



Audit report – VET Quality Framework Standards for Registered Training Organisations (RTOs) 2015

ORGANISATION DETAILS

Organisation's legal name	Imagine Education Australia Pty Ltd as Trustee for The Imagine Education Australia Unit Trust
Trading name/s	Imagine Education Australia
RTO number	31302
CRICOS number	02695C

AUDIT TEAM

Lead auditor	Emma Betts
Auditor/s	Daniel Taylor
Technical adviser/s	n/a

AUDIT DETAILS

Application number/s	n/a
Audit number/s	1005955
Audit reason 1	Compliance - monitoring
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	13 Benowa Road SOUTHPORT QLD 4215
Date/s of audit	10/03/2015
Organisation's contact for audit	Ms Rebecca Gunn Training Manager rgunn@imagineeducation.com. 07 5552 0900 au
Clauses audited	1.8, 1.13, 1.14, 1.15, 1.16, 2.1

BACKGROUND

- Imagine Education Australia was first registered as a training organisation on 08/02/2006. Its current registration is due to expire in 2016.
- A VET and CRICOS monitoring audit was conducted on 16-18/04/2013. Following the review of rectification evidence, outstanding non-compliances remained in (VET) SNR 15.4, 15.5, 17.4 and 18.1 and in (CRICOS) Standard 1.2.
- The organisation was informed of a notice of intent to impose a sanction. A written response was provided by the organisation in response to the notice, and on 16/12/2013 the organisation was



informed it had demonstrated compliance and ASQA would not proceed with the imposition of the sanction.

- This VET compliance monitoring audit has been authorised by the Commissioner, Compliance in line with normal business rules that a compliance audit be conducted twelve months after the achievement of compliance through a sanction evidence review process.
- The organisational structure consists of three directors, Bill Adler – CEO/Principal and fulfils the role of responsible officer for the organisation; and Co-director Viryan Collins-Rubie. Rebecca Gunn is the Director of Education. The organisation also has a number of administrative staff and trainers and assessors.
- The organisation operates from premises located at 13 Benowa Road, Southport, QLD 4215 (main campus and administration), 8/46 Smith Street, Southport, QLD 4215 (automotive campus), and 9 Lawson Street, Southport, QLD 4215 (beauty therapy, fitness, hairdressing and commercial cookery kitchen campus).
- In addition to the provision of training and assessment, the organisation operates a child care centre, a beauty therapy and hairdressing business, a vehicle repair garage, and a hospitality restaurant (with liquor licence).
- Overseas students represent 70% of the student base. Domestic students enrol either through access to User Choice funding, Certificate III Guarantee funding (aged care and children’s services) or fee for service.

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

- **621**

AUDIT SAMPLE			
Code	Training product	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
AUR30612	Certificate III in Light Vehicle Mechanical Technology	Face to face with work placement	10
BSB51107	Diploma of Management	Face to face	32
CHC30113	Certificate III in Early Childhood Education and Care	Face to face with work placement	47
CHC30212	Certificate III in Aged Care	Face to face with work placement	22
SIB30110	Certificate III in Beauty Services	Face to face with work placement	1
SIB50110	Diploma of Beauty Therapy	Face to face with work placement	12
SIH30111	Certificate III in Hairdressing	Face to face with work placement	94
SIT30813	Certificate III in Commercial Cookery	Face to face with work placement	51
SIT50313	Diploma of Hospitality	Face to face with work placement	37

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



INTERVIEWEES

Name	Position	Training product
William C Adler	Chief Executive Officer / Co-Principal	n/a
Viryann Collins-Rubie	Chief Executive Officer / Co-Principal	n/a
Rebecca Gunn	Director of Education	n/a

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 10/03/2015: Minor 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 21/04/2015: Compliant

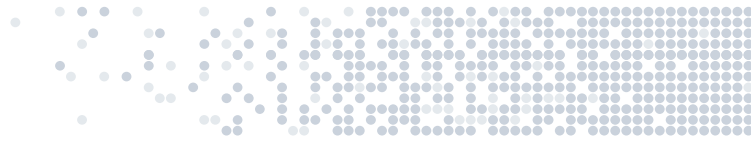
AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
Standard 1	Not compliant	Compliant
Standard 2	Not compliant	Compliant
Standard 3	Not audited	n/a
Standard 4	Not audited	n/a
Standard 5	Not audited	n/a
Standard 6	Not audited	n/a
Standard 7	Not audited	n/a
Standard 8	Not audited	n/a

ABOUT THIS REPORT

This report details findings against the *Standards for Registered Training Organisations (RTOs) 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:

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 audited

Following rectification: n/a

Evidence guidance	Y	N	N/A
A training and assessment strategy (or strategies) was provided for each training product sampled	<input type="checkbox"/>	<input type="checkbox"/>	
Each strategy is consistent with the requirements of the training product	<input type="checkbox"/>	<input type="checkbox"/>	
Each strategy provides a framework to guide the learning requirements and the training and assessment arrangements of each training product – the macro level requirements of the learning and assessment process	<input type="checkbox"/>	<input type="checkbox"/>	
Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product	<input type="checkbox"/>	<input type="checkbox"/>	
Each strategy has been consistently implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

1.2 For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:
 a) the existing skills, knowledge and the experience of the learner;
 b) the mode of delivery; and
 c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:		
<ul style="list-style-type: none"> the existing skills, knowledge and experience of learners 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> the mode/s of delivery 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> the number of units and/or modules being delivered 	<input type="checkbox"/>	<input type="checkbox"/>
Each strategy is consistent with the AQF volume of learning benchmarks, taking into account the above items	<input type="checkbox"/>	<input type="checkbox"/>

Reference: [AQF](#), [AQF volume of learning](#)

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

1.3 The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

- a) trainers and assessors to deliver the training and assessment;
- b) educational and support services to meet the needs of the learner cohort/s



undertaking the training and assessment;
 c) learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
 d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

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

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N N/A

Training and assessment strategies and resources are consistent with the requirements of each training product sampled

Training and assessment practices are consistent with the requirements of each training product sampled

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

Training and assessment practices are informed by and consistent with the outcomes from industry engagement strategies

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

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.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N N/A

A range of industry engagement strategies have been developed

Industry engagement strategies have been implemented



Outcomes from industry engagement strategies have been systematically used to inform:	<input type="checkbox"/>	<input type="checkbox"/>	
• training and assessment strategies	<input type="checkbox"/>	<input type="checkbox"/>	
• training and assessment practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• resources, including facilities and equipment	<input type="checkbox"/>	<input type="checkbox"/>	
• current industry skills required to be held by trainers and assessors	<input type="checkbox"/>	<input type="checkbox"/>	

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

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

Evidence guidance	Y	N
Support needs of learners have been identified	<input type="checkbox"/>	<input type="checkbox"/>
Learners have access to educational and support services necessary for them to meet the requirements of the relevant training product	<input type="checkbox"/>	<input type="checkbox"/>

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:** Compliant

Evidence guidance	Y	N	N/A
AUR30612 Certificate III in Light Vehicle Mechanical Technology			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

AURTTA2004 Carry out servicing operations

Assessment tools consist of:

- Short/long answer written assessment (report and research components)
- Carry out 3 vehicle services:
 - 1x minor
 - 2x major services on different vehicles
- Student records: Zachary Clark, Janely Pokk

AURLTX3003 Diagnose and repair light vehicle clutch systems

Assessment tools consist of:

- Short/long answer written assessment



- 3x Practical demonstration activities:
 - Diagnose Test & Repair Clutch (Fault: slipping clutch)
 - Diagnose Test & Repair Clutch (Fault: Not fully releasing)
 - Routine service of clutch
- Student records: Zachary Clark, Janely Pokk

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

AURTTA200 4		AURLTX300 3		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

AURTTA200 4		AURLTX300 3		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
BSB51107 Diploma of Management			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



BSBLED501A Develop a workplace learning environment

Assessment tools consist of:

- Written Knowledge Assessment
- Case Study
- Project:
 - design and develop learning environment for professional development
 - develop a training session
- Student records: See Woo Yoo, Aoibheann Maria Moynihan

BSBMGT515A Manage operational plan

Assessment tools consist of:

- Written Knowledge Assessment
- Case Study
- Project:
 - Develop, implement and review an operational plan
- Student records: See Woo Yoo, Aoibheann Maria Moynihan

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

BSBLED501 A		BSBMGT515 A		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

BSBLED501 A		BSBMGT515 A		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to



					substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

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

CHC30113 Certificate III in Early Childhood Education and Care

Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

CHCECE005 Provide care for babies and toddlers

Assessment tools consist of:

- Student assessment cover sheet - theory
- Theory assessment tasks (short answer questions, true/false, case studies)
- Student assessment cover sheet - workplace
- Workplace assessment tasks (answers require workplace experience)
- Practical observation checklist (clustered CHCECE010, CHCECE006, CHCECE012, CHCECE001, CHCPRT001, CHCECE002, CHCECE003, CHCECE004, CHCECE013, CHCECE007, CHCECE009, CHCECE005)
- Student assessment guide
- Assessor guide
- Assessor guide for theory assessment tasks
- Assessor guide for workplace assessment tasks
- Student files - Li Li, Angela Purcell-Gilpin

HLTHIR404D Work effectively with Aboriginal and/or Torres Strait Islander people

Assessment tools consist of:

- Student assessment cover sheet - theory
- Theory assessment tasks (case studies, short answer questions)
- Student assessment guide
- Assessor marking guide
- Assessor guide

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

CHCECE005		HLTHIR404D		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical



				application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

CHCECE005		HLTHIR404D		Evidence guidance:	
Y	N	Y	N		
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
CHC30212 Certificate III in Aged Care *note - units selected also delivered in CHC30312 Certificate III in Home and Community Care			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

CHCPA301B Deliver care services using a palliative approach

Assessment tools consist of:

- Student assessment - theory
- Student assessment guide
- Assessor marking guide
- Assessor Guide
- Clustered practical observation - CHCAC319A, CHCWHS312A, CHCICS302B, CHCPA301B, CHCCS411C, CHCAC318B, CHCICS303A, CHCAC317A, CHCICS301B, CHCICS304B
- Student files - Rebecca Harders, Ariel Corrales

CHCAC319A Provide support to people living with dementia

Assessment tools consist of:

- Student assessment - theory
- Student assessment guide
- Assessor marking guide
- Assessor guide
- Clustered practical observation - CHCAC319A, CHCWHS312A, CHCICS302B, CHCPA301B, CHCCS411C, CHCAC318B, CHCICS303A, CHCAC317A, CHCICS301B, CHCICS304B



- Student files - Rebecca Harders, Ariel Corrales

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

CHCPA301B		CHCAC319A		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

CHCPA301B		CHCAC319A		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
SIB30110 Certificate III in Beauty Services			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SIBXCCS201A Conduct financial transactions

Assessment tools consist of:

- Student assessment - short answer questions, practical demonstration



- Practical assessment. Three observations
- Student assessment guide
- Assessor marking guide
- Student file - Barbara Massey

SIBBHRS301A Perform waxing treatments

Assessment tools consist of:

- Student assessment - short answer questions, practical demonstration
- Practical assessment clustered with SIBBHRS301A and SIBBCCS301A. Three observations
- Student assessment guide
- Assessor marking guide
- Student file - Mariana De Araujo Santana

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

SIBXCCS201 A		SIBBHRS301 A		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

SIBXCCS201 A		SIBBHRS301 A		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past



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

SIB50110 Diploma of Beauty Therapy			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SIBXCCS201A - Refer to SIB30110 Certificate III in Beauty Services

Assessment tools consist of:

- N/A

SIBBBOS506A Use reflexology relaxation techniques in beauty treatments

Assessment tools consist of:

- Student assessment - short answer questions, practical demonstration
- Practical observation - three observations
- Student assessment guide
- Assessor marking guide
- Assessor guide
- Student files - Kamila Potuzakova, Kayla Fothergill

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

N/A		SIBBBOS506 A		
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

N/A	SIBBBOS506 A	
-----	-----------------	--



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

Evidence guidance	Y	N	N/A
SIH30111 Certificate III in Hairdressing			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SIBXCCS201A - Refer to SIB30110 Certificate III in Beauty Services

Assessment tools consist of:

- N/A

SIHHHCS307A Combine structures for traditional and classic men's haircut designs

Assessment tools consist of:

- Student assessment - short answer questions
- Practical observation - 4 observations. Analysis of types of haircuts
- Practical observation - 3 observations
- Assessor marking guide
- Assessor guide
- Student files - Catherine Weaver, Barbara Massey

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

N/A		SIHHHCS307A		Evidence guidance:	
Y	N	Y	N		
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)	
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed	
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed	
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed	
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level	
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application	
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods	
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments	



<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

N/A		SIHHHCS30 7A		
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
SIT30813 Certificate III in Commercial Cookery			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SITHCCC302 Produce seafood dishes

Assessment tools consist of:

- Written knowledge assessment
- Practical demonstration assessment:
 - prepare, cook and clean for 6 dishes
- Student records accurate and complete:
 - Lai Chang-Ting
 - Nicola Bislop

SITXINV202 Maintain the quality of perishable items

Assessment tools consist of:

- Written knowledge assessment
- Practical demonstration assessment:
 - prepare, cook and clean for 6 dishes
- Student records accurate and complete:
 - Lai Chang-Ting
 - Nicola Bislop

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

SITHCCC302		SITXINV202		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)



<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

SITHCCC302		SITXINV202			
Y	N	Y	N	Evidence guidance:	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
SIT50313 Diploma of Hospitality			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

BSBMGT515A - See BSB51107 Diploma of Management

Assessment tools consist of:

- N/A

SITXFIN501 Prepare and monitor budgets

Assessment tools consist of:

- Written knowledge questions
- Project:
 - Assessment 1: Develop operational budget plan
 - Assessment 2: Update operational budget plan
 - Assessment 3: Implement plan with assessor figures



- Student records accurate and complete:
 - Kristin Carrera
 - Erin Feeney

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

N/A		SITXFIN501		
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

N/A		SITXFIN501		
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module’s specifications
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner’s own work
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Reasons for finding of non-compliance:

CHC30113 Certificate III in Early Childhood Education and Care

CHCECE005 Provide care for babies and toddlers

- The assessments do not address all requirements of the Performance Evidence or ensure sufficiency of assessment evidence. Specifically, it cannot be confirmed that demonstrated evidence that the learner “provides care to at least three different babies and toddlers of varying ages using safe and hygienic practices” including all practices required is considered.



- Demonstrated evidence of these practices is collected on one occasion within the workplace assessment task.
- While the assessor does undertake direct observation of the learner, which could collect evidence of another two occasions, the decision-making criteria does not consider sufficient assessment evidence to substantiate a competency judgement.

HLTHIT404D Work effectively with Aboriginal and/or Torres Strait Islander people

- The assessments do not address all requirements of the Essential Skills, including the ability to effectively do the tasks outlined in all Performance Criteria, or ensure sufficiency of assessment evidence. Specifically, it cannot be confirmed the learner demonstrates the ability to “form effective relationships with a person from another culture” and to “form mutual mentoring arrangements with Aboriginal and/or Torres Strait Islander people” so that they may work in partnership with Aboriginal and Torres Strait islander people and communities.
 - In discussion with the trainer and assessor it was advised that all learners attend an Aboriginal community centre where they are given a tour of the premises and ask questions of a community leader. While this activity can be used to form relationships and arrangements with Aboriginal and/or Torres Strait Islander people, it is not included in an assessment task.

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

CHC30113 Certificate III in Early Childhood Education and Care

CHCECE005 Provide care for babies and toddlers

HLTHIT404D Work effectively with Aboriginal and/or Torres Strait Islander people

- Provide revised assessment tools which demonstrate that sufficient assessment evidence is considered to address all requirements of the unit of competency, and particularly all Performance Evidence or Essential Skills (including all Performance Criteria) as applicable.
- The revised assessment tools are to be supported with instructions for the learner and assessor and any decision-making criteria.

Analysis of rectification evidence:

CHC30113 Certificate III in Early Childhood Education and Care

CHCECE005 Provide care for babies and toddlers

HLTHIT404D Work effectively with Aboriginal and/or Torres Strait Islander people

- The organisation provided revised assessment tools which demonstrated that sufficient assessment evidence is considered to address all requirements of the unit of competency, and particularly all Performance Evidence or Essential Skills (including all Performance Criteria) as applicable.
- The revised assessment tools are supported with instructions for the learner and assessor and any decision-making criteria.

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 audited

Following rectification: n/a

Evidence guidance

Y N N/A

A plan for ongoing systematic validation of assessment has been developed that identifies:



• When assessment validation will occur for each training product on the RTO's scope of registration	<input type="checkbox"/>	<input type="checkbox"/>
• Who will lead and participate in validation activities	<input type="checkbox"/>	<input type="checkbox"/>
• How the validation outcomes will be documented and acted upon	<input type="checkbox"/>	<input type="checkbox"/>
The plan for validation has been implemented	<input type="checkbox"/>	<input type="checkbox"/>

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.

Original finding: Not audited	Following rectification: n/a		
Evidence guidance	Y	N	N/A
The plan for validation of assessment ensures:			
• All training products will be validated at least once every five years	<input type="checkbox"/>	<input type="checkbox"/>	
• At least 50% of training products will be validated in the first three years of the above cycle	<input type="checkbox"/>	<input type="checkbox"/>	
• Relative risk of all training products are taken into account in scheduling validation	<input type="checkbox"/>	<input type="checkbox"/>	
• Training products identified as high risk by ASQA are taken into account in scheduling validation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The above have been achieved in implementing the plan for validation of assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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.

Original finding: Not audited	Following rectification: n/a	
Evidence guidance	Y	N
Validation of assessment has been completed for at least one training product.	<input type="checkbox"/>	<input type="checkbox"/>
If no, clause is not audited. If yes:		
Validation of assessment has been undertaken by one or more persons who, collectively, hold:		
• Relevant vocational competencies and current industry skills	<input type="checkbox"/>	<input type="checkbox"/>
• Current knowledge and skills in VET teaching and learning	<input type="checkbox"/>	<input type="checkbox"/>
• TAE40110 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor)	<input type="checkbox"/>	<input type="checkbox"/>
Final validation decisions are made by a person who was not directly involved with the	<input type="checkbox"/>	<input type="checkbox"/>



delivery and assessment of the training product being validated

1.12 The RTO offers recognition of prior learning to individual learners.		
Original finding: Not audited	Following rectification: n/a	
Evidence guidance	Y	N
RPL has been offered to individual learners	<input type="checkbox"/>	<input type="checkbox"/>

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:		
<ul style="list-style-type: none"> a) vocational competencies at least to the level being delivered and assessed; b) current industry skills directly relevant to the training and assessment being provided; and c) current knowledge and skills in vocational training and learning that informs their training and assessment. 		
Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.		

Original finding: Compliant	Following rectification: n/a	
Evidence Guidance	Y	N
Skills and knowledge of trainers and assessors have been verified	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Stephen Nugent		
Trainer/assessor of following training products within scope of audit:		
AUR30612 Certificate III in Light Vehicle Mechanical Technology		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Dixie Angus		
Trainer/assessor of following training products within scope of audit:		
BSB51107 Diploma of Management		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Kirstie McGuire		
Trainer/assessor of following training products within scope of audit:		



CHC30113 Certificate III in Early Childhood Education and Care		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

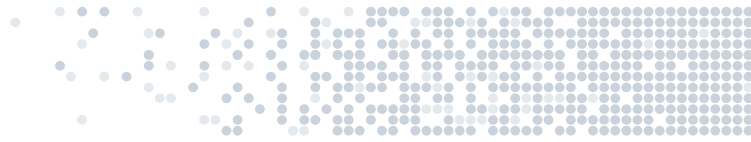
Chandra Mehera		
Trainer/assessor of following training products within scope of audit:		
CHC30212 Certificate III in Aged Care		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Renee Astras		
Trainer/assessor of following training products within scope of audit:		
SIB30110 Certificate III in Beauty Services		
SIB50110 Diploma of Beauty Therapy		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Tania Halbert-Brown		
Trainer/assessor of following training products within scope of audit:		
SIH30111 Certificate III in Hairdressing		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Geoffrey Anstee		
Trainer/assessor of following training products within scope of audit:		
SIT30813 Certificate III in Commercial Cookery		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Christina Donaldson		
Trainer/assessor of following training products within scope of audit:		



SIT50313 Diploma of Hospitality		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

1.14 The RTO's training and assessment is delivered only by persons who have:
 a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and
 b) ~~from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.~~

Original finding: Compliant	Following rectification: n/a	
Evidence Guidance	Y	N
VET qualifications of trainers and assessors have been verified	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Stephen Nugent		
Each trainer must meet at least one of the following four requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

Dixie Angus		
Each trainer must meet at least one of the following four requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

Kirsty McGuire		
Each trainer must meet at least one of the following four requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

Chandra Mehera



Each trainer must meet at least one of the following four requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

Renee Astras

Each trainer must meet at least one of the following four requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

Tania Halbert-Brown

Each trainer must meet at least one of the following four requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

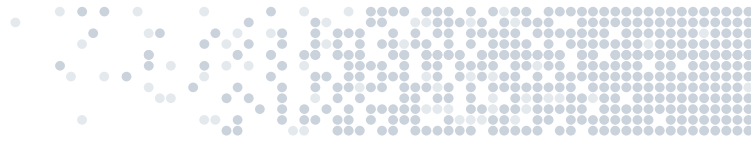
Geoffrey Anstee

Each trainer must meet at least one of the following four requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

Christina Donaldson

Each trainer must meet at least one of the following four requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

**1.15 Where a person conducts assessment only, the RTO ensures that the person has:
a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or**



**Item 2 or Item 3 of Schedule 1, or demonstrated equivalence of competencies; and
b) from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.**

Original finding: Not audited

Following rectification: n/a

Evidence guidance

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

Y	N
<input type="checkbox"/>	<input checked="" type="checkbox"/>

Each assessor (that conducts assessment only) must meet at least one of the following six 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

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

Each assessor (that 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

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

1.16 The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

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

Y	N
<input checked="" type="checkbox"/>	<input type="checkbox"/>

1.17 Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

People delivering training under supervision are utilised
If no, clauses 1.17 – 1.20 are not audited, go to Clause 1.21. If yes:

Y	N
<input type="checkbox"/>	<input type="checkbox"/>



Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y **N**

TAE training product/s are included in the audit scope
If no, clause is not audited. If yes:

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

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

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

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

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: Not audited

Following rectification: n/a

Evidence guidance	Y	N	N/A
One or more training products on the RTO's scope of registration has been superseded, removed or deleted since 1 April 2015 If no, clause is not audited. If yes:	<input type="checkbox"/>	<input type="checkbox"/>	
Learners have been completed and issued certification or transferred to the replacement within one year of training products being superseded	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learners have been completed and issued certification within two years of qualifications being removed or deleted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learners have been completed and issued certification within one year of skill sets, units, modules or short courses being removed or deleted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learners are not commenced in training products that have been removed or deleted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i>			

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

Evidence guidance	Y	N
One or more training products on the RTO's scope of registration requires delivery of a superseded unit of competency If no, clause is not audited. If yes:	<input type="checkbox"/>	<input type="checkbox"/>
The superseded unit of competency has continued to be delivered as required by training product packaging rules	<input type="checkbox"/>	<input type="checkbox"/>

**Standard 2. The operations of the RTO are quality assured.
To be compliant with Standard 2 the RTO must meet the following:**

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

Evidence guidance	Y	N
The RTO is compliant with the clauses sampled across all operations within its scope of registration	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

- As non-compliances were identified within Clause 1.8, the RTO has not ensured it complies with the Standards at all times.

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

- Provide evidence that demonstrates compliance with the non-compliances identified within Clause 1.8.

Analysis of rectification evidence:

- The organisation provided evidence that demonstrated compliance with the non-compliances identified within Clause 1.8.

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 audited **Following rectification:** n/a

Evidence guidance	Y	N
Training and assessment strategies and practices are systematically monitored, including evaluation of:		
<ul style="list-style-type: none"> AVETMISS data Quality indicator data Validation outcomes Client feedback Trainer and assessor feedback Complaints and appeals 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Outcomes of monitoring have informed improvement activities	<input type="checkbox"/>	<input type="checkbox"/>

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.

Original finding: Not audited **Following rectification:** n/a

Evidence guidance	Y	N
Third party arrangements are in place for delivery of services	<input type="checkbox"/>	<input type="checkbox"/>
If no, clauses 2.3 – 2.4 are not audited. If yes:		
A written agreement is in place for each arrangement (also refer Clause 8.2)	<input type="checkbox"/>	<input type="checkbox"/>



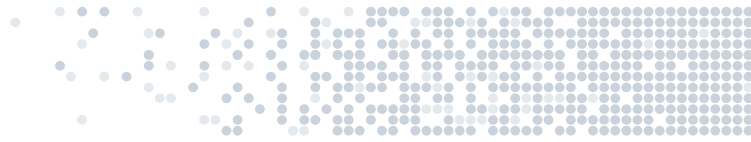
NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

2.4 The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.				
Original finding: Not audited		Following rectification: n/a		
Evidence guidance	Y	N	N/A	
Strategies have been developed to systematically monitor third party arrangements to ensure services comply with these Standards	<input type="checkbox"/>	<input type="checkbox"/>		
The above strategies have been implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i>				

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:				
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: Not audited		Following rectification: n/a		
Evidence guidance	Y	N		
Only learners who have been assessed as meeting the requirements of the training product are issued with AQF certification documentation	<input type="checkbox"/>	<input type="checkbox"/>		

3.2 All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.				
Original finding: Not audited		Following rectification: n/a		
Evidence guidance	Y	N		
AQF certification documentation:				
• Complies with the AQF Qualifications Issuance Policy	<input type="checkbox"/>	<input type="checkbox"/>		
• Complies with the requirements of Schedule 5 to these Standards	<input type="checkbox"/>	<input type="checkbox"/>		
• A register of all qualifications issued is maintained	<input type="checkbox"/>	<input type="checkbox"/>		
Reference: AQF Qualifications Issuance Policy , AQF Qualifications Register Policy				

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: Not audited		Following rectification: n/a		



Evidence guidance	Y	N
AQF certification documentation is issued within 30 days of all requirements being met	<input type="checkbox"/>	<input type="checkbox"/>

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

Evidence guidance	Y	N
Records of qualifications and statements of attainment issued, sufficient to enable reissuance, are retained for a period of 30 years	<input type="checkbox"/>	<input type="checkbox"/>
The above records are accessible to current and past learners	<input type="checkbox"/>	<input type="checkbox"/>

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.

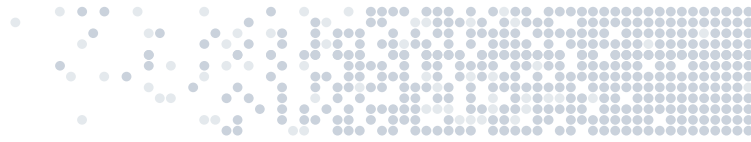
Original finding: Not audited **Following rectification:** n/a

Evidence guidance	Y	N
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)	<input type="checkbox"/>	<input type="checkbox"/>

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

Evidence guidance	Y	N	N/A
Student Identifiers are verified before being used	<input type="checkbox"/>	<input type="checkbox"/>	
AQF certification document is not issued to an individual without a verified Student Identifier, unless an exemption applies	<input type="checkbox"/>	<input type="checkbox"/>	
Where an exemption applies, learners are informed prior to commencement that results will not be included in the USI system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Security of Student Identifiers and related records is ensured

NOTE – ALL RTOs must comply with Clause 3.6 from 1 January 2015

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:

- 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.

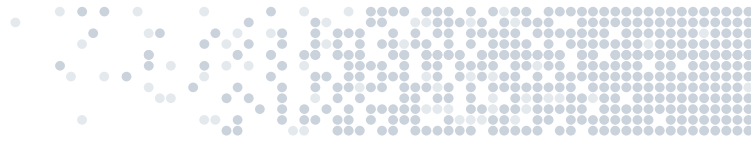
Original finding: Not audited

Following rectification: n/a

Evidence guidance

Advertising and marketing:

- | | Y | N | N/A |
|---|--------------------------|--------------------------|------------|
| • Is accurate and factual | <input type="checkbox"/> | <input type="checkbox"/> | |
| • Accurately represents the services provided | <input type="checkbox"/> | <input type="checkbox"/> | |
| • Accurately represents the RTO scope of registration | <input type="checkbox"/> | <input type="checkbox"/> | |



• Includes the RTO code	<input type="checkbox"/>	<input type="checkbox"/>	
• Only refers to a person or organisation with their consent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Identifies where a third party is recruiting prospective learners on behalf of the RTO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Identifies where training and assessment is being provided on behalf of another RTO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Identifies where training and assessment is being provided by a third party	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Distinguishes between national recognised training and other training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Includes the code and title of each training product as per training.gov.au	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Includes accurate information about licensed or regulated outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Includes details about financial support provided, including VET FEE-HELP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Includes details about relevant government funding subsidies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does not guarantee that a learner:			
• will successfully complete a training product	<input type="checkbox"/>	<input type="checkbox"/>	
• can complete a training product in a manner not compliant with Clauses 1.1 or 1.2	<input type="checkbox"/>	<input type="checkbox"/>	
• will obtain a particular employment outcome unless this is in the control of the RTO	<input type="checkbox"/>	<input type="checkbox"/>	

Standard 5. Each learner is properly informed and protected.
To be compliant with Standard 5 the RTO must meet the following:

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 audited

Following rectification: n/a

Evidence guidance

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

Y	N
<input type="checkbox"/>	<input type="checkbox"/>

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 audited

Following rectification: n/a

Evidence guidance	Y	N	N/A
Prior to enrolment or commencement, written information is provided on the following:			
• Code and title of the training product as per training.gov.au	<input type="checkbox"/>	<input type="checkbox"/>	
• Currency of the training product	<input type="checkbox"/>	<input type="checkbox"/>	
• Estimated duration of training and/or assessment	<input type="checkbox"/>	<input type="checkbox"/>	
• Location/s where training and/or assessment will be provided	<input type="checkbox"/>	<input type="checkbox"/>	
• Mode/s of delivery	<input type="checkbox"/>	<input type="checkbox"/>	
• Name and contact details of any third party providing services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Work placement arrangements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Confirmation that the RTO is responsible for compliance of training and/or assessment	<input type="checkbox"/>	<input type="checkbox"/>	
• Confirmation that the RTO is responsible for issuance of AQF certification documentation	<input type="checkbox"/>	<input type="checkbox"/>	
• Details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4)	<input type="checkbox"/>	<input type="checkbox"/>	
• The learner's rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment	<input type="checkbox"/>	<input type="checkbox"/>	
• The learner's obligation to repay any VET FEE-HELP debt	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Any entry requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Any materials and equipment the learner must provide	<input type="checkbox"/>	<input type="checkbox"/>	
• Any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



5.3 Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

- a) all relevant fee information including:
 - i) fees that must be paid to the RTO; and
 - ii) payment terms and conditions including deposits and refunds;
- b) the learner’s rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;
- c) the learner’s right to obtain a refund for services not provided by the RTO in the event the:
 - i) arrangement is terminated early; or
 - ii) the RTO fails to provide the agreed services.

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N	N/A
Fees are collected from individual learners	<input type="checkbox"/>	<input type="checkbox"/>	
If no, clause is not audited. If yes: Written information is provided on the following, prior to enrolment or commencement:			
• All fees that must be paid	<input type="checkbox"/>	<input type="checkbox"/>	
• Payment terms and conditions	<input type="checkbox"/>	<input type="checkbox"/>	
• Refund terms and conditions	<input type="checkbox"/>	<input type="checkbox"/>	
• The learner’s statutory right to a cooling-off period	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.4 Where there are any changes to agreed services, the RTO advises the learner as soon as practicable, including in relation to any new third party arrangements or a change in ownership or changes to existing third party arrangements.

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N	N/A
Learners are advised of any changes to agreed services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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:

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.

Original finding: Not audited

Following rectification: n/a



- Provide for review of complaints and appeals by an independent party

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: Not audited	Following rectification: n/a		
Evidence guidance	Y	N	N/A
Where more than 60 calendar days have been required to process a complaint or appeal:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• The complainant or appellant is advised in writing of the reasons	<input type="checkbox"/>	<input type="checkbox"/>	
• The complainant or appellant is regularly updated in writing	<input type="checkbox"/>	<input type="checkbox"/>	

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: Not audited	Following rectification: n/a		
Evidence guidance	Y	N	N/A
Secure records are maintained of all complaints and appeals and their outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Potential cause of complaints and appeals are identified and corrective action taken	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

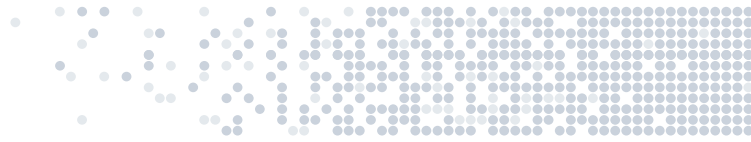
6.6 Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has 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	Y	N
An organisational complaints and appeals policy is in place broad enough to cover all training and/or assessment services provided.	<input type="checkbox"/>	<input type="checkbox"/>

Standard 7. The RTO has effective governance and administration arrangements in place. To be compliant with Standard 7 the RTO must meet the following:

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

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

Not audited

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.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

Prepaid fees in excess of \$1,500 are collected from individual learners

If no, clause is not audited. If yes:

7.4 The RTO holds public liability insurance that covers the scope of its operations throughout its registration period.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

Public liability insurance is in place that:

- Provides coverage for the RTO
- Covers training and assessment activities

7.5 The RTO provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.

Not audited

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:

8.1 The RTO cooperates with the VET Regulator:

- a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;**
- b) in the conduct of audits and the monitoring of its operations;**
- c) by providing quality/performance indicator data;**
- d) 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;
- e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and
 - f) in the retention, archiving, retrieval and transfer of records.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

The RTO co-operates with ASQA:

- By providing accurate and truthful responses to information requests relevant to the RTO's registration
- In the conduct of audits and the monitoring of its operations
- By providing quality/performance indicator data
- By providing information about substantial changes to its operations or significant changes to its ownership or any event that would significantly affect the RTO's ability to comply with these standards within 90 days of the change occurring
- In the retention, archiving, retrieval and transfer of records

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

- 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.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

Third party arrangements are in place for delivery of services (also refer Clause 2.3)

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

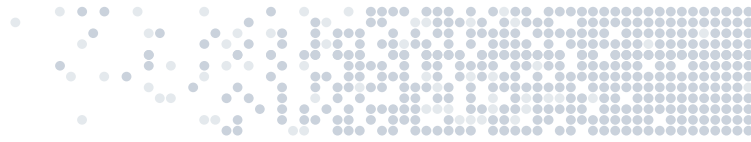
8.3 The RTO notifies the Regulator:

- 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

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.

Not audited

8.5 The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

Not audited

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: Not audited

Following rectification: n/a

Evidence guidance

Y N

Staff and clients are informed of changes to legislative and regulatory requirements that affect the services delivered