



Assessors, Administration Staff and Sales/Marketing personnel.

- The main delivery site is at the head office location located at Unit 12-13/23 Breene Place, Morningside but practical assessments are undertaken in various workplaces with agreements in place.
- Mode of delivery is either face to face, distance or through recognition of prior learning.
- For SIT30813 Certificate III in Commercial Cookery the organisation intends to make arrangements with a third party registered training organisation for the delivery of training and assessment for core unit of competency HLTAID004. These arrangements had not been put into place at the time of audit.
- As the organisation has added qualifications onto their scope of registration since the initial audit only two student files were able to be viewed as a sampling at time of audit as there has been few completions.
- The organisation removed two qualifications (SIR20212 Certificate II in Retail Services and SIR30212 Certificate III in Retail Operations) from scope of registration prior to the audit commencing.

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

- 500

AUDIT SAMPLE			
Code	Training product	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB40812	Certificate IV in Frontline Management	Face to face; RPL; Distance	8
SIT30713	Certificate III in Hospitality	Face to face; RPL; Distance	150
SIT30813	Certificate III in Commercial Cookery	Face to face; RPL; Distance	187

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

INTERVIEWEES		
Name	Position	Training product
Mr Reuben Brennan	CEO	n/a
Mr Andy Brennan	Head Trainer	SIT30713 Certificate III Hospitality
Mr Joseph Teufel	Compliance Administrator	n/a

ORIGINAL AUDIT FINDING AT TIME OF AUDIT
<p>Audit finding as at 11/02/2014: Critical non-compliance</p> <ul style="list-style-type: none"> • 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
<p>Audit finding following analysis of additional evidence provided on 29/03/2015: Compliant</p>



AUDIT FINDING BY STANDARD

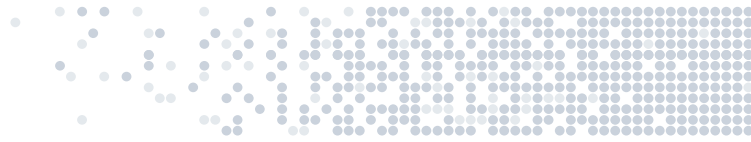
Standard	Original finding	Finding following rectification
Standard 1	Not compliant	Compliant
Standard 2	Not compliant	Compliant
Standard 3	Compliant	n/a
Standard 4	Not compliant	Compliant
Standard 5	Not compliant	Compliant
Standard 6	Compliant	n/a
Standard 7	Compliant	n/a
Standard 8	Compliant	n/a

ABOUT THIS REPORT

This report details findings against the *Standards for Registered Training Organisations (RTOs) 2015*.

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

Where evidence of non-compliance is identified, the '*Reasons for finding of non-compliance*' section of the report will document the issues that were considered in the formulation of a finding of non-compliance.



Standard 1 The RTO’s training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses.

To be compliant with Standard 1 the RTO must meet the following:

1.1 The RTO’s training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.

Original finding: Not compliant

Following rectification: Compliant

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 type="checkbox"/>	<input checked="" type="checkbox"/>	
Each strategy provides a framework to guide the learning requirements and the training and assessment arrangements of each training product – the macro level requirements of the learning and assessment process	<input type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>

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

Reasons for finding of non-compliance:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid (Core unit)

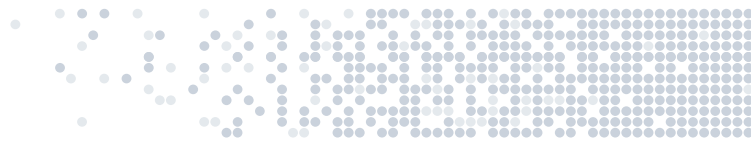
- In the training and assessment strategy it outlines that this unit of competency will be delivered by a third party RTO which will be sourced as required. At audit conflicting information about the delivery of the above qualification was provided to the auditor. The organisations stated that it is now intending to contract a Trainer and Assessor to deliver the core unit *HLTAID003 Provide first aid* and not have a Third Party organisation deliver and assess this unit on its behalf. However, no formal arrangements either way were provided to demonstrate that this is being undertaken. Consequently, the evidence provided did not demonstrate the training and assessment strategy for the above qualification:
 - Is consistent with the requirements of the training product;
 - 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; or that
 - Has been consistently implemented.

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

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- Provide an updated training and assessment strategy that clearly identifies who will be delivering this unit of competency and which:
 - Is consistent with the requirements of the training product;
 - 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; and
 - Has been consistently implemented.
- Develop and submit a plan or similar for implementation of the revised strategies that means the provider will be compliance with all aspects of the clause and the AQF by no later than 1 July 2015.



Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- An updated training and assessment strategy for the above qualification was provided that clearly identifies who will be delivering this unit of competency and:
 - Is Consistent with the requirements of the training product;
 - 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; and
 - Has been consistently implemented.

This demonstrates that the organisation’s training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and enables each learner to meet the requirements for each unit of competency or module in which they are enrolled.

The evidence provided supports compliance with the requirements of Clause 1.1.

1.2 For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:

a) the existing skills, knowledge and the experience of the learner;

b) the mode of delivery; and

c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:

- the existing skills, knowledge and experience of learners
- the mode/s of delivery
- the number of units and/or modules being delivered

Each strategy is consistent with the AQF volume of learning benchmarks, taking into account the above items

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

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

Reasons for finding of non-compliance:

SIT30813 Certificate III in Commercial Cookery

- At audit conflicting information about the delivery of the above qualification was provided to the auditor. The organisations stated that it is now intending to contract a Trainer and Assessor to deliver the core unit *HLTAID003 Provide first aid* and not have a Third Party organisation deliver and assess this unit on its behalf. However, no formal arrangements either way were provided to demonstrate that this is being undertaken. Consequently, the evidence provided did not demonstrate the amount of training to be provided identified in the strategy for the above qualification is consistent with:
 - The existing skills, knowledge and experience of learners
 - The mode/s of delivery
 - The number of units and/or modules being delivered.
- The strategy was not consistent with the AQF volume of learning benchmarks, taking into accounts the above items.



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

SIT30813 Certificate III in Commercial Cookery

- Provide evidence that demonstrates the delivery of the above qualification the amount of training to be provided identified in the strategy for the above qualification is consistent with:
 - The existing skills, knowledge and experience of learners
 - The mode/s of delivery
 - The number of units and/or modules being delivered.
- Provide evidence that demonstrates the strategy is consistent with the AQF volume of learning benchmarks, taking into accounts the above items.
- Develop and submit a plan or similar for implementation of the revised strategies that means the provider will be compliant with all aspects of the clause and the AQF by no later than 1 July 2015.

Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

- The organisation provided an updated training and assessment strategy that demonstrates the delivery of the above qualification the amount of training to be provided for the above qualification which is consistent with:
 - The existing skills, knowledge and experience of learners
 - The mode/s of delivery
 - The number of units and/or modules being delivered.
- The training and assessment strategy also demonstrates that it is consistent with the AQF volume of learning benchmarks, taking into accounts the above items and has been implemented.

The evidence provided supports compliance with the requirements of Clause 1.2.

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 compliant

Following rectification: Compliant

Evidence guidance

Y N

For all training products sampled, there are sufficient:

- | | | |
|--|-------------------------------------|-------------------------------------|
| • trainers and assessors | <input type="checkbox"/> | <input checked="" 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 type="checkbox"/> | <input checked="" type="checkbox"/> |
| • facilities and equipment to accommodate the number of learners | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

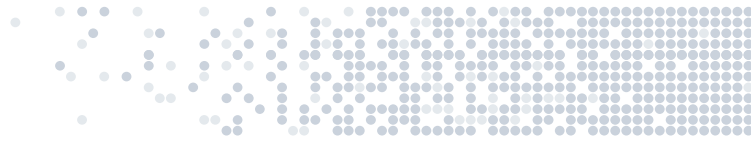
Consistency is evident between each strategy and the above resources

Reasons for finding of non-compliance:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- In the training and assessment strategy it outlines that this unit of competency will be delivered by a third party RTO which will be sourced as required. It was identified at audit that this mode of delivery had not taken place.



- The nominated trainers and assessors to deliver this qualification do not hold this unit of competency.
- No facilities, learning resources or equipment were presented at time of audit to deliver this unit of competency.

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

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- Provide an updated training and assessment strategy that outlines the mode of delivery.
- Provide evidence that the nominated trainers and assessors to deliver this qualification do hold this unit of competency.
- Provide evidence that the organisation has full resources to deliver this unit of competency, including facilities, learning resources and equipment.

Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

The organisation provided:

- An updated training and assessment strategy that outlines the mode of delivery.
- Evidence that the nominated trainers and assessors do hold this unit of competency or equivalence to deliver this unit of competency.
- Evidence that the organisation has full resources to deliver this unit of competency, including facilities, learning resources and equipment.

The evidence provided supports compliance with the requirements of Clause 1.3.

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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N	N/A
Training and assessment strategies and resources are consistent with the requirements of each training product sampled	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Training and assessment practices are consistent with the requirements of each training product sampled	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of non-compliance:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

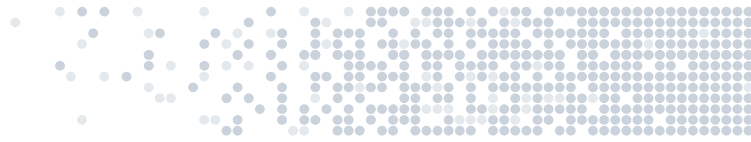
- In the training and assessment strategy it outlines that this unit of competency will be delivered by a third party RTO which will be sourced as required.
- The nominated trainers and assessors to deliver this qualification do not hold this unit of competency therefore the training and assessment practices are not consistent with the requirements of the training product sampled.

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

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- Provide evidence in the form of an updated training and assessment strategy which outlines how this unit of competency will be delivered.
- Provide evidence that the nominated trainers and assessors to deliver this qualification do hold this unit of competency in line with the training and assessment practices and are consistent with the requirements of the training product sampled.



Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

The organisation provided evidence:

- In the form of an updated training and assessment strategy which outlines how this unit of competency will be delivered.
- The nominated trainers and assessors who will deliver this qualification and who do hold this unit of competency or equivalence in line with the training and assessment practices and are consistent with the requirements of the training product sampled.

The evidence provided supports compliance with the requirements of Clause 1.4.

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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

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

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

Reasons for finding of non-compliance:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- There was no evidence provided that clearly identifies that the training and assessment practices undertaken to deliver this unit of competency was informed by and is consistent with the outcomes from the industry engagement strategies.

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

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- Provide evidence that clearly identifies that the training and assessment practices undertaken to deliver this unit of competency was a result from the outcomes of the industry engagement strategies.

Analysis of rectification evidence:

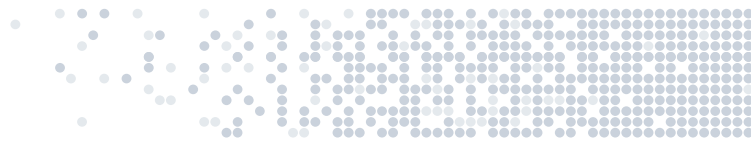
SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- The organisation provided evidence that clearly identifies that the training and assessment practices undertaken to deliver this unit of competency was a result from the outcomes of the industry engagement strategies.

The evidence provided supports compliance with the requirements of Clause 1.5.

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 compliant	Following rectification: Compliant		
Evidence guidance	Y	N	N/A
A range of industry engagement strategies have been developed	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Industry engagement strategies have been implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Outcomes from industry engagement strategies have been systematically used to inform:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• training and assessment strategies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• training and assessment practices	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• resources, including facilities and equipment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• current industry skills required to be held by trainers and assessors	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

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

Reasons for finding of non-compliance:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- In the training and assessment strategy it outlines that this unit of competency will be delivered by a third party RTO which will be sourced as required. It was identified at audit that this mode of delivery had not taken place.
- The nominated trainers and assessors to deliver this qualification do not hold this unit of competency and there was no evidence provided that they had the current industry skills required.
- No facilities, learning resources or equipment were presented at time of audit to deliver this unit of competency.

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

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- Provide an updated training and assessment strategy that outlines the mode of delivery.
- Provide evidence that the nominated trainers and assessors to deliver this qualification do hold this unit of competency.
- Provide evidence that the organisation has full resources to deliver this unit of competency, including facilities, learning resources and equipment.

Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

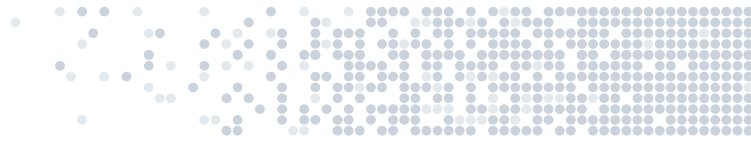
HLTAID003 Provide first aid

The organisation provided updated:

- Training and assessment strategy that outlines the mode of delivery.
- Evidence that the nominated trainers and assessors to deliver this qualification do hold this unit of competency or equivalence.
- Evidence that the organisation has full resources to deliver this unit of competency, including facilities, learning resources and equipment.

The evidence provided supports compliance with the requirements of Clause 1.6.

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



Original finding: Compliant	Following rectification: n/a
Evidence guidance	Y N
Support needs of learners have been identified	<input checked="" type="checkbox"/> <input type="checkbox"/>
Learners have access to educational and support services necessary for them to meet the requirements of the relevant training product	<input checked="" type="checkbox"/> <input type="checkbox"/>

1.8 The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):

a) **complies with the assessment requirements of the relevant training package or VET accredited course; and**

b) **is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.**

Original finding: Not compliant	Following rectification: n/a
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Evidence guidance	Y	N	N/A
BSB40812 Certificate IV in Frontline Management			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

BSBMGT401A Show leadership in the workplace

Assessment tools consist of:

- Purchased Aspire learning resources which references superceded legislation
- Redmako learning guides
- Mapping
- Trainers and Assessors guide
- Assessment tasks x 3
- Case Study
- RPL Questions
- Portfolio
- Workplace assessment

BSBWOR404B Develop work priorities

Assessment tools consist of:

- Purchased Aspire learning resources which references superceded legislation
- Redmako learning guides
- Mapping
- Trainers and Assessors guide
- Assessment tasks x 3
- Case Study
- RPL Questions
- Portfolio
- Workplace assessment

NO STUDENT FILES TO VIEW



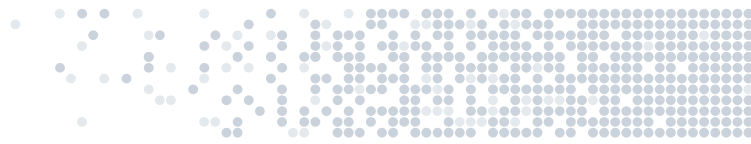
Principles of Assessment – fairness, flexibility, validity, reliability:

BSBMGT401 A		BSBWOR40 4B			
Y	N	Y	N	Evidence guidance:	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability	

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

BSBMGT401 A		BSBWOR40 4B			
Y	N	Y	N	Evidence guidance:	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
SIT30813 Certificate III in Commercial Cookery			
Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HLTAID003 Provide first aid			
Assessment tools consist of:			
<ul style="list-style-type: none"> None provided 			



SITXFSA201 Participate in safe food handling practices

Assessment tools consist of:

- Futura learning resource
- Mapping
- Four practical assessment tasks
- Third party/supervisor report
- Marking guides (includes legislation for Qld only)
- Multiple questions x 26
- Practical observation
- Validation tool
- Learner guide
- Observation checklists
- Practical assessment and marking guide.

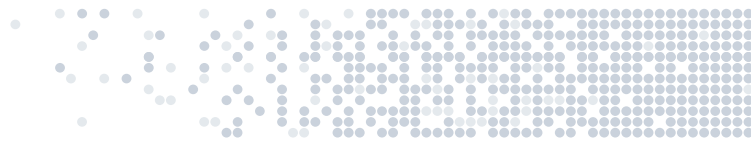
STUDENT FILES VIEWED: Thalia Ogston – 30/09/14; Isabella Pugh – 05/09/14; Angielyn Celestino – 24/04/14.

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

HLTAID003		SITXFSA201		
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

HLTAID003		SITXFSA201		
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of



				evidence from the present or the very recent past
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Evidence guidance	Y	N	N/A
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SIT30713 Certificate III in Hospitality

Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
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Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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SITXHRM301 Coach others in job skills

Assessment tools consist of:

- Futura learning resource
- Mapping
- Assessment tasks
- Third party/supervisor report
- Marking guides
- Multiple questions
- Practical observation
- Validation tool
- Learner guide
- Observation checklists
- Practical assessment and marking guide

SITXFSA201 Participate in safe food handling practices

Assessment tools consist of:

- Same as **SIT30813 Certificate III in Commercial Cookery**

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

SITXHRM30 1		SITXFSA201		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)



<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

SITXHRM30 1		SITXFSA201			
Y	N	Y	N	Evidence guidance:	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

Reasons for finding of non-compliance:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- No assessments tools were provided by the organisation that ensures that assessment complies with the assessment requirements of the relevant training package and 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.

SIT30813 Certificate III in Commercial Cookery

SITXFSA201 Participate in safe food handling practices

- No instructions for the trainers and assessors were presented at time of audit for them to make a consistent judgement in regards to the practical component of the assessment to meet the principles of assessment.

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

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- Provide a suite of assessment tools that complies with the assessment requirements of the relevant training package and ensures 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.

SIT30813 Certificate III in Commercial Cookery

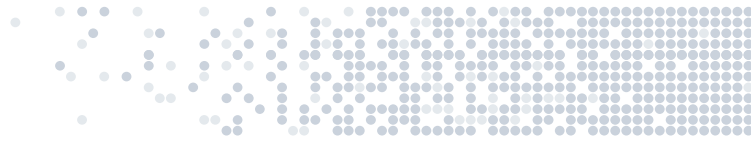
SITXFSA201 Participate in safe food handling practices

- Provide a set of instructions for the trainers and assessors to make a consistent judgement about the practical component of the assessment to meet the principles of assessment.

Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid



- The organisation provided a suite of assessment tools that complies with the assessment requirements of the relevant training package and ensures 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.

SIT30813 Certificate III in Commercial Cookery

SITXFSA201 Participate in safe food handling practices

- Evidence was provided in the form of a set of instructions for the trainers and assessors to make a consistent judgement about the practical component of the assessment to meet the principles of assessment.

The evidence provided supports compliance with the requirements of Clause 1.8.

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.**

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
A plan for ongoing systematic validation of assessment has been developed that identifies:			
• When assessment validation will occur for each training product on the RTO’s scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Who will lead and participate in validation activities	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• How the validation outcomes will be documented and acted upon	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The plan for validation has been implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
The plan for validation of assessment ensures:			
• All training products will be validated at least once every five years	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• At least 50% of training products will be validated in the first three years of the above cycle	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Relative risk of all training products are taken into account in scheduling validation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Training products identified as high risk by ASQA are taken into account in scheduling validation	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
The above have been achieved in implementing the plan for validation of assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.11 For the purposes of Clause 1.9, systematic validation of an RTO’s assessment practices



and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

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

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

Validation of assessment has been completed for at least one training product.

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

1.12 The RTO offers recognition of prior learning to individual learners.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

RPL has been offered to individual learners

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

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

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

Original finding: Not compliant

Following rectification: Compliant

Evidence Guidance

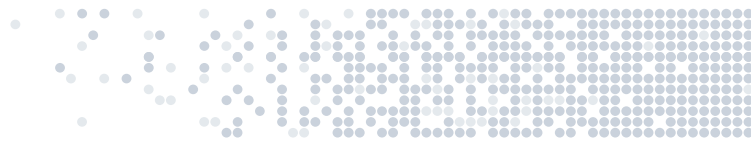
Y N

Skills and knowledge of trainers and assessors have been verified

Alison Garner

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

SIT30813 Certificate III in Commercial Cookery



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

Andy Brennan		
Trainer/assessor of following training products within scope of audit:		
SIT30713 Certificate III in Hospitality		
BSB40812 Certificate IV in Frontline Management		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

Joanne Monk		
Trainer/assessor of following training products within scope of audit:		
SIT30713 Certificate III in Hospitality		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

Michelle Lockyer		
Trainer/assessor of following training products within scope of audit:		
SIT30713 Certificate III in Hospitality		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>



qualification/unit not required)		
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

No trainer/assessor provided		
Trainer/assessor of following training products within scope of audit:		
HLTAID003 Provide first aid		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Current relevant industry skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Current vocational training and learning knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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

Reasons for finding of non-compliance:

SIT30813 Certificate III in Commercial Cookery

Alison Garner

No evidence was provided that this nominated trainer and assessor holds:

- Vocational competencies at least to the level being delivered and assessed;
- Current industry skills directly relevant to the training and assessment being provided;
- Current knowledge and skills in vocational training and learning that informs their training and assessment.

SIT30813 Certificate III in Commercial Cookery

HLTAID003 - Provide first aid

Dominique Bendebiza

Katherine Browne

No evidence was provided that this nominated trainer and assessor holds:

- Vocational competencies at least to the level being delivered and assessed.

SIT30813 Certificate III in Commercial Cookery

HLTAID003 - Provide first aid

No evidence was provided that the organisation has employed a trainer and assessor who holds:

- Vocational competencies at least to the level being delivered and assessed;
- Current industry skills directly relevant to the training and assessment being provided;
- Current knowledge and skills in vocational training and learning that informs their training and assessment.



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

SIT30813 Certificate III in Commercial Cookery

Alison Garner

Provide evidence that this nominated trainer and assessor holds:

- Vocational competencies at least to the level being delivered and assessed;
- Current industry skills directly relevant to the training and assessment being provided;
- Current knowledge and skills in vocational training and learning that informs their training and assessment.

SIT30813 Certificate III in Commercial Cookery

HLTAID003 - Provide first aid

Dominique Bendebiza

Katherine Browne

Provide evidence that nominated trainer and assessors hold:

- Vocational competencies at least to the level being delivered and assessed.

SIT30813 Certificate III in Commercial Cookery

HLTAID003 - Provide first aid

Provide evidence that demonstrates the organisation has employed a trainer and assessor who holds:

- Vocational competencies at least to the level being delivered and assessed;
- Current industry skills directly relevant to the training and assessment being provided;
- Current knowledge and skills in vocational training and learning that informs their training and assessment.

Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

Alison Garner

Evidence was provided that this nominated trainer and assessor holds:

- Vocational competencies at least to the level being delivered and assessed;
- Current industry skills directly relevant to the training and assessment being provided;
- Current knowledge and skills in vocational training and learning that informs their training and assessment.

SIT30813 Certificate III in Commercial Cookery

HLTAID003 - Provide first aid

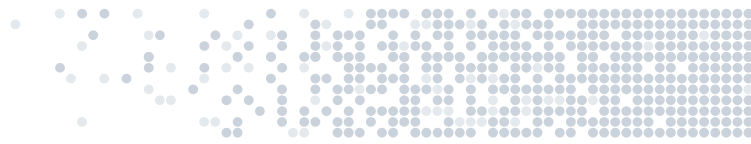
Evidence was provided for newly nominated internal trainer and assessor Michael Johnson who holds:

- Vocational competencies at least to the level being delivered and assessed;
- Current industry skills directly relevant to the training and assessment being provided;
- Current knowledge and skills in vocational training and learning that informs their training and assessment.

The evidence provided supports compliance with the requirements of Clause 1.13.

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

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



Original finding: Not compliant

Following rectification: Compliant

Evidence Guidance

VET qualifications of trainers and assessors have been verified

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

Alison Garner

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

• TAE40110 Certificate IV in Training and Assessment or its successor	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

SIT30813 Certificate III in Commercial Cookery

Alison Garner

No evidence was provided that this nominated trainer and assessor meets one of the following four requirements:

- TAE40110 Certificate IV in Training and Assessment or its successor
- Equivalent competencies to TAE40110 (TAA40104 is equivalent)
- Diploma of higher qualification education
- Equivalent competencies to diploma or higher qualification in adult education.

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

SIT30813 Certificate III in Commercial Cookery

Alison Garner

Provide evidence that this nominated trainer and assessor meets one of the following four requirements:

- TAE40110 Certificate IV in Training and Assessment or its successor
- Equivalent competencies to TAE40110 (TAA40104 is equivalent)
- Diploma of higher qualification education
- Equivalent competencies to diploma or higher qualification in adult education.

Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

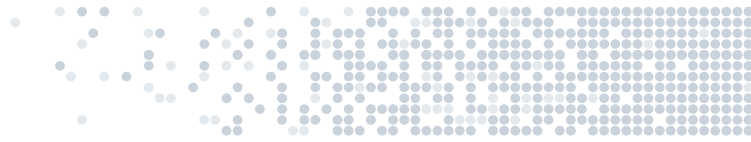
Alison Garner

Evidence provided outlines that this nominated trainer and assessor meets one of the following four requirements:

- TAE40110 Certificate IV in Training and Assessment or its successor
- Equivalent competencies to TAE40110 (TAA40104 is equivalent)
- Diploma of higher qualification education
- Equivalent competencies to diploma or higher qualification in adult education.

The evidence provided supports compliance with the requirements of Clause 1.14.

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



b) from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

The RTO uses assessors that conduct assessment only.

If no, clause is not audited. If yes:

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

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

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

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

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance

People delivering training under supervision are utilised

If no, clauses 1.17 – 1.20 are not audited, go to Clause 1.21. If yes:

Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14

People under supervision do not determine assessment outcomes

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

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

Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14

People under supervision do not determine assessment outcomes

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

Trainer name

Each trainer (that conducts training under supervision) must meet at least one of the following six requirements:



• TAESS00003 Enterprise trainer and assessor skill set or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAESS00003	<input type="checkbox"/>	<input type="checkbox"/>
• TAESS00007 Enterprise trainer – presenting skill set or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAESS00007	<input type="checkbox"/>	<input type="checkbox"/>
• TAESS00008 Enterprise trainer – mentoring skill set or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAESS00008	<input type="checkbox"/>	<input type="checkbox"/>
Each trainer (that conducts training under supervision) must meet all of the following requirements:		
• Vocational competencies at least to the level being delivered (actual qualification/unit not required)	<input type="checkbox"/>	<input type="checkbox"/>
• Current relevant industry skills	<input type="checkbox"/>	<input type="checkbox"/>

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	Y	N
Training and assessment complies with Standard 1	<input type="checkbox"/>	<input type="checkbox"/>

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	
Evidence guidance	Y	N
Supervision arrangements have been identified	<input type="checkbox"/>	<input type="checkbox"/>
People delivering training under supervision have been monitored by the supervising trainer	<input type="checkbox"/>	<input type="checkbox"/>

1.21 Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment:
a) hold the training and assessment qualification at least to the level being delivered; or
b) have demonstrated equivalence of competencies.

Original finding: Not audited	Following rectification: n/a	
Evidence guidance	Y	N
TAE training product/s are included in the audit scope	<input type="checkbox"/>	<input checked="" type="checkbox"/>



If no, clause is not audited. If yes:

Trainer/assessor name		
Each trainer/assessor that intends to deliver any training product from the TAE10 Training and Education Training Package (excluding TAE40110 Certificate IV in Training and Assessment and TAESS00001 Assessor skill set) must meet one of the following requirements:		
<ul style="list-style-type: none"> Hold a TAE training product at least to the level being delivered 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> Equivalent competencies to the above 	<input type="checkbox"/>	<input type="checkbox"/>

<p>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.</p> <p>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).</p>

Not audited as clause does not commence until 1 January 2016

<p>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:</p> <p>a) hold the qualification specified in Item 5 of Schedule 1; or</p> <p>b) work under the supervision of a trainer that meets the requirement set out in (a) above.</p>

Not audited as clause does not commence until 1 January 2017

<p>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.</p>

Not audited as clause does not commence until 1 January 2017

<p>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).</p>

Not audited as clause does not commence until 1 January 2016



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

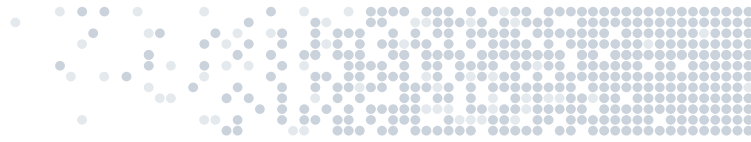
- a) where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register;
- b) where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register;
- c) where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and
- d) a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.

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

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

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

Standard 2. The operations of the RTO are quality assured.



To be compliant with Standard 2 the RTO must meet the following:

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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

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

Reasons for finding of non-compliance:

- As non-compliances have been identified at audit this demonstrates the RTO has not ensured 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.

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

- Provide evidence that satisfactorily rectifies all of the areas of non-compliance identified in the audit report.

Analysis of rectification evidence:

- The evidence provided satisfactorily rectifies all of the areas of non-compliance identified therefore this demonstrates that the organisation now has a strategy in place to ensure it will comply with Standards at all times.

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: Compliant

Following rectification: n/a

Evidence guidance

Y N

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

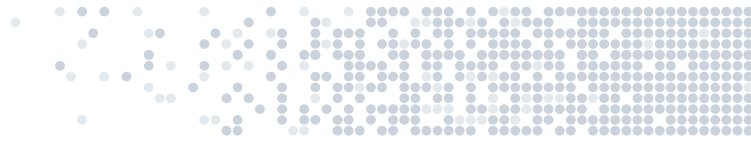
- AVETMISS data
- Quality indicator data
- Validation outcomes
- Client feedback
- Trainer and assessor feedback
- Complaints and appeals

Outcomes of monitoring have informed improvement activities

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 compliant

Following rectification: Compliant



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

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

Reasons for finding of non-compliance:

SIT30813 Certificate III in Commercial Cookery

- The training and assessment strategy for the above qualification states that the unit of competency *HLTAID003 Provide first aid* will be delivered by third party. At the time of audit no third party written agreement was presented. Furthermore, at time of audit the organisation provided conflicting information that they are now intending to employ a contract trainer and assessor to deliver this unit of competency. Consequently, the auditor was unable to confirm and unable to make a judgement concerning the compliance of the organisation in meeting the requirements of this Clause.

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

SIT30813 Certificate III in Commercial Cookery

- Provide evidence that explicitly demonstrates the organisation is compliant with the requirements of this Clause.

Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

- The organisation provided evidence that there will be no third party arrangements in place therefore they are compliant with the requirements of this 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 compliant

Following rectification: Compliant

Evidence guidance	Y	N	N/A
Strategies have been developed to systematically monitor third party arrangements to ensure services comply with these Standards	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
The above strategies have been implemented	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

Reasons for finding of non-compliance:

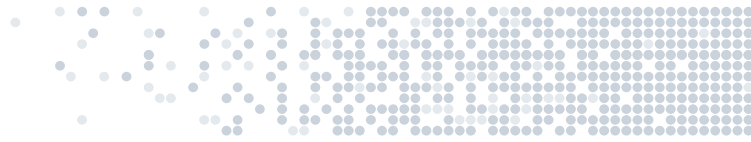
SIT30813 Certificate III in Commercial Cookery

- The training and assessment strategy for the above qualification states that the unit of competency *HLTAID003 Provide first aid* will be delivered by third party. At the time of audit no third party written agreement was presented. Furthermore, at time of audit the organisation provided conflicting information that they are now intending to employ a contract trainer and assessor to deliver this unit of competency. Consequently, the auditor was unable to confirm and unable to make a judgement concerning the compliance of the organisation in meeting the requirements of this Clause.

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

SIT30813 Certificate III in Commercial Cookery

- Provide evidence that explicitly demonstrates the organisation is compliant with the requirements of this Clause.



Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

- The organisation provided evidence that there will be no third party arrangements in place therefore they are compliant with the requirements of this Clause.

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

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

Original finding: Compliant **Following rectification:** n/a

Evidence guidance	Y	N
Only learners who have been assessed as meeting the requirements of the training product are issued with AQF certification documentation	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

Original finding: Compliant **Following rectification:** n/a

Evidence guidance	Y	N
AQF certification documentation:		
• Complies with the AQF Qualifications Issuance Policy	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Complies with the requirements of Schedule 5 to these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• A register of all qualifications issued is maintained	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

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

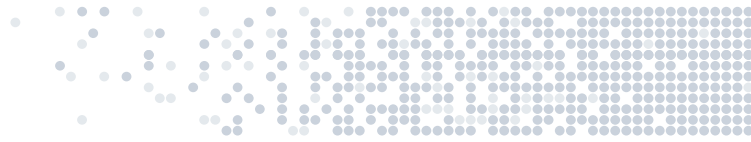
Original finding: Compliant **Following rectification:** n/a

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

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

Original finding: Compliant **Following rectification:** n/a

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

The above records are accessible to current and past learners

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

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

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

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

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

Original finding: Compliant

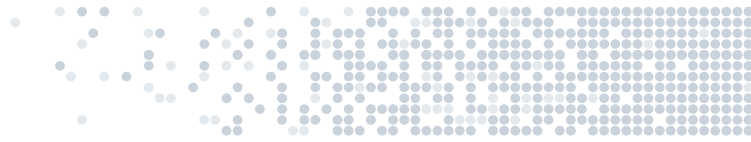
Following rectification: n/a

Evidence guidance

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

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

Standard 4. Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.
To be compliant with Standard 4 the RTO must meet the following:

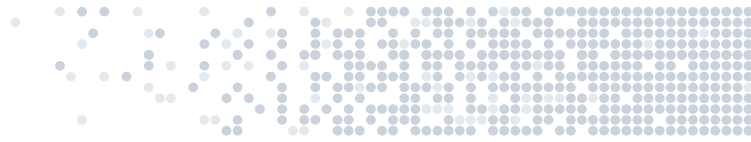


- 4.1 Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:**
- a) accurately represents the services it provides and the training products on its scope of registration;
 - b) includes its RTO Code;
 - c) refers to another person or organisation in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

Original finding: Not compliant

Following rectification: Compliant

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards	<input 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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



- Includes the code and title of each training product as per 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:

SIT30813 Certificate III in Commercial Cookery

- The training and assessment strategy for the above qualification states that the unit of competency *HLTAID003 Provide first aid* will be delivered by third party. At the time of audit the accessible information for learners and clients about the RTO's services did not identify the unit of competency *HLTAID003 Provide first aid* will be delivered by third party.

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

SIT30813 Certificate III in Commercial Cookery

- Provide evidence that explicitly demonstrates that the organisation is compliant with the requirements of this Clause.

Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

- The organisation provided evidence that there will be no third party arrangements in place therefore they are compliant with the requirements of this Clause.

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

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

Original finding: Compliant

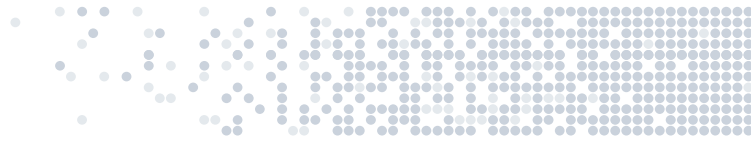
Following rectification: n/a

Evidence guidance

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

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

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

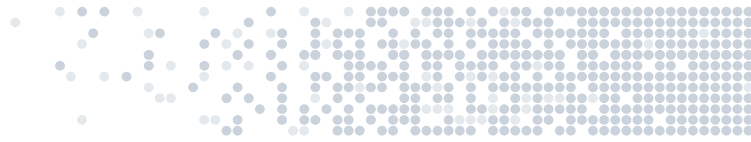


- enrolled, as published on the National Register;
- b) the training and assessment, and related educational and support services the RTO will provide to the learner including the:
 - i) estimated duration;
 - ii) expected locations at which it will be provided;
 - iii) expected modes of delivery;
 - iv) name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf; and
 - v) any work placement arrangements.
 - c) the RTO's obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.
 - d) the learner's rights, including:
 - i) details of the RTO's complaints and appeals process required by Standard 6; and
 - ii) if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in;
 - e) the learner's obligations:
 - i) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;
 - ii) any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and
 - iii) any materials and equipment that the learner must provide; and
 - f) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N	N/A
Prior to enrolment or commencement, written information is provided on the following:			
• Code and title of the training product as per training.gov.au	<input 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 type="checkbox"/>	<input checked="" type="checkbox"/>	
• Mode/s of delivery	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• Name and contact details of any third party providing services	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Work placement arrangements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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

Reasons for finding of non-compliance:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- In the training and assessment strategy it outlines that this unit of competency will be delivered by a third party RTO which will be sourced as required. It was identified at audit that this mode of delivery had not taken place. Therefore; it is not clear to the prospective learner to make a decision prior to enrolment the name and contact details of any third party who will be delivering this unit of competency; the location where the training and/or assessment will be provided and the learner's rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment.

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

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- Provide evidence that outlines to the prospective learner to make a decision prior to enrolment the name and contact details of any third party who will be delivering this unit of competency; the location where the training and/or assessment will be provided and the learner's rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment.

Analysis of rectification evidence:

SIT30813 Certificate III in Commercial Cookery

HLTAID003 Provide first aid

- The organisation provided evidence that there will be no third party arrangements in place therefore they are compliant with the requirements of this Clause.

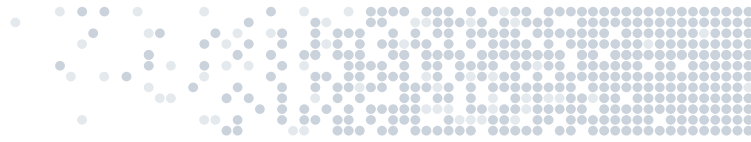
5.3 Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

- 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	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
If no, clause is not audited. If yes:			
Written information is provided on the following, prior to enrolment or commencement:			
<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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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

Original finding: 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:

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: Compliant	Following rectification: n/a		
Evidence guidance	Y	N	
The RTO is an employer or volunteer organisation and:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> 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:			
<ul style="list-style-type: none"> The RTO RTO staff Learners Third parties 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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: Compliant	Following rectification: n/a		
Evidence guidance	Y	N	
An appeals policy has been developed covering decisions made for or on behalf of the RTO (may be combined with complaints)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	



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: Compliant **Following rectification:** n/a

Evidence guidance	Y	N
The complaints and appeals policy/ies:		
<ul style="list-style-type: none"> • Adopt the principles of natural justice and procedural fairness by: <ul style="list-style-type: none"> ○ 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 	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

6.4 Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:

- a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
- b) regularly updates the complainant or appellant on the progress of the matter.

Original finding: Compliant **Following rectification:** n/a

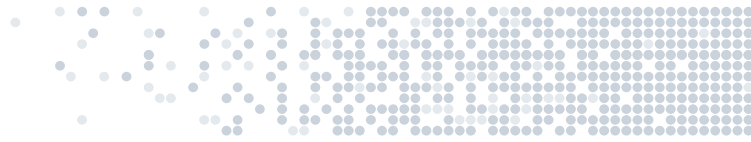
Evidence guidance	Y	N	N/A
Where more than 60 calendar days have been required to process a complaint or appeal:	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<ul style="list-style-type: none"> • The complainant or appellant is advised in writing of the reasons • The complainant or appellant is regularly updated in writing 	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	

6.5 The RTO:

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

Original finding: Compliant **Following rectification:** n/a

Evidence guidance	Y	N	N/A
Secure records are maintained of all complaints and appeals and their outcomes	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Potential cause of complaints and appeals are identified and corrective action taken	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

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

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

7.1 The RTO ensures that its executive officers or high managerial agent:
 a) are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and
 b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

Not audited

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

Not audited

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

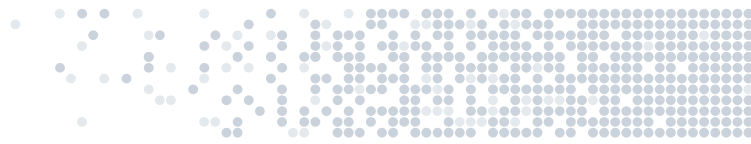
Prepaid fees in excess of \$1,500 are collected from individual learners
 If no, clause is not audited. If yes:

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		
1. The RTO holds an unconditional financial guarantee from a bank operating in Australia where: <ul style="list-style-type: none"> – 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 	<input type="checkbox"/>	<input type="checkbox"/>
2. The RTO holds current membership of a Tuition Assurance Scheme approved by ASQA	<input type="checkbox"/>	<input type="checkbox"/>
3. Any other fee protection measure approved by ASQA	<input type="checkbox"/>	<input type="checkbox"/>

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

Original finding: Compliant

Following rectification: n/a

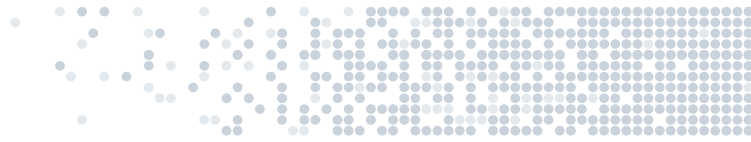
Evidence guidance	Y	N
Public liability insurance is in place that: <ul style="list-style-type: none"> • Provides coverage for the RTO • Covers training and assessment activities 	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

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

Not audited

Standard 8. The RTO cooperates with the VET Regulator and is legally compliant at all times. To be compliant with Standard 8 the RTO must meet the following:

8.1 The RTO cooperates with the VET Regulator: <ol style="list-style-type: none"> 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: Compliant

Following rectification: n/a

Evidence guidance

Y N

The RTO co-operates with ASQA:

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

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

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

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

If no, clause is not audited. If yes:

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

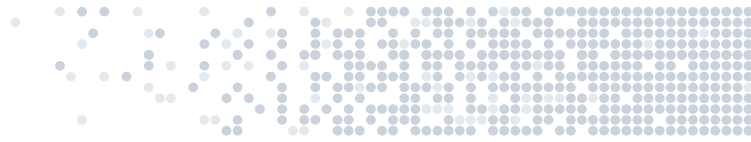
- Providing accurate and factual responses to information requests from ASQA relevant to the delivery of services
- In the conduct of audits and the monitoring of its operations

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

Not audited

8.4 The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:
a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and
b) has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

Not audited



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

Not audited

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

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

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