



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

ORGANISATION DETAILS

Organisation's legal name:	Gen Institute Pty Ltd
Trading name/s:	-
RTO number:	41126
CRICOS number:	N/A

AUDIT TEAM

Lead auditor:	Ian Penna
Assistant/s:	Jock Blackburn
Technical advisor/s:	N/A

AUDIT DETAILS

Application number/s:	N/A	
Audit number/s:	1009884	
Audit reason 1:	Post initial	
Audit reason 2:	n/a	
Audit reason 3:	n/a	
Activity type:	Site visit	
Address of site/s visited:	Suite 9, Level 4, 277 Flinders Lane MELBOURNE VIC 3000	
Date/s of audit:	17 & 18 August 2016	
Organisation's contact for audit:	Mr Dawood Shaik quality@geninstitute.com.au	CEO (03) 9308 6099
Clauses audited:	1.1, 1.2, 1.3, 1.8, 1.13 – 1.20, 1.22, 1.25, 2.4, 4.1, 5.1, 5.2, 5.3, 5.4	

BACKGROUND

Gen Institute Pty Ltd was registered as an RTO commencing 21 April 2015. The RTO has applied for approval to be registered on CRICOS which is being reviewed concurrently with this post-initial VET registration audit.

The organisation has an MOU with Acumen Education Pty Ltd to use training facilities at the same location to conduct the organisation's training and assessment. The CEO of GEN Institute (Dawood Shaik) is currently employed part time by Acumen Education Pty Ltd assisting with compliance and administration of their VET and CRICOS operations.



Organisation Management structure

The organisation is owned by Mr Shaik who performs most of the management functions. The organisation has recently employed an operations manager to assist with the ongoing administration of the organisation.

Other strategic & operational groups that assist the organisation

The organisation utilises Industry associations to assist them with developing and validating training and assessment strategies and materials.

General description of training modes used by the organisation

The organisation provides training using classroom based delivery. The organisation still intends on expanding their training deliver into Western Australia. The organisation does not intend on delivering qualifications overseas.

Organisation's scope of registration

The organisation's scope of registration centres on training products from the Business Services, and Construction, Plumbing and Services Training Packages.

- *BSB40215 Certificate IV in Business*
- *BSB50215 Diploma of Business*
- *BSB51915 Diploma of Leadership and Management*
- *BSB60215 Advanced Diploma of Business*
- *BSB61015 Advanced Diploma of Leadership and Management*
- *CPC50308 Diploma of Building and Construction (Management)*

Organisation fee or funding information

The organisation offers its training and assessment services as fee-for-service provider. The organisation intends to apply for approval to offer government subsidised courses as soon as it is able to satisfy the entry requirements set by the relevant State authorities. The organisation will also explore seeking approval to be able to offer VET Fee-Help to prospective students when it qualifies for being able to submit an application.

The organisation has only delivered training to 4 students from the *BSB50215 Diploma of Business* training product. In lieu of the volume of student enrolments which have transpired since commencement of operations, a limited scope post-initial compliance audit was approved.

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

AUDIT SAMPLE

Code	Training products	Mode/s of delivery / assessment*	Current enrolments (If not yet on scope, record N/A)
BSB50215	Diploma of Business	Face to Face	Nil
BSB61015	Advanced Diploma of Leadership and Management	Face to Face	Nil
CPC50308	Diploma of Building and Construction (Management)	Face to Face	Nil

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

INTERVIEWEES

Name	Position	Training products
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Mr Dawood Shaik	CEO	All
Mr Harsha Pusuluru	Operations Manager	All
Ms Sara Syeda	Trainer/Assessor	All

ORIGINAL FINDING AT TIME OF AUDIT

Audit finding: Critical non-compliance

Report completed by: Ian Penna

Date: 17 & 18 August 2016

- 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 [Click here to enter a date.](#): n/a

Report completed by: Auditor name

Date: [Click here to enter a date.](#)

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
Standard 1	Not compliant	n/a
Standard 2	Not audited	n/a
Standard 3	Not audited	n/a
Standard 4	Compliant	n/a
Standard 5	Compliant	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 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	Y	N	N/A
A training and assessment strategy (or strategies) was provided for each training product sampled	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy is consistent with the requirements of the training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy provides a framework to guide the learning requirements and the training and assessment arrangements of each training product – the macro level requirements of the learning and assessment process	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy has been consistently implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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

Original finding: Compliant	Following rectification: n/a	
Evidence guidance	Y	N
For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • the existing skills, knowledge and experience of learners 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • the mode/s of delivery 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • the number of units and/or modules being delivered 	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.3
The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:
a) trainers and assessors to deliver the training and assessment;
b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
c) learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and



d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
For all training products sampled, there are sufficient:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• trainers and assessors	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• educational and support services to meet the needs of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• learning resources that address the requirements of all components of the relevant training product and are accessible to all learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• facilities and equipment to accommodate the number of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Consistency is evident between each strategy and the above resources	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

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

Evidence guidance	Y	N
Training and assessment practices are informed by and consistent with the outcomes from industry engagement strategies	<input type="checkbox"/>	<input type="checkbox"/>

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.**

Original finding: Not audited

Following rectification: n/a

Clause 1.7

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

Original finding: Not audited

Following rectification: n/a

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 1.8.1 Principles of Assessment

Fairness	The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.
Flexibility	Assessment is flexible to the individual learner by: <ul style="list-style-type: none"> • reflecting the learner's needs; • assessing competencies held by the learner no matter how or where they have been acquired; and • drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.
Validity	Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires: <ul style="list-style-type: none"> • assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance; • assessment of knowledge and skills is integrated with their practical application; • assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and • judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

Table 1.8.2 Rules of Evidence

Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

Original finding: Not compliant

Following rectification: n/a

Evidence guidance	Y	N
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BSB50215 Diploma of Business

BSBWOR501 - Manage personal work priorities and professional development

Assessment mapping

Assessment Resource Summary

Assessment task 1 – Written project (4 separate documents)

Assessment task 2 – Written project (3 separate documents)

BSBFIM502 - Manage payroll

Assessment mapping

Marking Guide

Assessment Resource Summary

Assessment task 1 – Written questions (7) and case study

Assessment task 2 – Written questions (7) and case study (payroll)

Assessment task 3 – Written questions (5) and case study

Assessment task 4 - Written questions (7) and case study

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.

Assessment 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

BSB61015 Advanced Diploma of Leadership and Management

BSBINN601 - Lead and manage organisational change

Assessment mapping

Marking Guide

Assessment Resource Summary

Assessment task 1 – Written report (1200 word)

Assessment task 2 – project and presentation - develop change management strategy

Assessment task 3 – project and presentation – implement change management strategy

BSBMGT617 - Develop and implement a business plan

Assessment mapping

Marking Guide

Assessment Resource Summary

Assessment task 1 – Written project (case study and analysis)

Assessment task 2 – Written questions (7) and case study (payroll)

Assessment task 3 – Written questions (5) and case study

Assessment task 4 - Written questions (7) and case study

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.

Assessment 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

CPC50308 Diploma of Building and Construction (Management)

BSBSLS502 - Lead and manage a sales team



Assessment mapping

Marking Guide

Assessment Resource Summary

Assessment task 1 – Written project (sales plan)

Assessment task 2 – Written project, Demonstration (3 roles)

Assessment task 3 – Demonstration (role play short training session)

Assessment task 4 – Demonstration (performance review)

Assessment task 5 – Written project (14 questions)

BSBWOR501 - Manage personal work priorities and professional development

Refer above BSB50215

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.

Assessment 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

Student files:

- Navyatha Potluri
- Harsha Pusuluru
- Moinuddin Khaja
- Shabbir Ali

Reasons for finding of non-compliance:

The table below summarises the reasons for non-compliance with clause 1.8 by unit. It is followed by an explanation of each different type of non-compliance. Note that only one or two examples for each type of non-compliance are provided (not an exhaustive list) and it is the RTO's responsibility to rectify each across their operations.

Unit of competency	Training package requirements	Principles of Assessment				Rules of Evidence			
		Fair	Flexible	Reliable	Valid	Sufficient	Authentic	Current	Valid
<i>BSBFIM502 - Manage payroll</i>	X	X	√	X	√	√	√	√	√
<i>BSBINN601 - Lead and manage organisational change</i>	X	X	√	X	√	√	√	√	√



<i>BSBWOR501 - Manage personal work priorities and professional development</i>	X	X	√	X	√	√	√	√	√
<i>BSBSLS502 - Lead and manage a sales team</i>	√	X	√	X	√	√	√	√	√
<i>BSBMGT617 - Develop and implement a business plan</i>	√	√	√	√	√	√	√	√	√

Non-compliance with the principle of assessment - Reliability

The RTO has not demonstrated the principle of assessment reliability because:

- the evidence presented for assessment cannot be consistently interpreted; and
- assessment results may not be comparable irrespective of the assessor conducting the assessment.

For example, the RTO has not demonstrated reliability for reasons including:

- *BSBFIM502 Manage payroll* - the Assessment Resource Summary includes the option for conducting assessments (for domestic students) in a registered and operating workplace. The assessment documentation did not include appropriate guidance/instructions and procedures to facilitate this assessment option.
- *BSBINN601 Lead and manage organisational change* – The organisation did not demonstrate that it provides appropriate guidance to their assessor(s), including suggested answers. The Marking Guide which was provided by the organisation as evidence was silent about assessment task 2 items – change management strategy (for example 6.B and 6.C Communication plan, and Education/training plan, and 7 – measurement and reporting strategy.
- *BSBWOR501 Manage personal work priorities and professional development* – Assessment task 2 instructions state that the student must review their job description and their organisation’s business plans, business goals, policies and procedures. The organisation’s training and assessment materials do not include guidance as to what documentation would be suitable for conducting this assessment, and what documentation would be provided for use in an assessment should the learner not have access to an organisation’s business plans, business goals, policies and procedures.
- *BSBSLS502 - Lead and manage a sales team* – the assessment instrument provides conflicting information to assessors with regards to role plays activities. Assessment task 4 informs the assessor that they need to choose 2 students to act as applicants for a role play (interview). There is no guidance as to what information the assessor will provide to these actors to perform their roles. The tool advises that in the absence of students, the assessor could play the part of one of the actors. This guidance is in conflict with the guidance provided in the same document relating to simulated activities. The guidance for the assessor when conducting simulations states:
 ‘For each assessment, you are to act as a supervisor and not interfere with the assessment.’
 The Assessment Resource Summary for assessment task 1 (p.6) refers to the option of assessment on the job. The documentation provides no guidance for the conduct of assessment in the workplace.
- *BSBINN601 - Lead and manage organisational change* – Assessment task 3 involves a role play for the students to demonstrate their knowledge and skills. This role play requires the participation of other persons to act out various roles (eg. union representative). The instructions provided to the assessor (p.26) state that for a role play activity, ‘Participants are to be informed of their expected involvement.’ The assessment instrument provided no information/instructions for participants as to their expected involvement. Furthermore, there were no guidelines provided to assist the assessor in creating an appropriate simulation. These issues raised regarding the use of role plays to conduct assessment are common across the units sampled.

Non-compliance with the principle of assessment – Fairness



The RTO has not demonstrated the principle of assessment fairness because the learner has not been adequately informed about the assessment process. Instructions to learners are unclear and learners do not always know what is required to be deemed competent in a given unit.

Examples where the principle of fairness is not demonstrated include:

- *BSBFIM502 Manage payroll* - The instructions to students and assessors did not identify which assessment tasks were open or closed book assessments.
- *BSBWOR501 Manage personal work priorities and professional development* – Assessment task 2 instructions state the student must 'Meet with two people who are familiar with your work and can assess aspects of your professional competency...'. The assessment instruments provide no guidance as to how this activity will be resourced to enable the required meeting to be facilitated. The time allowed to complete assessment tasks 1 and 2 is not consistently identified both to the assessor and to the learner. The documentation advises that the time allowed to complete these assessments is 3 hours for the assessor, and 2 hours to the learner.
- *BSBSLS502 - Lead and manage a sales team* – the assessment instrument does not provide clear information to learners regarding the assessment requirements. The Assessment Resource Summary (student copy) identifies 5 assessment tasks. This document only includes student information for 4 assessment tasks. The fourth assessment task is listed as '(Employer feedback)'. There is no reference to the involvement of an 'Employer' in the assessment process and no instructions as to what or how they would be required to participate in an assessment activity. Furthermore, the assessment tool summary lists assessment task 4 as 'Third Party / Supplementary Evidence'. By contrast, assessment task 4 is listed in the assessor's version of the tool as being a 'role play'.

Assessment task 3 requires students to provide a short training session. The assessment tool does not include sufficient guidance as to what the student needs to demonstrate to satisfy this assessment task. There is no timeframe or definition of what a short training session would require. The student is not informed about what the assessor needs to observe.

Non – compliance relating to addressing all training package requirements.

The RTO did not demonstrate that all of the training package requirements are addressed during the assessment process. The RTO provided details of its assessment strategy to meet the training package requirements for each training product. A few examples of where the actual assessment instruments do not satisfy the assessment strategy are as follows:

- *BSBFIM502 Manage payroll* - The training and assessment strategy (page 23) lists an assessment by observation/demonstration. The assessment instruments provided for this unit did not include an assessment activity which required the learner to be observed by the assessor. The mapping document provided for this unit merely states that the three Performance Evidence elements will be met by 'All Assessments'.
- *BSBWOR501 Manage personal work priorities and professional development* – This unit is incorporated in the packaging of both the *CPC50308 Diploma of Building and Construction (Management)* and the *BSB50215 Diploma of Business* courses. The assessment strategy for delivering the same unit is not the same. The RTO has not provided their rationale for the different strategies nor provide separate assessment instruments to demonstrate the different methods of assessment.

The RTO's assessment strategy regarding re-assessment does not provide clear guidance as to the implementation and availability for re-assessment to students for example, where the unit assessment includes an odd number of assessment tasks. The RTO's procedure states:

Re-assessment procedure at Gen Institute Pty Ltd

3. In case of 're-submission', the following actions shall occur:

- If a student has successfully completed at least 50% of the required assessment tasks for the unit, a "Not Yet Competent" will be recorded on the due day and the Trainer & Assessors will nominate a date for the re-assessment within two weeks of original assessment date or as agreed upon by the Trainer and the student



- If the student is not yet competent in more than 50% of the assessment tasks, a “Not Yet Competent” will be recorded, and the student will need to repeat the unit. The date for the re-submission of assessment will be re-scheduled to occur in the next term break by the trainer & assessor.

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

- provide evidence which demonstrates full compliance with clause 1.8 for each unit in the audit scope. The evidence must also include specific reference to ensuring that the assessment process for each unit:
 - meets each of the principles of assessment and rules of evidence identified as non-compliant in this report; and
 - addresses all of the training package requirements.

Analysis of rectification evidence:

- Evidence yet to be supplied

Clause 1.9

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

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

Original finding: Not audited

Following rectification: n/a

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.

Original finding: Not audited

Following rectification: n/a

Clause 1.11

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

- a) vocational competencies and current industry skills relevant to the assessment being validated;**
- b) current knowledge and skills in vocational teaching and learning; and**
- c) the training and assessment qualification or assessor skill set referred to in Item 1 or 3 of Schedule 1.**

Industry experts may be involved in validation to ensure there is the combination of expertise set out in (a) to (c) above.

Original finding: Not audited

Following rectification: n/a

Clause 1.12

The RTO offers recognition of prior learning to individual learners.



Original finding: Not audited

Following rectification: n/a

Clause 1.13

In addition to the requirements specified in [Clause 1.14](#) and [Clause 1.15](#), the RTO's training and assessment is delivered only by persons who have:

- a) vocational competencies at least to the level being delivered and assessed;
- b) current industry skills directly relevant to the training and assessment being provided; and
- c) current knowledge and skills in vocational training and learning that informs their training and assessment.

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Each trainer / assessor **must meet all** requirements for each training product being delivered:

Trainer / Assessor name	Training product code/s delivered	1.13 (a)		1.13 (b)		1.13 (c)	
		Y	N	Y	N	Y	N
Sara Banu Syeda	All BSB	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Ron Ottery	CPC	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.14

The RTO's training and assessment is delivered only by persons who have:

- a) ~~prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and~~
- b) from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

VET qualifications of trainers and assessors have been verified

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

Trainer / Assessor name	Schedule 1 Item 1		Schedule 1 Item 2	
	Y	N	Y	N
Sara Banu Syeda	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ron Ottery	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor

Schedule 1, Item 2: A Diploma or higher level qualification in adult education

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

Clause 1.16

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

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

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

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

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

Clause 1.20

Without limiting Clauses 1.17 - 1.19, the RTO:

- a) determines and puts in place:
 - i) the level of the supervision required; and
 - ii) any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
- b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Original finding: Not audited

Following rectification: n/a



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.

Not audited - clause does not apply from 1 January 2016 (Clause 1.22 applies from this date)

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).~~

Original finding: Not audited

Following rectification: n/a

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).

Original finding: Not audited

Following rectification: n/a

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

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



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

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

Original finding: Not audited

Following rectification: n/a

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

Original finding: Not audited

Following rectification: n/a

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.

Original finding: Not audited

Following rectification: n/a

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

Original finding: Not audited

Following rectification: n/a

STANDARD 3 **The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.**
To be compliant with Standard 3 the RTO must meet the following:

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

Original finding: Not audited

Following rectification: n/a

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

Original finding: Not audited

Following rectification: n/a



Clause 3.3

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

Original finding: Not audited

Following rectification: n/a

Clause 3.4

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

Original finding: Not audited

Following rectification: n/a

Clause 3.5

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

- a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or
- b) authenticated VET transcripts issued by the Registrar.

Original finding: Not audited

Following rectification: n/a

Clause 3.6

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

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

Original finding: Not audited

Following rectification: n/a

STANDARD 4

Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.

To be compliant with Standard 4 the RTO must meet the following:

Clause 4.1

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

- a) accurately represents the services it provides and the training products on its scope of registration;
- b) includes its RTO Code;



- c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;
- d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
- e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
- f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;
- g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;
- h) includes the code and title of any training product, as published on the National Register, referred to in that information;
- i) only advertises or markets a non-current training product while it remains on the RTO's scope of registration;
- j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;
- k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and
- l) does not guarantee that:
 - i) a learner will successfully complete a training product on its scope of registration;
 - or
 - ii) a training product can be completed in a manner which does not meet the requirements of [Clause 1.1](#) and [1.2](#); or
 - iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Advertising and marketing:			
• is accurate and factual	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• accurately represents the services provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• accurately represents the RTO scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• includes the RTO code	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• only refers to a person or organisation with their consent	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• identifies where a third party is recruiting prospective learners on behalf of the RTO	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• identifies where training and assessment is being provided on behalf of another RTO	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• identifies where training and assessment is being provided by a third party	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• distinguishes between national recognised training and other training	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• includes the code and title of each training product as per www.training.gov.au	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• includes accurate information about licensed or regulated outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



• includes details about financial support provided, including VET FEE-HELP	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• includes details about relevant government funding subsidies	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Does not guarantee that a learner:			
• will successfully complete a training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• can complete a training product in a manner not compliant with Clauses 1.1 or 1.2	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• will obtain a particular employment outcome unless this is in the control of the RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

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

Clause 5.1
Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies.

Original finding: Compliant	Following rectification: n/a	
Evidence guidance	Y	N
Information is provided to prospective learners, prior to enrolment or commencement of training or assessment whichever comes first, about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 5.2
Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

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



- i) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;
- ii) any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and
- iii) any materials and equipment that the learner must provide; and
- f) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

Original finding: Compliant

Following rectification: n/a

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

Clause 5.3

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

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



ii) the RTO fails to provide the agreed services.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Fees are collected from individual learners If no, clause is not audited. If yes:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Written information is provided on the following, prior to enrolment or commencement:			
<ul style="list-style-type: none"> all fees that must be paid 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> payment terms and conditions 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> refund terms and conditions 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> the learner's statutory right to a cooling-off period 	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Clause 5.4

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

Original finding: Compliant

Following rectification: n/a

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

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.

Original finding: Not audited

Following rectification: n/a

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.

Original finding: Not audited

Following rectification: n/a

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

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

Clause 6.5

The RTO:

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

Original finding: Not audited

Following rectification: n/a

Clause 6.6

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

Original finding: Not audited

Following rectification: n/a

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.

Original finding: Not audited

Following rectification: n/a

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

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

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:

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

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

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.

Original finding: Not audited

Following rectification: n/a

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