opposed to their correct format as per www.training.gov.au.

**SIS30313 Certificate III in Fitness**

- The website (on page ‘Cert III in Fitness [SIS30313]) truncates the word ‘Certificate’ in the title of the qualification to ‘Cert’.
**SiS40210 Certificate IV in Fitness**

- The website (on page ‘Certificate IV in Fitness [SiS40210]’ truncates the word ‘Certificate’ in the title of the qualification to ‘Cert’.

**STUDENT HANDBOOK**

- The Client Information Handbook states that clients have the right to a refund if the course is not provided in full. Reference to the RTO closing is not included in the reasons for non provision of the course.

**RPL DOCUMENTATION**

- The RPL documentation submitted by the RTO (RPL qualification and experience matrix): stated that the fee for RPL was $500, ‘with additional costs of $100 per hour payable if further time is required to clarify any of the information supplied in support of the application’.

  This information contradicted pre-enrolment materials, which stated that RTL costs $150 per unit.

*In order to become compliant, the organisation is required to:*  
- Provide evidence that:  
  - Pre-enrolment materials accurately describe the duration of HLT40312  
  - Codes and titles of training products are accurately stated in pre-enrolment materials  
  - Pre-enrolment materials include information about arrangements should the RTO close after a student’s course commences.  
  - Pre-enrolment information about RPL fees does not contradict information within the RPL tools themselves.

**Analysis of rectification evidence:**

- Rectification evidence comprised of:  
  - Rectification summary document  
  - Client information handbook  
  - Course outline for HLT40312  
  - Information in the RPL kit for HLT40312  
  - Website screenshots of specific course information for HLT40312, SIS30313 and SIS40210.

- Analysis of the evidence provided confirmed:  
  - the duration of HLT40312 is now accurately described  
  - Codes and titles of training products are accurately listed for each for each of the qualifications  
  - Pre-enrolment materials now include information about relevant arrangements should the RTO close after a student’s course commences.  
  - Pre-enrolment information about RPL fees is now accurately stated in all referenced materials.

- The requirements of the Clause have now been met.

---

**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:

- all relevant fee information including:
  - i) fees that must be paid to the RTO; and
  - ii) payment terms and conditions including deposits and refunds;
- 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>Original finding</th>
<th>Following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not compliant</td>
<td>Compliant</td>
</tr>
</tbody>
</table>

<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>
<tr>
<td>Written information is provided on the following, prior to enrolment or commencement:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• all fees that must be paid</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>• payment terms and conditions</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>• refund terms and conditions</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>• the learner’s statutory right to a cooling-off period</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

**Reasons for finding of non-compliance:**

- For HLT40312 Certificate IV in Massage Therapy Practice, the website (wyn.edu.au, accessed 30/7/15) states fees are $4295. The flyer states fees are $4195.
- Section 1.1 of the Client Information handbook relating to the RTO’s refund policy states it does not charge an enrolment fee; however Section 3.6 states that the enrolment fee is non-refundable.
- The information on fees states that there is a re-assessment fee of $150 per assessment but there was explanation as to how this would be applied.
- The RPL fee in the fee information is different to that in the RPL application form.

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

- Revise fee information so that:
  - fees are accurately and consistently stated
  - the refund policy is unambiguous
  - it is explained when and how the re-assessment fee is applied
  - RPL fees are accurately and consistently stated

**Analysis of rectification evidence:**

- Rectification evidence comprised of:
  - Rectification summary document
  - Client information handbook
  - Screenshot of the providers website
  - Course flyer for HLT40312
  - Information in the RPL kit for HLT40312.

- Analysis of the above documents identified that:
  - fees payable, including RPL, are consistently articulated in all documents
  - the refund policy is clear and detailed
  - the process that will occur to trigger the re-assessment fee being applied.

- The requirements of the Clause have now been met.
### 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>Original finding: Compliant</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y  N  N/A</td>
</tr>
</tbody>
</table>

| STANDARD 6                     | Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively. Subject to Clause 6.6, to be compliant with Standard 6 an RTO must meet the following: |

### Clause 6.1
The RTO has a complaints policy to manage and respond to allegations involving the conduct of:
- a) the RTO, its trainers, assessors or other staff;
- b) a third party providing services on the RTO’s behalf, its trainers, assessors or other staff; or
- c) a learner of the RTO.

<table>
<thead>
<tr>
<th>Original finding: Compliant</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y  N  N/A</td>
</tr>
</tbody>
</table>

- learners consist only of employees or members, and
- learners do not pay any fees, and
- an organisational complaints and appeals policy is in place broad enough to cover all training and/or assessment services provided.

If yes to the above, Clauses 6.1 – 6.4 are not audited, go to Clause 6.5. If no:

A complaints policy (may be combined with appeals) has been developed to respond to complaints about:
- the RTO
- RTO staff
- learners
- third parties

### Clause 6.2
The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO’s behalf.

<table>
<thead>
<tr>
<th>Original finding: Compliant</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y  N</td>
</tr>
</tbody>
</table>

An appeals policy has been developed covering decisions made for or on behalf of the RTO (may be combined with complaints):
Clause 6.3

The RTO’s complaints policy and appeals policy:

a) ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
b) are publicly available;
c) set out the procedure for making a complaint or requesting an appeal;
d) ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and
e) provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

Original finding: Not compliant  Following rectification: Compliant

Evidence guidance

- adopt the principles of natural justice and procedural fairness by:
  o informing those involved of the allegations ☒ ☐
  o providing those involved an opportunity to present their side of the matter ☒ ☐
  o operating in a fair an unbiased way ☒ ☐
- are publicly available ☐ ☒
- include a procedure for submitting a complaint or appeal ☒ ☐
- ensure complaints and appeals are acknowledged in writing ☒ ☐
- ensure complaints and appeals are finalised as soon as practicable ☒ ☐
- provide for review of complaints and appeals by an independent party ☒ ☐

Reasons for finding of non-compliance:

- The complaints and appeals policy is not publicly available. There is no reference to the policy on the RTO’s website.

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

- Provide evidence that the RTO’s complaints and appeals policy is publicly available.

Analysis of rectification evidence:

- Rectification evidence comprised of:
  o Rectification summary document
  o Screenshot of website
  o Client information handbook.

- A review of the organisation’s evidence and the website itself confirmed the complaints and appeals policy is now publicly available.

- The requirements of the Clause have now been met.

Clause 6.4

Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:
a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
b) regularly updates the complainant or appellant on the progress of the matter.

Original finding: Compliant  Following rectification: n/a

Evidence guidance

Where more than 60 calendar days have been required to process a complaint or appeal:

- the complainant or appellant is advised in writing of the reasons
- the complainant or appellant is regularly updated in writing

Clause 6.5
The RTO:

a) securely maintains records of all complaints and appeals and their outcomes; and
b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

Original finding: Compliant  Following rectification: n/a

Evidence guidance

Secure records are maintained of all complaints and appeals and their outcomes

Potential cause of complaints and appeals are identified and corrective action taken

Clause 6.6
Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

Original finding: Not audited  Following rectification: n/a

Evidence guidance

An organisational complaints and appeals policy is in place broad enough to cover all training and/or assessment services provided.

STANDARD 7
The RTO has effective governance and administration arrangements in place.

To be compliant with Standard 7 the RTO must meet the following:

Clause 7.1
The RTO ensures that its executive officers or high managerial agent:

a) are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and
b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

Not audited

Clause 7.2
The RTO satisfies the *Financial Viability Risk Assessment Requirements*.

Not audited

**Clause 7.3**

Where the RTO requires, either directly or through a third party, a prospective or current learner to prepay fees in excess of a total of $1500 (being the threshold prepaid fee amount), the RTO must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.

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

**Evidence guidance**

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepaid fees in excess of $1,500 are collected from individual learners</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If no, clause is not audited. If yes:</td>
<td></td>
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</table>

**Government entities and universities**

The RTO implements a policy addressing learner fee protection arrangements. This policy details how, if the RTO is unable to provide services for which the learner has prepaid, the learner will *either*:

- be placed into an equivalent course such that:
  - the new location is suitable to the learner
  - the learner receives the full services for which they have prepaid at no additional cost to the learner; or

- be paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount

**Other RTOs**

All learners are protected by one or more of the following:

- the RTO holds an unconditional financial guarantee from a bank operating in Australia where:
  - the guarantee is for an amount no less than the total amount of prepaid fees held by the RTO in excess of the threshold prepaid fee amount for each learner for services to be provided by the RTO to those learners; and
  - all establishment and ongoing maintenance costs for the bank guarantee are met by the RTO

- the RTO holds current membership of a Tuition Assurance Scheme approved by ASQA

- any other fee protection measure approved by ASQA

**Reasons for finding of non-compliance:**

- There was a credit card receipt for $2495 paid on 9/7/15 for the Certificate III in Fitness on one student’s file, in the sample of student files selected at audit.

  Given this, the RTO has accepted more than $1500 in advance without having in place suitable protection mechanisms. The CEO stated that the RTO does not accept more than $1500 in advance and that this must have been an oversight.

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

- Provide evidence it has investigated whether there are any other occurrences of fees over $1500 having been collected in advance.
- Provide evidence that arrangements are in place to protect any student fees of more than $1500 collected in advance.

**Analysis of rectification evidence:**
- Rectification evidence comprised of:
  - Rectification summary document
  - Rectification statement
  - Spreadsheet with student payments
  - Letter from RTO’s accountant
  - Client information handbook.

- The organisation has provided evidence the error identified at audit was the only instance of this kind of error. Corrective actions included but were not limited to, a review by the organisation’s accountant and staff re-training and following up assessment of their understanding of the policy.

- The requirements of the Clause have now been met.

<table>
<thead>
<tr>
<th>Clause 7.4</th>
<th>The RTO holds public liability insurance that covers the scope of its operations throughout its registration period.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Original finding:</td>
<td>Not audited</td>
</tr>
<tr>
<td>Following rectification:</td>
<td>n/a</td>
</tr>
<tr>
<td>Evidence guidance</td>
<td></td>
</tr>
<tr>
<td>Public liability insurance is in place that:</td>
<td></td>
</tr>
<tr>
<td>- provides coverage for the RTO</td>
<td>Y  N</td>
</tr>
<tr>
<td>- covers training and assessment activities</td>
<td>Y  N</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Clause 7.5</th>
<th>The RTO provides accurate and current information as required by the Data Provision Requirements as updated from time to time.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not audited</td>
<td></td>
</tr>
</tbody>
</table>

**STANDARD 8** | The RTO cooperates with the VET Regulator and is legally compliant at all times.

To be compliant with Standard 8 the RTO must meet the following:

<table>
<thead>
<tr>
<th>Clause 8.1</th>
<th>The RTO cooperates with the VET Regulator:</th>
</tr>
</thead>
<tbody>
<tr>
<td>a)</td>
<td>by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO’s registration;</td>
</tr>
<tr>
<td>b)</td>
<td>in the conduct of audits and the monitoring of its operations;</td>
</tr>
<tr>
<td>c)</td>
<td>by providing quality/performance indicator data;</td>
</tr>
<tr>
<td>d)</td>
<td>by providing information about substantial changes to its operations or any event that would significantly affect the RTO’s ability to comply with these standards within 90 calendar days of the change occurring;</td>
</tr>
<tr>
<td>e)</td>
<td>by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and</td>
</tr>
<tr>
<td>f)</td>
<td>in the retention, archiving, retrieval and transfer of records.</td>
</tr>
</tbody>
</table>
### 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 co-operates with ASQA:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- by providing accurate and truthful responses to information requests relevant to the RTO’s registration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- in the conduct of audits and the monitoring of its operations</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>- in the retention, archiving, retrieval and transfer of records</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Reference: [ASQA General Direction – Retention requirements for completed student assessment items](#)

### Clause 8.2
The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:

- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- b) in the conduct of audits and the monitoring of its operations.

### Evidence guidance

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Third party arrangements are in place for delivery of services (also refer Clause 2.3)</td>
<td></td>
</tr>
</tbody>
</table>

If no, clause is not audited. If yes:

Written agreements include a clause requiring that third parties co-operate with ASQA in:

- providing accurate and factual responses to information requests from ASQA relevant to the delivery of services
- in the conduct of audits and the monitoring of its operations

### Clause 8.3
The RTO notifies the Regulator:

- a) of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
- b) within 30 calendar days of the agreement coming to an end.

Not audited

### Clause 8.4
The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:

- a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and
- b) has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.
Clause 8.5
The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

Not audited

Clause 8.6
The RTO ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

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>Staff and clients are informed of changes to legislative and regulatory requirements that affect the services delivered</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>