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

ORGANISATION DETAILS

<table>
<thead>
<tr>
<th>Organisation’s legal name:</th>
<th>Australis College Pty Ltd</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trading name/s:</td>
<td>Beauty Skills Academy</td>
</tr>
<tr>
<td></td>
<td>Australis Natural Health College</td>
</tr>
<tr>
<td></td>
<td>Australis College</td>
</tr>
<tr>
<td>RTO number:</td>
<td>31518</td>
</tr>
<tr>
<td>CRICOS number:</td>
<td>n/a</td>
</tr>
</tbody>
</table>

AUDIT TEAM

| Lead auditor:                   | Janet Tkachenko            |
| Auditor/s:                      | n/a                        |
| Technical advisor/s:            | n/a                        |

AUDIT DETAILS

| Application number/s:           | n/a                        |
| Audit number/s:                 | 1007898                    |
| Audit reason 1:                 | Compliance - complaint     |
| Audit reason 2:                 | n/a                        |
| Audit reason 3:                 | n/a                        |
| Activity type:                  | Site visit                 |
| Address of site/s visited:      | 170 Leichhardt Street, Spring Hill, QLD 4000 |
| Date/s of audit:                | 7 May 2015                 |
| Organisation’s contact for audit: | Andrew Hetherington | CEO |
|                                  | andrew.hetherington@australiscolledge.edu.au | 1300887991 |

| Clauses audited:                | Clauses 1.1, 1.2, 1.7, 1.8, 2.3, 2.4, 4.1, 5.1, 5.2, 5.3 |

BACKGROUND

- Australis College Pty Ltd was first registered in 2007. Its scope of registration includes a wide range of industries, including business, finance, health, beauty and community services.
- This compliance audit resulted from a complaint on Australis College’s practices related to a CHC50612 Diploma of Community Services Work course, approved for VET FEE-HELP.
- It is also part of a wider ASQA strategic audit process focussing on courses that attract VET FEE-HELP.
- The audit assessed the organisation’s compliance with the VET Quality Framework.
- CHC50612 Diploma of Community Services Work core clients are fee-for-service.
The organisation's senior management includes the CEO, General Manager Operations, General Manager Marketing, National Quality Manager, National Sales Manager, National Training Manager and Student Support Manager.

The organisation offers predominately on-line delivery with the head office located at Spring Hill Brisbane.

The organisation currently has third party outsourcing arrangements in place for student recruitment with iLearn Education Group, Funded Study, Get Course and iEducate.

Subsequent to the site visit component of the audit, a number of current students were interviewed with regard to their experience in enrolling with Australis College Pty Ltd. Of those interviewed:

- 11% did not know the name of the RTO they had enrolled in
- 5% did not know the name of the course they had enrolled in
- 100% were unsure of the cost of the course
- 5% identified they were incapable of undertaking the course due to poor English
- 44% were offered financial or other inducements to enrol in the course
- 100% were unsure of the course duration
- 11% did not know the mode of course delivery
- 22% did not understand their rights and responsibilities in relation their obligations to VET FEE-HELP
- 22% were ‘cold called’ to enrol in the course.

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

- 73

### AUDIT SAMPLE

<table>
<thead>
<tr>
<th>Code</th>
<th>Training products</th>
<th>Mode/s of delivery / assessment*</th>
<th>Current enrolments (If not yet on scope, record N/A)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHC50612</td>
<td>Diploma of Community Services</td>
<td>On-line</td>
<td>73</td>
</tr>
</tbody>
</table>

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

### INTERVIEWEES

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Training products</th>
</tr>
</thead>
<tbody>
<tr>
<td>Andrew Hetherington</td>
<td>CEO</td>
<td></td>
</tr>
<tr>
<td>Marshal Newton</td>
<td>General Manager Operations</td>
<td></td>
</tr>
<tr>
<td>Dawn Foster</td>
<td>National Quality Manager</td>
<td></td>
</tr>
<tr>
<td>Vicki O'Callaghan</td>
<td>Student Support Manager</td>
<td></td>
</tr>
<tr>
<td>Sally Wernham</td>
<td>National Sales Manager</td>
<td></td>
</tr>
<tr>
<td>Wendy Webber</td>
<td>National Training Manager</td>
<td></td>
</tr>
<tr>
<td>Eloise Fay</td>
<td>Training Support Officer</td>
<td></td>
</tr>
<tr>
<td>Adriana Mesa</td>
<td>Trainer/Assessor</td>
<td></td>
</tr>
<tr>
<td>Simon Jarvis</td>
<td>General Manager Marketing</td>
<td>CHC50612 Diploma of Community Services</td>
</tr>
<tr>
<td>Lisa Street</td>
<td>Quality Auditor</td>
<td></td>
</tr>
</tbody>
</table>
Tony Feagan  
RTO Consultant

**ORIGINAL FINDING AT TIME OF AUDIT**

Audit finding as at 03/06/2015: Critical non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

**AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE**

Audit finding following analysis of additional evidence provided on 10/08/2015: Compliant

**AUDIT FINDING BY STANDARD**

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

**ABOUT THIS REPORT**

This report details findings against the Standards for Registered Training Organisations 2015.

The evidence guidance included against each clause is designed to guide the auditor and RTO on the requirements of the clause. The evidence guidance is not designed to limit the audit findings and there may be other factors an auditor takes into consideration when determining whether compliance has been demonstrated.

Where evidence of non-compliance is identified, the ‘Reasons for finding of non-compliance’ section of the report will document the issues that were considered in the formulation of a finding of non-compliance.
### STANDARD 1
The RTO’s training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses.
To be compliant with Standard 1 the RTO must meet the following:

| Clause 1.1 | The RTO’s training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled. |
| Original finding: | Compliant | Following rectification: | n/a |
| Evidence guidance | | | |
| A training and assessment strategy (or strategies) was provided for each training product sampled | Y | N | N/A |
| Each strategy is consistent with the requirements of the training product | X | | |
| 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 | Y | | |
| Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product | X | | |
| Each strategy has been consistently implemented | X | | |

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

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

| Original finding: | Compliant |
| Evidence guidance | | |
| For each training product sampled, the amount of training to be provided identified in each strategy is consistent with: | Y | N |
| - the existing skills, knowledge and experience of learners | X | |
| - the mode/s of delivery | X | |
| - the number of units and/or modules being delivered | X | |
| Each strategy is consistent with the AQF volume of learning benchmarks, taking into account the above items | X | |

**Reference: AQF, AQF volume of learning**

**NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015**
Clause 1.3
The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

- a) trainers and assessors to deliver the training and assessment;
- b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
- c) learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
- d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

Original finding: Not audited
Following rectification: n/a

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

Clause 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

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

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

Original finding: Not audited
Following rectification: n/a

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

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015
Clause 1.6
The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:
   a) its training and assessment strategies, practices and resources; and
   b) the current industry skills of its trainers and assessors.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>A range of industry engagement strategies have been developed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Industry engagement strategies have been implemented</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Outcomes from industry engagement strategies have been systematically used to inform:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• training and assessment strategies</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• training and assessment practices</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• resources, including facilities and equipment</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>• current industry skills required to be held by trainers and assessors</td>
<td></td>
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</tbody>
</table>

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

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

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

Clause 1.8
The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):
   a) complies with the assessment requirements of the relevant training package or VET accredited course; and
   b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHC50612 Diploma of Community Services Work</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assessment meets the assessment requirements of the training package or course.</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
CHCAD504B Provide advocacy and representation service (disability stream)

Assessment tools consist of:
SmallPrint/catapult resources
- Part 3: assessment tools:
  - assessment activity 1: identify role, processes and conditions of representation in consultation with individuals and key groups
  - assessment activity 2: seek the support of key people
  - assessment activity 3: determine and implement requirements for reporting accountability
  - assessment activity 4: identify relevant interests and concerns to be pursued in accordance with organisation priorities
  - assessment activity 5: undertake work to provide a framework for pursing promotion of relevant interests
  - assessment activity 6: create and respond routinely within work role to opportunities to reflect, promote and represents relevant interest
  - assessment activity 7: calculate and access the optimum impact of the development and decisions in terms of objectives and priorities
  - assessment activity 8: identify and develop appropriate strategic alliances and promote and support collaborative planning and action
  - assessment activity 9: identify potential areas of conflict and implement strategies and address them
  - assessment activity 10: determine and promote purpose and objectives and undertake appropriate work with organising committees and board of management to maximise effectiveness
  - assessment activity 11: analyse actual work outcomes and report against agreed objectives
  - assessment activity 12: implement adjustments to strategy according to evaluations
- Assessment tool 1 (AT1) assessment activities summary
- Assessment tool 2 (AT2) written/oral questions
- Assessment tool 3 (AT3) projects
- Assessment tool 4 (AT4) supervisor/third party/assessment demonstration report, competency report
- Student practical placement log book 1 (2 books) – student placement log book and third party report
- Student practical placement log book 2 – student placement log book observation comments, assessment 3 project to be completed in placement 1 to 7
- RPL CHCAD504B Provide advocacy and representation services – step 1: complete RPL process, step 2: list evidence supporting the application, step 3: prepare for your discussions with the assessor by answering questions, step 4: complete RPL declaration details, step 5: third party evidence verification recording sheet, step 6: RPL outcome, the assessor maps the questions, third party verification/practical tasks/other evidence
- Currently the organisation is re-building the unit of competency; moving away from SmallPrint resource.
- No students have completed this unit of competency. CHCAD504B is offered in stage 3

CHCDFV505C Counsel clients affected by domestic and family violence (working with families stream)

Assessment tools consist of:
Students are sent resource Skills for Human Service Practice, Agi O’Hara, Rosalie Pockett
Learner guide on a Moodle book (interactive) PowerPoint screen casts included information on components of the unit, the impact of domestic violence on a person, establish client confidence, policy, regulatory and legislative requirements, explore client issues, assessment, approaches to working with victims of domestic violence and references, required readings

- interactive links: Abigale's story; slap her; children's reactions; inside the circle: circle sentencing; insight: inside violent families; domestic violence counselling sessions, counselling a perpetrator of domestic violence and case notes

- assessor guide - assessments 1 to 3 (benchmark answers provided)
- assessment 1: questions; 7 short answer questions: explain client self-determination, list 10 factors to complete clients' needs assessments, list 5 facilitation tasks that can be completed when working with perpetrators of domestic violence, list 4 factors considered with ATSI clients, define a protection order, list 5 services and resources needed when advocating for clients, provide 4 guidelines for writing client notes
- assessment 2: case study (500 words) 1: list 6 strategies used to engage Kiara; 2: describe how you would demonstrate cultural sensitivity; 3: briefly describe how you would explain to Kiara that she is being abused; 4: domestic and family violence; 5: Protection Act; 6: research one service; 7: conduct a clients' needs assessment; 8: identify eight facilitation strategies; 9: provide 6 direct questions you could ask Kiara; 10: using the template complete the set of case notes for your initial counselling appointment, brief paragraph, reflect on your values, briefly discuss how the historical cultural policy context of domestic violence
- assessment 3: case study questions; case study 1: health care professional introduced, provide one example of how a worker speaking with Martha's husband; list 3 facilitation skills used by the worker to help Martha; identify two reasons that Martha is minimising her experience of violence; how has viewing this demonstration increased your understanding questions. Case study 2: list three interpersonal skills used by the worker, when Grace discloses abuse by her husband; the worker initially offers Grace contact with the police what additional support services are available
- Forum 1: understanding domestic violence (not assessed)
- Forum 2: circle sentencing questions, describe what you think of the use of circle sentencing and do you believe the use of circle sentencing is culturally appropriate
- Forum 3: perpetrators of domestic violence, discussion by two perpetrators of domestic violence discuss 2 challenging case study

Practical demonstration mapped as part of unit of competency CHCCSL501A Work within a structured counselling framework, CHCCSL501A A1,A2, A3

- Assessment task 3: practical assessment Part A: video skills practice demonstration (15 minutes) and assessment criteria marking guide Part B: reflective essay (1,000 words) assessed CHCCSL501A. Also completed as part of CHCDFV402C Manage own professional development in responding to domestic violence and family violence

Assessment mapping: PCs, elements, required skills and knowledge mapped to oral/written questions, projects (case studies) observations asynchronous. Note: Observations mapped to CHCDFV402C and CHCSL501A

- Student practical placement log book 1 (2 placement books); student placement log book; third party report
- Student practical placement log book 2; student placement log book observation comments, assessment 3 project to be completed in placement 1 to 7
- RPL CHCDV505C Counsel clients affected by domestic and family violence services; step 1: completed RPL process; step 2: list evidence supporting the application; step 3: prepare for your discussion with the assessor by answering questions; step 4: complete RPL declaration details; step 5: third party evidence verification recording sheet; step 6: RPL outcome, the assessor maps the questions, third party verification/practical tasks/other evidence
- No students have completed CHCDFV505C unit of competency.

Assessment records for CHCSL501A Work within a structured counselling framework for Paul Monk, Antoun Rahal and Michelle Burnlar were examined at audit. Reflective essay; counselling video and feedback; short answer responses
## Principles of Assessment – fairness, flexibility, validity, reliability:

<table>
<thead>
<tr>
<th>CHCAD504B</th>
<th>CHCDFV505 C</th>
<th>Evidence guidance:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Elements addressed (to levels as defined in performance criteria)</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Knowledge evidence/required knowledge addressed</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Performance evidence/required skills addressed</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Assessment conditions/critical aspects of evidence addressed</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Context and consistency of assessment addressed to appropriate AQF level</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Assessment of knowledge and skills is integrated with their practical application</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Assessment uses a range of assessment methods</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Criteria defining acceptable performance are outlined for all instruments</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Clear information about assessment requirements is provided (for assessors and students)</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Allows for reasonable adjustment and provides for objective feedback</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Considers dimensions of competency and transferability</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>CHCAD504B</th>
<th>CHCDFV505 C</th>
<th>Evidence guidance:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Validity: Assessment evidence considered has direct relevance to the unit or module’s specifications</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Authenticity: Assessment evidence gathered is the learner’s own work</td>
</tr>
<tr>
<td>Y Y N N</td>
<td>Y Y N N</td>
<td>Currency: Competency judgements include consideration of evidence from the present or the very recent past</td>
</tr>
</tbody>
</table>
### Clause 1.9

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

- when assessment validation will occur;
- which training products will be the focus of the validation;
- who will lead and participate in validation activities; and
- how the outcomes of these activities will be documented and acted upon.

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

**Evidence guidance**

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
- who will lead and participate in validation activities
- how the validation outcomes will be documented and acted upon

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

The plan for validation has been implemented

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

### Clause 1.10

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

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

**Evidence guidance**

The plan for validation of assessment ensures:

- all training products will be validated at least once every five years
- at least 50% of training products will be validated in the first three years of the above cycle
- relative risk of all training products are taken into account in scheduling validation
- training products identified as high risk by ASQA are taken into account in scheduling validation

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Clause 1.11

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

- vocational competencies and current industry skills relevant to the assessment being validated;
- 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.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Validation of assessment has been completed for at least one training product.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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
- current knowledge and skills in VET teaching and learning
- TAE40110 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor)

Final validation decisions are made by a person who was not directly involved with the delivery and assessment of the training product being validated

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>RPL has been offered to individual learners</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Each trainer / assessor must meet all requirements for each training product being delivered:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Trainer / Assessor name</th>
<th>Training product code/s delivered</th>
<th>1.13 (a)</th>
<th>1.13 (b)</th>
<th>1.13 (c)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Y</td>
<td>N</td>
<td>Y</td>
</tr>
</tbody>
</table>

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

Original finding: Not audited
Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>VET qualifications of trainers and assessors have been verified</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>

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

<table>
<thead>
<tr>
<th>Trainer / Assessor name</th>
<th>Schedule 1 Item 1</th>
<th>Schedule 1 Item 2</th>
<th>Demonstrated equivalence</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Y</td>
<td>N</td>
<td>Y</td>
</tr>
</tbody>
</table>

Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor
Schedule 1, Item 2: A Diploma or higher level qualification in adult education

Clause 1.15
Where a person conducts assessment only, the RTO ensures that the person has:
   a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1, or demonstrated equivalence of competencies; and
   b) from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.

Original finding: Not audited
Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>The RTO uses assessors that conduct assessment only.</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>If no, clause is not audited. If yes:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

Original finding: Not audited
Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>Trainers and assessors undertake professional development in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>
Clause 1.17
Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

Original finding: Not audited  Following rectification: n/a

### Evidence guidance

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

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

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

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

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

Original finding: Not audited  Following rectification: n/a

### Evidence guidance

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

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

Original finding: Not audited  Following rectification: n/a

### Evidence guidance

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

Clause 1.20
Without limiting Clauses 1.17 - 1.19, the RTO:

a) determines and puts in place:

i) the level of the supervision required; and

ii) any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and

b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.
Supervision arrangements have been identified

People delivering training under supervision have been monitored by the supervising trainer

**Clause 1.21**
Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment:

a) hold the training and assessment qualification at least to the level being delivered; or

b) have demonstrated equivalence of competencies.

**Original finding:** Not audited

**Following rectification:** n/a

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

**Clause 1.22**
From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

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

Not audited as clause does not commence until 1 January 2016

**Clause 1.23**
From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:

a) hold the qualification specified in Item 5 of Schedule 1; or

b) work under the supervision of a trainer that meets the requirement set out in (a) above.

Not audited as clause does not commence until 1 January 2017

**Clause 1.24**
The RTO must ensure that any individual working under supervision under Clause 1.23.b) holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes.

Not audited as clause does not commence until 1 January 2017

**Clause 1.25**
From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).

Not audited as clause does not commence until 1 January 2016

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

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

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

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

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

Original finding: Not audited
Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>One or more training products on the RTO’s scope of registration has been superseded, removed or deleted since 1 April 2015</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>If no, clause is not audited. If yes: Learners have been completed and issued certification or transferred to the replacement within one year of training products being superseded</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Learners have been completed and issued certification within two years of qualifications being removed or deleted</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Learners have been completed and issued certification within one year of skill sets, units, modules or short courses being removed or deleted</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Learners are not commenced in training products that have been removed or deleted</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

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

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

Original finding: Not audited
Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>One or more training products on the RTO’s scope of registration requires delivery of a superseded unit of competency</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>If no, clause is not audited. If yes:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The superseded unit of competency has continued to be delivered as required by training product packaging rules.

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

**Clause 2.1**
The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.

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

**Evidence guidance**

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

The RTO is compliant with the clauses sampled across all operations within its scope of registration.

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

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

**Evidence guidance**

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

Training and assessment strategies and practices are systematically monitored, including evaluation of:

- AVETMISS data
- quality indicator data
- validation outcomes
- client feedback
- trainer and assessor feedback
- complaints and appeals

Outcomes of monitoring have informed improvement activities.

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

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

**Evidence guidance**

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

Third party arrangements are in place for delivery of services

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)  

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

Clause 2.4  
The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.

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

Evidence guidance

- Strategies have been developed to systematically monitor third party arrangements  
  - to ensure services comply with these Standards  
  - The above strategies have been implemented

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

STANDARD 3  
The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.

To be compliant with Standard 3 the RTO must meet the following:

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

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

Evidence guidance

- Only learners who have been assessed as meeting the requirements of the training product are issued with AQF certification documentation

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

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

Evidence guidance

- AQF certification documentation:
  - complies with the AQF Qualifications Issuance Policy
  - complies with the requirements of Schedule 5 to these Standards
  - a register of all qualifications issued is maintained

Reference: [AQF Qualifications Issuance Policy](#), [AQF Qualifications Register Policy](#)

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

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

**Evidence guidance**

| AQF certification documentation is issued within 30 days of all requirements being met | Y | N |

**Clause 3.4**

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

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

**Evidence guidance**

| Records of qualifications and statements of attainment issued, sufficient to enable reissuance, are retained for a period of 30 years | Y | N |

The above records are accessible to current and past learners | N | N |

**Clause 3.5**

The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:

a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or

b) authenticated VET transcripts issued by the Registrar.

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

**Evidence guidance**

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

**Clause 3.6**

The RTO meets the requirements of the Student Identifier scheme, including:

a) verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;

b) ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014;

c) ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar; and

d) ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

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

**Evidence guidance**

| Student Identifiers are verified before being used | Y | N | N/A |

| AQF certification document is only issued to an individual with a verified Student | Y | N | N/A |
Identifier, unless an exemption applies

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

Security of Student Identifiers and related records is ensured

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

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

Clause 4.1
Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

a) accurately represents the services it provides and the training products on its scope of registration;
b) includes its RTO Code;
c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;h) includes the code and title of any training product, as published on the National Register, referred to in that information;i) only advertises or markets a non-current training product while it remains on the RTO's scope of registration;j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; andl) does not guarantee that:

i) a learner will successfully complete a training product on its scope of registration; or
ii) a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or
iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

<table>
<thead>
<tr>
<th>Advertising and marketing:</th>
</tr>
</thead>
<tbody>
<tr>
<td>is accurate and factual</td>
</tr>
<tr>
<td>accurately represents the services provided</td>
</tr>
</tbody>
</table>
• accurately represents the RTO scope of registration ❑ ❑
• includes the RTO code ❑ ❑
• only refers to a person or organisation with their consent ❑ ❑ ❑
• uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards ❑ ❑ ❑
• identifies where a third party is recruiting prospective learners on behalf of the RTO ❑ ❑ ❑
• identifies where training and assessment is being provided on behalf of another RTO ❑ ❑ ❑
• identifies where training and assessment is being provided by a third party ❑ ❑ ❑
• distinguishes between national recognised training and other training ❑ ❑ ❑
• includes the code and title of each training product as per www.training.gov.au ❑ ❑ ❑
• includes accurate information about licensed or regulated outcomes ❑ ❑ ❑
• includes details about financial support provided, including VET FEE-HELP ❑ ❑ ❑
• includes details about relevant government funding subsidies ❑ ❑ ❑

Does not guarantee that a learner:
• will successfully complete a training product ❑ ❑
• can complete a training product in a manner not compliant with Clauses 1.1 or 1.2 ❑ ❑
• will obtain a particular employment outcome unless this is in the control of the RTO ❑ ❑

Reasons for finding of non-compliance:

CHC50612 Diploma of Community Services Work
The following evidence was sighted at audit:
• Marketing sign off checklist
• Course flyers for Australis College, iEducate, Funded Study and iLearn
• Marketing checklist for Australis College, iEducate, Funded Study and iLearn signed 29 April 2015
• Adwords campaigns
• iLearn Education Group Facebook activity promoting RTO
• Get Course website
• iEducate website
• Australis website
• student practical placements workshop information.

The evidence provided does not support compliance with the requirements of Clause 4.1 a) and h) because:
• The organisation did not demonstrate that it provides accurate and factual information which informs prospective and current learners about the RTO, its services and performance. Examples include, but are not limited to:
  o the information on the iEducate third party student recruitment website did not adequately address CHC50612 Diploma of Community Services Work course duration;
entry requirements; work placement hours and course costs (4.1 a))

- The organisation did not demonstrate that it includes the code and title of the training product, as published on the National Register, referred to in that information. For example:
  - the information on the iEducate third party student recruitment website did not include CHC50612 Diploma of Community Services Work units of competency codes and titles (4.1 h)).

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

**CHC50612 Diploma of Community Services Work**

- Provide evidence that demonstrates that the RTO provides or directs the learner to information prior to enrolment or the commencement of training, whichever comes first, specifying:
  - accurate and factual information which informs prospective and current learners about the RTO, its services and performance to ensure all the requirements of Clause 4.1 are met, including information as required by 4.1 (a) and 4.1 (h)

**Analysis of rectification evidence**

**Supporting rectification evidence**

It must be noted that although Australia College stated that iEducate is no longer a recruitment agent for Australis College the iEducate website still refers to Australis College.

- CHC50612 Diploma of Community Services Work printed and web course flyers included information on course duration, entry requirements, work placements, units of competency codes and titles and links to course costs (iLearn Education Group, iEducate, Funded Study, Top Notch Learning, Employment Pathways, Australian Training Colleges)
- agent pack included conditions for using the RTO logo; conditions for ensuring VET FEE-HELP information is up-to-date; compliance obligations; marketing compliance checklist included the use of the RTO number; ensure all course codes and course units are up to date and not to offer laptops or iPads to students. Course information included course duration; work placements; entry requirements (Employment Pathways Australia 13 May 2015, iLearn Education Group 30 April 2015, Funded Study 29 April 2015, Advanced Training & Careers Pty Ltd 15 May 2015, Digital Optimization Pty Ltd 15 June 2015)
- sales partnership agreement (Funded Study 29 April 2015, Employment Pathways Australia, unsigned, operative date 13 May 2015, Australian Training & Careers Pty Ltd 12 May 2015, iLearn Education Group 9 April 2014, iEducate 29 April 2015, Webwise Pty Ltd 29 April 2015)
- agent marketing checklist.

**Analysis of rectification evidence:**

**CHC50612 Diploma of Community Services Work**

- Evidence was provided to demonstrate that the RTO provides or directs the learner to information prior to enrolment or the commencement of training, whichever comes first, specifying:
  - accurate and factual information which informs prospective and current learners about the RTO, its services and performance to ensure all the requirements of Clause 4.1 are met
  - The non-compliances identified with 4.1(a) and 4.1(h) have been addressed.

<table>
<thead>
<tr>
<th>STANDARD 5</th>
<th>Each learner is properly informed and protected.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>To be compliant with Standard 5 the RTO must meet the following:</td>
</tr>
</tbody>
</table>
Clause 5.1
Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies.

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

Reasons for finding of non-compliance:

CHC50612 Diploma of Community Services Work

The following evidence was sighted at audit:

- Student handbook
- Enrolment/support needs process
- Training support officer support process.

As part of the audit process, interviews were conducted with a sample of students enrolled in Australis College under the VET FEE Help loan scheme. Interviews were conducted from 22 to 28 May 2015.

The evidence provided does not demonstrate that students received appropriate advice about the training product and its appropriateness to meeting their needs, taking into account existing skills and competencies. Examples include, but are not limited to:

- The following students reported they were unsure of the duration of the course and reported course duration varying from 12 to 24 months:
  - Caroline Pittam
  - Mohammad Mizada
  - Charles Rees
  - Jade Petersen
  - Mallya Ahmed
  - Hellen Schleijper
  - Antoun Nahal
  - Tiarna Cutmore
  - Amelia Abignano
  - Kyrie Wheatley
  - Laurel Baugh
  - Paul Monks
  - Kahna Rankine
  - Brigitte Kirk
  - Shaylea Farrell
  - Lynette Gilpin
  - Misty Barnes
  - Tracey Valda Mason

- The following student stated she was not enrolled in the Diploma of Community Services Work, but rather that she was enrolled in a pathway program:
  - Kyrie Wheatley

- The following student stated that he had not completed Year 12 in Australia and failed English at
TAFE Central:
  o Mallya Ahmed

- The following students reported that they did not know the cost of the course:
  o Charles Rees
  o Hellen Schleijper
  o Tiarna Cutmore
  o Amelia Abignano
  o Kyrie Wheatley
  o Kahna Rankine
  o Brigitte Kirk
  o Lynette Gilpin
  o Misty Barnes
  o Tracey Valda Mason
  o Caroline Pittam
  o Mohammad Mizada
  o Jade Peterson
  o Mallya Ahmed
  o Antoun Nahal
  o Laurel Baugh
  o Paul Monks
  o Shaylea Farrell

- The following students stated they were unsure where the course was to be delivered (online):
  o Mallya Ahmed
  o Mohammad Mizada

- The following students were unsure of the name of the RTO providing the training:
  o Mallya Ahmed
  o Mohammad Mizada

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

CHC50612 Diploma of Community Services Work

- For the following students provide evidence that prior to enrolment or the commencement of training and assessment, the RTO provided advice about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies:
  o Caroline Pittam
  o Mohammad Mizada
  o Charles Rees
  o Jade Petersen
  o Mallya Ahmed
  o Hellen Schleijper
  o Antoun Nahal
  o Tiarna Cutmore
  o Amelia Abignano
  o Kyrie Wheatley
  o Laurel Baugh
  o Paul Monks
  o Kahna Rankine
  o Brigitte Kirk
  o Shaylea Farrell
  o Lynette Gilpin
  o Misty Barnes
  o Tracey Valda Mason.
Provide evidence that demonstrates that the RTO has developed, and commenced implementation of, a system to ensure that prior to enrolment or the commencement of training and assessment; whichever comes first, the organisation provides adequate and appropriate advice to prospective learners about the training product in which they are seeking enrolment. The system must ensure the prospective learners are enrolled in a training program that is appropriate to their needs, and takes into account the individual’s existing skills and competencies.

Analysis of rectification evidence:
Supporting rectification evidence
- The organisation provided scanned student enrolment form (Ref 1); website site snapshot of selected course and payment method (Ref 2); request for VET FEE-HELP assistance form (Ref 3); pre-enrolment and student notes (Ref 4); file notes/LLN interview notes and details of follow up calls (and/or cancellations) (Ref 5) and acceptance email explaining VET FEE-HELP and census dates (Ref 6) for the following students:
  - Caroline Pittam
  - Mohammad Mizada
  - Charles Rees
  - Jade Petersen
  - Mallya Ahmed
  - Hellen Schleijper
  - Antoun Nahal
  - Tiarna Cutmore
  - Amelia Abignano
  - Kyrie Wheatley
  - Laurel Baug
  - Paul Monks
  - Kahna Rankine
  - Brigitte Kirk
  - Shaylea Farrell
  - Lynette Gilpin
  - Misty Barnes
  - Tracey Valda Mason
- student services emails for Amelia Abignano and Misty Barnes (Ref 7) request to change from full time to part time study; parental consent forms for Kyrie Wheatley and Shaylea Farrell (Ref 7).
- It must be noted that Mallya Ahmed enrolment was cancelled 6 January 2015 due to her inability to adequately write in English
- pre-enrolment application procedure date effective 19 January 2015
- student enrolment procedure date effective 30 April 2015
- finalising VET FEE-HELP enrolment procedure date effective 3 February 2015
- pre-assessment guide for learning support date effective 1 July 2015
- pre-enrolment application sales script date effective 1 July 2015 included question on ‘what information have you received from them so far’ as a prompt to ensure that no incentives/inducements have been offered by the agent
- enrolment process for prospective students recruited by an agent
- enrolment intakes: rolling intakes and courses are scheduled to commence every Monday, schedule and tuition fees, start date/census date/end date
- welcome email, Lisa Street as an example, of what is sent out to students: access and equity policy, fees and refund policy, schedule of tuition fees, privacy policy, and student assessment appeal form. Students are required to complete a declaration prior to completion of the enrolment process.
Analysis of rectification evidence:

CHC50612 Diploma of Community Services Work

- Evidence was provided to demonstrate that prior to enrolment or the commencement of training and assessment, the RTO provided adequate advice, to the students listed below, about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies:
  - Caroline Pittam
  - Mohammad Mizada
  - Charles Rees
  - Jade Petersen
  - Mallya Ahmed
  - Hellen Schleijper
  - Antoun Nahal
  - Tiarna Cutmore
  - Amelia Abignano
  - Kyrie Wheatley
  - Laurel Baugh
  - Paul Monks
  - Kahna Rankine
  - Brigitte Kirk
  - Shaylea Farrell
  - Lynette Gilpin
  - Misty Barnes
  - Tracey Valda Mason

- Evidence was provided to demonstrate that the RTO has developed, and commenced implementation of, a system to ensure that prior to enrolment or the commencement of training and assessment; whichever comes first, the organisation provides adequate and appropriate advice to prospective learners about the training product in which they are seeking enrolment. The system ensures that the prospective learners are enrolled in a training program that is appropriate to their needs, and takes into account the individual’s existing skills and competencies

- The non-compliances identified with 5.1 have been addressed.

Clause 5.2

Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

a) the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;
b) the training and assessment, and related educational and support services the RTO will provide to the learner including the:
   i) estimated duration;
   ii) expected locations at which it will be provided;
   iii) expected modes of delivery;
   iv) name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO’s behalf; and
   v) any work placement arrangements.
c) the RTO’s obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.
d) the learner’s rights, including:
   i) details of the RTO’s complaints and appeals process required by Standard 6; and
   ii) if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in;

e) the learner’s obligations:
   i) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;
   ii) any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and
   iii) any materials and equipment that the learner must provide; and

f) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

Original finding: Not compliant
Following rectification: Compliant

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prior to enrolment or commencement, written information is provided on the following:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• code and title of the training product as per <a href="http://www.training.gov.au">www.training.gov.au</a></td>
<td>☒</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• currency of the training product</td>
<td>☒</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• estimated duration of training and/or assessment</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>• location/s where training and/or assessment will be provided</td>
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<td></td>
</tr>
<tr>
<td>• mode/s of delivery</td>
<td>☒</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• name and contact details of any third party providing services</td>
<td></td>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>• work placement arrangements</td>
<td></td>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>• confirmation that the RTO is responsible for compliance of training and/or assessment</td>
<td>☒</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• confirmation that the RTO is responsible for issuance of AQF certification documentation</td>
<td>☒</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4)</td>
<td>☒</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• the learner’s rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment</td>
<td>☒</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• the learner’s obligation to repay any VET FEE-HELP debt</td>
<td>☒</td>
<td></td>
<td></td>
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<tr>
<td>• any entry requirements</td>
<td>☒</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• any materials and equipment the learner must provide</td>
<td>☒</td>
<td></td>
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</tr>
<tr>
<td>• any implications on the learner’s entitlement to access government funding by undertaking the training and/or assessment</td>
<td></td>
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</tbody>
</table>

Reasons for finding of non-compliance:

*CHC50612 Diploma of Community Services Work*

The following evidence was sighted at audit:
- Course flyers
- Australis Website
- Student handbook
- student practical placements workshop information.
As part of the audit process, interviews were conducted with a sample of students enrolled in Australis College under the VET FEE Help loan scheme. Interviews were conducted from 22 to 28 May 2015.

The evidence provided does not demonstrate compliance with the requirements of clause 5.2 b) i) ii) iii) 5.2 e) i) and ii) for the following reasons:

- The following students were unsure of the duration of the course and reported course duration varying from 12 to 24 months:
  - Caroline Pittam
  - Mohammad Mizada
  - Charles Rees
  - Jade Petersen
  - Mallya Ahmed
  - Hellen Schleijper
  - Antoun Nahal
  - Tiarna Cutmore
  - Amelia Abignano
  - Kyrie Wheatley
  - Laurel Baugh
  - Paul Monks
  - Kahna Rankine
  - Brigitte Kirk
  - Shaylea Farrell
  - Lynette Gilpin
  - Misty Barnes
  - Tracey Valda Mason

- Specifically the following students were unsure where the course was going to be delivered (on-line)
  - Mallya Ahmed
  - Mohammad Mizada

- The following students did not understand their rights and obligations especially in relation to their obligations under VET FEE-HELP:
  - Mohammad Mizada
  - Mallya Ahmed
  - Lynette Gilpin
  - Tracey Valda Mason

- The organisation has not ensured that it provides consistent and accurate information regarding any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product (5.2 (e) (ii)):
  - of the 18 students interviewed the response to the question “How did you hear about the provider” students also provided the following information:
    - Charles Rees and Mallya Ahmed reported that somebody phoned them (cold calling)
    - Mohammad Mizada reported that they were ‘door knocked’
    - Brigitte Kirk was approached at a shopping centre as a way to enrolling in the course
    - Mallya Ahmed reported that they had not completed Year 12 in Australia and failed English at TAFE Central
    - Paul Monks reported that they would receive $100 gift card on enrolment
    - Caroline Pittam, Mohammad Mizada, Jade Petersen, Mallya Ahmed, Antoun Nahal, Kahna Rankine and Misty Barnes reported that they received a laptop on
enrolment which was to be returned at the completion of the course.

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

CHC50612 Diploma of Community Services Work

- Provide evidence that the RTO ensures that accurate information is provided to enable the learner to make an informed decision about undertaking training in line with clause 5.2 (a) to (f).

- For the following students provide evidence that prior to enrolment or the commencement of training and assessment, the RTO informed the students about training, assessment and support services to be provided, and about their rights and responsibilities:
  - Caroline Pittam
  - Mohammad Mizada
  - Charles Rees
  - Jade Petersen
  - Mallya Ahmed
  - Hellen Schleijper
  - Antoun Nahal
  - Tiarna Cutmore
  - Amelia Abignano
  - Kyrie Wheatley
  - Laurel Baugh
  - Paul Monks
  - Kahna Rankine
  - Brigitte Kirk
  - Shaylea Farrell
  - Lynette Gilpin
  - Misty Barnes
  - Tracey Valda Mason.

Analysis of rectification evidence:

Supporting rectification evidence

- The organisation provided scanned student enrolment form (Ref 1); website site snapshot of selected course and payment method (Ref 2); request for VET FEE-HELP assistance form (Ref 3); pre-enrolment and student notes (Ref 4); file notes/LLN interview notes and details of follow up calls (and/or cancellations) (Ref 5) and acceptance email explaining VET FEE-HELP and census dates (Ref 6) for all selected students

- 2015 agent pack template included a section on working with Australis: does not approve of door-to-door selling, cold calling, campaigns not pre-approved by Australis, poaching advertising under false pretences, promotion outside Centrelink, Disability Employment Centres or other benefit centres

- agent pack included conditions for using the RTO logo; conditions for ensuring VET FEE-HELP information is up-to-date; compliance obligations; marketing compliance checklist included the use of the RTO number; ensure all course codes and course units are up to date and not to offer laptops or iPads to students. Information on the course included course duration; work placements; entry requirements

- CHC50612 Diploma of Community Services Work training and assessment strategy

- Australis College student handbook v3.0 1 April 2014
- Australis College student handbook v4.0 21 November 2014
- Australis College student handbook v5.0 5 August 2015
- practical placement – student practical placement handbook
- CHC50612 Diploma of Community Services Work printed and web course flyers (iLearn Education Group, iEducate, Funded Study, Top Notch Learning, Employment Pathways, Australian Training Colleges)
- marketing procedure.

**Analysis of rectification evidence:**

CHC50612 Diploma of Community Services Work

- Evidence was provided to demonstrate that the RTO ensures that accurate information is provided to enable the learner to make an informed decision about undertaking training.

- Evidence was provided to demonstrate that prior to enrolment or the commencement of training and assessment, the RTO informed the students listed below about training, assessment and support services to be provided, and about their rights and responsibilities:
  - Caroline Pittam
  - Mohammad Mizada
  - Charles Rees
  - Jade Petersen
  - Mallya Ahmed
  - Hellen Schleijper
  - Antoun Nahal
  - Tiarna Cutmore
  - Amelia Abignano
  - Kyrie Wheatley
  - Laurel Baugh
  - Paul Monks
  - Kahna Rankine
  - Brigitte Kirk
  - Shaylea Farrell
  - Lynette Gilpin
  - Misty Barnes
  - Tracey Valda Mason.

- The non-compliances identified with 5.2 (a) to (f), specifically 5.2 (b) i) ii) iii) and 5.2 (e) i) ii) have been addressed.

---

**Clause 5.3**

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

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

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

Australian Skills Quality Authority
Audit report - 29 of 37
Fees are collected from individual learners □ □
If no, clause is not audited. If yes:

Written information is provided on the following, prior to enrolment or commencement:

- all fees that must be paid □ □
- payment terms and conditions □ □
- refund terms and conditions □ □
- the learner’s statutory right to a cooling-off period □ □ □

Reasons for finding of non-compliance:

CHC50612 Diploma of Community Services Work
The following evidence was sighted at audit:

- Course flyers
- Australis website
- Student Handbook

As part of the audit process, interviews were conducted with a sample of students enrolled in Australis College under the VET FEE Help loan scheme. Interviews were conducted from 22 to 28 May 2015.

The evidence provided does not demonstrate that the RTO provided accurate information on fees in line with clause 5.3 a) i). The following students reported varying course fees which do not align with the advertised course fee of $13 500:

- Caroline Pittam
- Mohammad Mizada
- Charles Rees
- Jade Petersen
- Mallya Ahmed
- Antoun Nahal
- Laurel Baugh
- Hellen Schleijfer
- Tiarna Cutmore
- Amelia Abignano
- Kyrie Wheatley
- Kahna Rankine
- Brigitte Kirk
- Lynette Gilpin
- Misty Barnes
- Tracey Valda Mason
- Paul Monks
- Shaylea Farrell

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

CHC50612 Diploma of Community Services Work
- Provide evidence that the RTO provided information to the following learners prior to enrolment or commencement of training and assessment in line with the requirements of clause 5.3, specifically clause 5.3 a)i):
  - Caroline Pittam
  - Mohammad Mizada
Analysis of rectification evidence:

Supporting rectification evidence

- The organisation provided scanned student enrolment form (Ref 1); website site snapshot of selected course and payment method (Ref 2); request for VET FEE-HELP assistance form (Ref 3); pre-enrolment and student notes included course costs (Ref 4); file notes/LLN interview notes and details of follow up calls (and/or cancellations) (Ref 5) and acceptance email explaining VET FEE-HELP and census dates (Ref 6) for all selected students
- **CHC50612 Diploma of Community Services Work** start date/census date/end date for part time load (July 2015 to December 2016) full time load (July 2015 to September 2016) and full time part time students (September 2014 to December 2015)
- Quick facts 2014 and 2015 **CHC50612 Diploma of Community Services Work** course code, tuition fee, monthly fee instalments, duration, units of study, first census period
- **CHC50612 Diploma of Community Services Work** printed and web course flyers
- marketing procedure.

Analysis of rectification evidence:

**CHC50612 Diploma of Community Services Work**

- Evidence was provided to demonstrate that the RTO provided adequate information to the following learners prior to enrolment or commencement of training and assessment
  - Caroline Pittam
  - Mohammad Mizada
  - Charles Rees
  - Jade Petersen
  - Mallya Ahmed
  - Antoun Nahal
  - Laurel Baugh
  - Hellen Schleijjer
  - Tiarna Cutmore
  - Amelia Abignano
  - Kyrie Wheatley
  - Kahna Rankine
  - Brigitte Kirk
  - Lynette Gilpin
  - Misty Barnes
  - Tracey Valda Mason
  - Paul Monks
  - Shaylea Farrell
• Shaylea Farrell

The non-compliances identified with Clause 5.3, specifically clause 5.3 (a) i) have been addressed.

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

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
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</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
</tbody>
</table>

Learners are advised of any changes to agreed services

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

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

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
</tbody>
</table>

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

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

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

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

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
</tbody>
</table>

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

Clause 6.3
The RTO’s complaints policy and appeals policy:
   a) ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
   b) are publicly available;
   c) set out the procedure for making a complaint or requesting an appeal;
   d) ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and
   e) provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

Original finding: Not audited
Following rectification: n/a

Evidence guidance

The complaints and appeals policy/ies:

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

Clause 6.4
Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:
   a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
   b) regularly updates the complainant or appellant on the progress of the matter.

Original finding: Not audited
Following rectification: n/a

Evidence guidance

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

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

Clause 6.5
The RTO:
   a) securely maintains records of all complaints and appeals and their outcomes; and
b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

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

**Evidence guidance**

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

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

---

**Clause 6.6**

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

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

**Evidence guidance**

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

---

**STANDARD 7**

The RTO has effective governance and administration arrangements in place.

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

**Clause 7.1**

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

a) are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and

b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

Not audited

**Clause 7.2**

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

Not audited

**Clause 7.3**

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

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

**Evidence guidance**

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

If no, clause is not audited. If yes:

**Government entities and universities**

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

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

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

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

**Other RTOs**

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

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

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

- any other fee protection measure approved by ASQA

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**Clause 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**

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

Public liability insurance is in place that:

- provides coverage for the RTO

- covers training and assessment activities

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

Not audited

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**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:

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**Clause 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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO co-operates with ASQA:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- by providing accurate and truthful responses to information requests relevant to the RTO's registration</td>
<td></td>
<td></td>
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<tr>
<td>- in the conduct of audits and the monitoring of its operations</td>
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<tr>
<td>- in the retention, archiving, retrieval and transfer of records</td>
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</tbody>
</table>

Reference: ASQA General Direction – Retention requirements for completed student assessment items

Clause 8.2
The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:
   a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
   b) in the conduct of audits and the monitoring of its operations.

Original finding: Not audited          Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Third party arrangements are in place for delivery of services (also refer Clause 2.3)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If no, clause is not audited. If yes:</td>
<td></td>
<td></td>
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<tr>
<td>Written agreements include a clause requiring that third parties co-operate with ASQA in:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- providing accurate and factual responses to information requests from ASQA relevant to the delivery of services</td>
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<tr>
<td>- in the conduct of audits and the monitoring of its operations</td>
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Clause 8.3
The RTO notifies the Regulator:
   a) of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
   b) within 30 calendar days of the agreement coming to an end.

Not audited

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

a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and

b) has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

Not audited

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

Not audited

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

Original finding: Not audited Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th></th>
<th>Y</th>
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</tr>
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<tbody>
<tr>
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