### ORGANISATION DETAILS

<table>
<thead>
<tr>
<th>Organisation's legal name:</th>
<th>Australian Careers Education Pty Ltd</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trading name/s:</td>
<td>Australian Careers Education</td>
</tr>
<tr>
<td>RTO number:</td>
<td>22424</td>
</tr>
<tr>
<td>CRICOS number:</td>
<td>03219A</td>
</tr>
</tbody>
</table>

### AUDIT TEAM

<table>
<thead>
<tr>
<th>Lead auditor:</th>
<th>F. Garai</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auditor/s:</td>
<td>B. Kovak</td>
</tr>
<tr>
<td>Technical advisor/s:</td>
<td>N/A</td>
</tr>
</tbody>
</table>

### AUDIT DETAILS

<table>
<thead>
<tr>
<th>Application number/s:</th>
<th>104362</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit number/s:</td>
<td>1007861</td>
</tr>
<tr>
<td>Audit reason 1:</td>
<td>Application - renewal</td>
</tr>
<tr>
<td>Audit reason 2:</td>
<td>n/a</td>
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<tr>
<td>Audit reason 3:</td>
<td>n/a</td>
</tr>
<tr>
<td>Activity type:</td>
<td>Site visit</td>
</tr>
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</table>

Address of site/s visited:
- 347 - 351 Victoria Street, Brunswick, Victoria, 3056.
- 149 - 151 Donald Street, Brunswick East, Victoria, 3057

Date/s of audit: 2 to 4 June 2015

Organisation's contact for audit:
- Mr Garry Ghattas, Chief Executive Officer
  - Email: garry@ace.vic.edu.au
  - Phone: 03 9380 1414

Clauses audited: 1.1 - 1.21, 1.26, 1.27, 2, 3, 4, 5, 6, 7.3, 8.2 & 8.6
BACKGROUND

RTO Management structure
The registered provider's management consists of a CEO with a management team consisting of course co-ordinators, admin manager; and compliance manager; the management team meets at least weekly for operational meetings and has monthly strategic meetings.

Other strategic & operational groups that assist the RTO
The registered provider utilises a VET consultant, and has corporate membership with ACPET, Automotive Skills Association, has applied with VELG for corporate membership, subscribes to relevant ISC's newsletters.

General description of RTO location & facilities
The registered provider has facilities at:
347-351 Victoria St. BRUNSWICK VIC 3056 (Admin offices and automotive training)
149-151 Donald Street Brunswick Vic 3057 (Hospitality and business training)
Gattas Pty Ltd trading as Aurora Reception 149-151 Donald Street Brunswick Vic 3057
The registered provider is not offering or enrolling learners from other states.

General description of training modes used by the RTO/organisation
The registered provider mainly delivers training through:
- Face to Face classroom
- Workplace delivery & assessment
- Blended learning (E-Learning components of course)

RTO scope of registration
The RTO's scope of registration is from the following training packages:
AUR12, BSB, & SIT12

The RTO is registered to deliver the following qualifications

<table>
<thead>
<tr>
<th>Code</th>
<th>Qualification</th>
</tr>
</thead>
<tbody>
<tr>
<td>AUR30612</td>
<td>Certificate III in Light Vehicle Mechanical Technology</td>
</tr>
<tr>
<td>BSB40212</td>
<td>Certificate IV in Business</td>
</tr>
<tr>
<td>BSB40215</td>
<td>Certificate IV in Business</td>
</tr>
<tr>
<td>BSB50207</td>
<td>Diploma of Business</td>
</tr>
<tr>
<td>BSB50215</td>
<td>Diploma of Business</td>
</tr>
<tr>
<td>BSB60207</td>
<td>Advanced Diploma of Business</td>
</tr>
<tr>
<td>BSB60215</td>
<td>Advanced Diploma of Business</td>
</tr>
</tbody>
</table>
RTO current enrolment details

<table>
<thead>
<tr>
<th>Code</th>
<th>Title</th>
<th>Current enrolments</th>
</tr>
</thead>
<tbody>
<tr>
<td>AUR30612</td>
<td>Certificate III in Light Vehicle Mechanical Technology</td>
<td>NIL</td>
</tr>
<tr>
<td>BSB40212</td>
<td>Certificate IV in Business</td>
<td>NIL</td>
</tr>
<tr>
<td>BSB40215</td>
<td>Certificate IV in Business</td>
<td>NIL</td>
</tr>
<tr>
<td>BSB50207</td>
<td>Diploma of Business</td>
<td>NIL</td>
</tr>
<tr>
<td>BSB50215</td>
<td>Diploma of Business</td>
<td>NIL</td>
</tr>
<tr>
<td>BSB60207</td>
<td>Advanced Diploma of Business</td>
<td>NIL</td>
</tr>
<tr>
<td>BSB60215</td>
<td>Advanced Diploma of Business</td>
<td>NIL</td>
</tr>
<tr>
<td>SIT30813</td>
<td>Certificate III in Commercial Cookery</td>
<td>52</td>
</tr>
<tr>
<td>SIT40413</td>
<td>Certificate IV in Commercial Cookery</td>
<td>20</td>
</tr>
<tr>
<td>SIT50313</td>
<td>Diploma of Hospitality</td>
<td>13</td>
</tr>
</tbody>
</table>

Total International students: 85

RTO/organisation fee or funding information

The registered provider offers its training and services as fee for service provider only

AUDIT SAMPLE

<table>
<thead>
<tr>
<th>Code</th>
<th>Training products</th>
<th>Mode/s of delivery / assessment*</th>
<th>Current enrolments</th>
</tr>
</thead>
<tbody>
<tr>
<td>AUR30612</td>
<td>Certificate III in Light Vehicle mechanical Technology</td>
<td>Face to face</td>
<td>NIL</td>
</tr>
<tr>
<td>BSB40215</td>
<td>Certificate IV in Business</td>
<td>Face to face, online</td>
<td>NIL</td>
</tr>
<tr>
<td>BSB50215</td>
<td>Diploma of Business</td>
<td>Face to face, online</td>
<td>NIL</td>
</tr>
<tr>
<td>BSB60215</td>
<td>Advanced Diploma of Business</td>
<td>Face to face, online</td>
<td>NIL</td>
</tr>
<tr>
<td>SIT30813</td>
<td>Certificate III in Commercial Cookery</td>
<td>Face to face, workplace</td>
<td>52</td>
</tr>
</tbody>
</table>
Audit report - Australian Careers Education Pty Ltd

Audit report - Australian Careers Education Pty Ltd

**INTERVIEWEES**

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Training products</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mr Garry Ghattas</td>
<td>Chief Executive Officer</td>
<td>All</td>
</tr>
<tr>
<td>Ms Bernadette Ghattas</td>
<td>Compliance and Support Services Officer</td>
<td>All</td>
</tr>
<tr>
<td>Irene Mendoza</td>
<td>VET Consultant</td>
<td>All</td>
</tr>
</tbody>
</table>

**ORIGINAL FINDING AT TIME OF AUDIT**

Audit finding as at 4 June 2015: Critical non-compliance

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

**AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE**

Audit finding following analysis of additional evidence provided on 24 July 2015: Compliant

**AUDIT FINDING BY STANDARD**

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

This report details findings against the Standards for Registered Training Organisations 2015.
The evidence guidance included against each clause is designed to guide the auditor and RTO on the
requirements of the clause. The evidence guidance is not designed to limit the audit findings and there
may be other factors an auditor takes into consideration when determining whether compliance has been
demonstrated.
Where evidence of non-compliance is identified, the ‘Reasons for finding of non-compliance’ section of
the report will document the issues that were considered in the formulation of a finding of non-
compliance.
STANDARD 1

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

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

Clause 1.1

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

Original finding: Not compliant

Following rectification: Compliant

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

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

Reasons for finding of non-compliance:

Evidence audited:

Training and assessment strategies for:
- AUR30612 Certificate III in Light Vehicle Mechanical Technology
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- SIT30813 Certificate III in Commercial Cookery
- SIT50313 Diploma of Hospitality

The registered provider’s evidence did not demonstrate that the RTO’s training and assessment strategies and practices, including the amount of training they provide, is consistent with the requirements of the relevant training packages and VET accredited courses, and enables each learner to meet the requirements for each unit of competency or module in which they are enrolled because:

AUR30612 Certificate III in Light Vehicle Mechanical Technology Training and assessment strategy:

In accordance with the principles of validity, sufficiency, currency, and reliability: The training and assessment strategy/s does not analyse the nature of the learner cohort and, in conjunction with the specific requirements of the training product, to determine how the RTO will schedule training and assessment activities to ensure learners are able to fully develop the required skills and knowledge prior to being assessed. The applicant does not identify variations in the time to deliver training demonstrating it has analysed the nature of the learner cohort taking into consideration their levels of experience and
current levels of identified skills and knowledge. e.g. The units of competency AURTTZ2002 Repair exhaust system components, and AURTTQ2002 Remove and refit driveline components only allows 14 hours to be delivered and assessed.

The applicant’s training and assessment strategy does not demonstrate that the assessment methods will confirm consistency and accuracy of performance (over time and in a range of workplace relevant contexts) together with the application of required skills and knowledge.

The training and assessment strategies did not specify all of the resources, both human and physical, that will be used to meet the requirements of the qualification/course/unit of competency. There is no reference to where the resources required for the practical components of the AUR30612 Certificate III in Light Vehicle Mechanical Technology.

**BSB40215 Certificate IV in Business:**
The registered provider’s training and assessment strategy refers to: “The delivery process will include ‘Theory’ – classroom based and ‘Practical’ off-the-job (ACE training kitchen).” Is stated in the Evidence gathering techniques section on page 8. This reference does not support the principles of validity, sufficiency, currency, and reliability, in that the Certificate IV in Business practical workplace activities have to be demonstrated in an appropriate work place context and environment.

**BSB50215 Diploma of Business:**
The registered provider’s training and assessment strategy refers to: “The delivery process will include ‘Theory’ – classroom based and ‘Practical’ off-the-job (ACE training kitchen).” Is stated in the Evidence gathering techniques section on page 7. This reference does not support the principles of validity, sufficiency, currency, and reliability, in that the Diploma of Business practical workplace activities have to be demonstrated in an appropriate work place context and environment.

**BSB60215 Advanced Diploma of Business:**
The registered provider’s training and assessment strategy refers to: “The delivery process will include ‘Theory’ – classroom based and ‘Practical’ off-the-job (ACE training kitchen).” Is stated in the Evidence gathering techniques section on page 7. This reference does not support the principles of validity, sufficiency, currency, and reliability, in that the Diploma of Business practical workplace activities have to be demonstrated in an appropriate work place context and environment.

**SIT30813 Certificate III in Commercial Cookery:**
In accordance with the principles of validity, sufficiency, currency, and reliability: Prerequisite requirements of the unit/s of competency are not identified in the training and assessment strategy. Fourteen core units of competency require that the prerequisite unit of competency SITXFSA101 Use hygienic practices for food safety is required before the learner can commence the identified core unit of competency.

The owner’s name for the La Paelia Restraut is not identified as a referral for the RTO’s consultative process. Refer page 16 of the training and assessment strategy.

The training and assessment strategies did not specify all of the resources, as detailed in the training package that is required to be used to meet the requirements of the qualification and unit/s of competency.

**SIT50313 Diploma of Hospitality:**
In accordance with the principles of validity, sufficiency, currency, and reliability: Prerequisite requirements of the unit/s of competency are not identified in the training and assessment strategy. There are ten elective units of competency that require the prerequisite unit of competency SITXFSA101 Use hygienic practices for food safety is required before the learner can commence the ten identified elective units of competency.

The training and assessment strategies did not specify all of the resources, as detailed in the training package that is required to be used to meet the requirements of the qualification and unit/s of competency.
Common non-compliances with all training and assessment strategies analysed:

In accordance with the principles of validity, sufficiency, currency, flexibility and reliability. The registered providers training and assessment strategies do not identify if any of the units of competency are clustered for delivery and assessment purposes.

In accordance with the principles of reliability and validity, there was no reference to how assessment decisions will be formulated from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency.

In accordance with the principles of validity, reliability and authenticity, there was no reference on what are the consequences for a candidate that has been found cheating or plagiarising evidence during assessment.

In accordance with the principles of validity, sufficiency and reliability, the training and assessment strategy did not identify that the candidate’s abilities must be demonstrated comprehensively in a workplace environment under supervision to ensure the candidate can perform the work as expressed in the elements and performance criteria, essential/required skills and knowledge, and critical requirements of performance to be assessed as competent.

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

Demonstrate that the sampled training and assessment strategies have been amended to meet the clause and relevant training packages requirements for the Principles of Assessment and the Rules of evidence.

**Analysis of rectification evidence**

**Training and assessment strategies for:**

- AUR30612 Certificate III in Light Vehicle Mechanical Technology
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- SIT30813 Certificate III in Commercial Cookery
- SIT50313 Diploma of Hospitality

The registered provider’s rectification evidence demonstrated that the sampled training and assessment strategies have been amended and include the required information that was identified to be missing at time of audit, and the training and assessment strategies now meet the relevant training package requirements.
Clause 1.2
For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:
   a) the existing skills, knowledge and the experience of the learner;
   b) the mode of delivery; and
   c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

Original finding: Not compliant  
Following rectification: Compliant

Evidence guidance

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

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

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

Evidence audited:

Training and assessment strategies for:

- AUR30612 Certificate III in Light Vehicle Mechanical Technology
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- SIT30813 Certificate III in Commercial Cookery
- SIT50313 Diploma of Hospitality

The registered provider’s evidence did not demonstrate that the RTO determines the amount of training they provide to each learner with regard to the existing skills, knowledge and the experience of the learner because:

**AUR30612 Certificate III in Light Vehicle Mechanical Technology Training and assessment strategy:**

In accordance with the principles of validity, sufficiency, currency, and reliability: The training and assessment strategy/s does not analyse the nature of the learner cohort and, in conjunction with the specific requirements of the training product, to determine how the RTO will schedule training and assessment activities to ensure learners are able to fully develop the required skills and knowledge prior to being assessed. The applicant does not identify variations in the time to deliver training demonstrating it has analysed the nature of the learner cohort taking into consideration their levels of experience and current levels of identified skills and knowledge. e.g. The units of competency AURTTZ2002 Repair exhaust system components, and AURTTQ2002 Remove and refit driveline components only allows 14 hours to be delivered and assessed.

The registered providers training and assessment strategy only identifies the learner as an international student, no further criteria is detailed as to the learners industry experience and skills and knowledge.
prior to enrolment, therefore it can be assumed that there will be learners enrolled that do not have industry experience and skills and knowledge of the automotive repair industry, and would require activities to be longer to ensure learners are able to fully develop the required skills and knowledge prior to being assessed.

**BSB40215 Certificate IV in Business:**

The registered provider identifies that the nominal hours for the delivery and assessment of the training is based on the Victorian purchasing guide. The Victorian purchasing guide is not referenced by the relevant training package as the source for determining the required duration to satisfy the requirements of the training package and the training products for the delivery of the essential/required knowledge and skills and assessment of the required knowledge and skills.

In accordance with the principles of validity, sufficiency, currency, and reliability: The training and assessment strategy does not analyse the nature of the learner cohort and, in conjunction with the specific requirements of the training product, to determine how the RTO will schedule training and assessment activities to ensure learners are able to fully develop the required skills and knowledge prior to being assessed. The applicant does not identify variations in the time to deliver training demonstrating it has analysed the nature of the learner cohort taking into consideration their levels of experience and current levels of identified skills and knowledge.

The registered provider’s training and assessment strategy only identifies the learner as an international student, no further criteria is detailed as to the learners industry experience and skills and knowledge prior to enrolment, therefore it can be assumed that there will be learners enrolled that do not have industry experience and skills and knowledge of the industry, and would require activities to be longer to ensure learners are able to fully develop the required skills and knowledge prior to being assessed.

**BSB50215 Diploma of Business:**

The registered provider identifies that the nominal hours for the delivery and assessment of the training is based on the Victorian purchasing guide. The Victorian purchasing guide is not referenced by the relevant training package as the source for determining the required duration to satisfy the requirements of the training package and the training products for the delivery of the essential/required knowledge and skills and assessment of the required knowledge and skills.

In accordance with the principles of validity, sufficiency, currency, and reliability: The training and assessment strategy does not analyse the nature of the learner cohort and, in conjunction with the specific requirements of the training product, to determine how the RTO will schedule training and assessment activities to ensure learners are able to fully develop the required skills and knowledge prior to being assessed. The applicant does not identify variations in the time to deliver training demonstrating it has analysed the nature of the learner cohort taking into consideration their levels of experience and current levels of identified skills and knowledge.

The registered providers training and assessment strategy only identifies the learner as an international student, no further criteria is detailed as to the learners industry experience and skills and knowledge prior to enrolment, therefore it can be assumed that there will be learners enrolled that do not have industry experience and skills and knowledge of the industry, and would require activities to be longer to ensure learners are able to fully develop the required skills and knowledge prior to being assessed.

**BSB60215 Advanced Diploma of Business:**

The registered provider identifies that the nominal hours for the delivery and assessment of the training is based on the Victorian purchasing guide. The Victorian purchasing guide is not referenced by the relevant training package as the source for determining the required duration to satisfy the requirements of the training package and the training products for the delivery of the essential/required knowledge and skills and assessment of the required knowledge and skills.

In accordance with the principles of validity, sufficiency, currency, and reliability: The training and assessment strategy does not analyse the nature of the learner cohort and, in conjunction with the specific requirements of the training product, to determine how the RTO will schedule training and
assessment activities to ensure learners are able to fully develop the required skills and knowledge prior to being assessed. The applicant does not identify variations in the time to deliver training demonstrating it has analysed the nature of the learner cohort taking into consideration their levels of experience and current levels of identified skills and knowledge.

The registered providers training and assessment strategy only identifies the learner as an international student, no further criteria is detailed as to the learners industry experience and skills and knowledge prior to enrolment, therefore it can be assumed that there will be learners enrolled that do not have industry experience and skills and knowledge of the industry, and would require activities to be longer to ensure learners are able to fully develop the required skills and knowledge prior to being assessed.

SIT30813 Certificate III in Commercial Cookery:

In accordance with the principles of validity, sufficiency, currency, and reliability: Prerequisite requirements of the unit/s of competency are not identified in the training and assessment strategy. Fourteen core units of competency require that the prerequisite unit of competency SITXFSA101 Use hygienic practices for food safety is required before the learner can commence the identified core unit of competency.

In accordance with the principles of validity, sufficiency, currency, and reliability: The training and assessment strategy does not analyse the nature of the learner cohort and, in conjunction with the specific requirements of the training product, to determine how the RTO will schedule training and assessment activities to ensure learners are able to fully develop the required skills and knowledge prior to being assessed. The applicant does not identify variations in the time to deliver training demonstrating it has analysed the nature of the learner cohort taking into consideration their levels of experience and current levels of identified skills and knowledge.

The registered providers training and assessment strategy only identifies the learner as an international student, no further criteria is detailed as to the learners industry experience and skills and knowledge prior to enrolment. The registered providers training and assessment strategy identifies that Individual may enter into the qualification with limited or no vocational experience and without a lower level qualification.

These learners would require activities to be longer to ensure learners are able to fully develop the required skills and knowledge prior to being assessed, but the training and assessment strategy does not identify how these learners educational needs will be met in accordance with the requirements of the relevant training package.

SIT50313 Diploma of Hospitality:

In accordance with the principles of validity, sufficiency, currency, and reliability: Prerequisite requirements of the unit/s of competency are not identified in the training and assessment strategy. There are ten elective units of competency that require the prerequisite unit of competency SITXFSA101 Use hygienic practices for food safety is required before the learner can commence the ten identified elective units of competency.

In accordance with the principles of validity, sufficiency, currency, and reliability: The training and assessment strategy does not analyse the nature of the learner cohort and, in conjunction with the specific requirements of the training product, to determine how the RTO will schedule training and assessment activities to ensure learners are able to fully develop the required skills and knowledge prior to being assessed. The applicant does not identify variations in the time to deliver training demonstrating it has analysed the nature of the learner cohort taking into consideration their levels of experience and current levels of identified skills and knowledge.

The registered providers training and assessment strategy only identifies the learner as an international student, no further criteria is detailed as to the learners industry experience and skills and knowledge prior to enrolment. It can be assumed that learners without or with a limited level of industry experience and the essential/required knowledge and skills will be enrolled in the course.

These learners would require activities to be longer to ensure learners are able to fully develop the required skills and knowledge prior to being assessed, but the training and assessment strategy does not
identify how these learners educational needs will be met in accordance with the requirements of the relevant training package.

**Analysis of rectification evidence:**

Training and assessment strategies for:

- AUR30612 Certificate III in Light Vehicle Mechanical Technology
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- SIT30813 Certificate III in Commercial Cookery
- SIT50313 Diploma of Hospitality

The registered provider’s rectification evidence demonstrated that the sampled training and assessment strategies have been amended and include the required information that was identified to be missing at time of audit, and the training and assessment strategies now meet the relevant training package requirements.
Clause 1.3
The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

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

Original finding: Not compliant
Following rectification: Compliant

Evidence guidance

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

Training and assessment strategies for:
- AUR30612 Certificate III in Light Vehicle Mechanical Technology
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- SIT30813 Certificate III in Commercial Cookery
- SIT50313 Diploma of Hospitality

Classrooms at 149 Donald Street, East Brunswick.
Automotive workshop at 347-351 Victoria Street, Brunswick
Commercial Kitchens at 149 Donald Street, East Brunswick

Staff capability, Education resources and premises policy and procedure

Learning resources for the units of competency sampled:
- SBCCM401A – Make a presentation – participant guide.
- BSBWRT401A – Write complex documents – participant guide
- BSBLED501 – Develop a workplace learning environment – participant guide
- BSBADM502 – Manage meetings – participant guide
- BSBMGMT605 – Provide leadership across the organisation – Participant guide
- BSBMKG609 – Develop a marketing plan – Participant guide
- SITHCC309 – Work effectively as a cook – Participant guide
- SITXINV202 - Maintain the quality of perishable items – Student workbook
Reasons for finding of non-compliance:
The registered provider’s evidence did not demonstrate that the RTO had all of the physical resources listed in the equipment for the delivery of AUR30612- Certificate III in Light Vehicle Mechanical Technology, Appendix B – Automotive Workshop list, specifically:
- a headlight aimer
- Radiator pressure test kit
- Automatic Transmission & engine oil pressure test kit
- Automatic Transmission band adjusting kit
- Harmonic balancer puller kit
- Engine compression gauge

The organisation did not provide evidence that it has access to suitable facilities and equipment for the delivery of SIT30813 - Certificate III in Commercial Cookery, specifically:
- There were insufficient utensils and kitchen tools to support a class size of 20 students i.e. there should be 1 of every item for each student available.
- The student library area at Aurora Reception Centre had a large hole in the roof making the library area unsafe for students to utilise.

In order to become compliant, the organisation is required to:
- Demonstrate that the registered provider has the required resources by notifying the auditor prior to or at rectification that the required resources have been obtained and invite the auditor to conduct a site visit to physically sight the resources.
- Demonstrate that the damage in the student library area at Aurora Reception Centre has been repaired and is a safe and suitable area for students to access and use.

Analysis of rectification evidence:
Training and assessment strategies for:
- AUR30612 Certificate III in Light Vehicle Mechanical Technology
- SIT30813 Certificate III in Commercial Cookery
- SIT50313 Diploma of Hospitality

Automotive workshop at 347-351 Victoria Street, Brunswick
Commercial Kitchens at 149 Donald Street, East Brunswick

The registered provider demonstrated that the required resources for the AUR30612 Certificate III in Light Vehicle Mechanical Technology, and SIT30813 Certificate III in Commercial Cookery have been obtained and invited the auditor to conduct a site visit to physically sight the resources, which was conducted on Wednesday 9th July 2015.

The registered provider demonstrated that the damage in the student library area at Aurora Reception Centre has been repaired and is a safe and suitable area for students to access and use.
Clause 1.4
The RTO meets all requirements specified in the relevant training package or VET accredited course.

Original finding: Not compliant  
Following rectification: n/a

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

Training and assessment strategies for:
- AUR30612 Certificate III in Light Vehicle Mechanical Technology
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- SIT30813 Certificate III in Commercial Cookery
- SIT50313 Diploma of Hospitality
- Assessment tools

Reasons for finding of non-compliance:
The registered provider did not demonstrate that its training and assessment strategies and resources are consistent with the requirements of each training product sampled.
- Refer to Clause’s 1.1, 1.2, and 1.3 for details of the non-compliances.
The registered provider did not demonstrate that its training and assessment practices are consistent with the requirements of each training product sampled.
- Refer to Clause 1.8 for details of the non-compliances.

In order to become compliant, the organisation is required to:
- Demonstrate satisfactory rectification evidence for the non-compliances found for Standard 1 clauses: 1.1, 1.2, 1.3 & 1.8

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

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

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

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

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

a) its training and assessment strategies, practices and resources; and  

b) the current industry skills of its trainers and assessors.

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

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<tr>
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<td>Industry engagement strategies have been implemented</td>
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<tr>
<td>Outcomes from industry engagement strategies have been systematically used to inform:</td>
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<td></td>
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<tr>
<td>☐ training and assessment strategies</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>☐ training and assessment practices</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>☐ resources, including facilities and equipment</td>
<td>☒</td>
<td>☐</td>
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</tr>
<tr>
<td>☐ current industry skills required to be held by trainers and assessors</td>
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</tbody>
</table>

**NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015**
Clause 1.7
The RTO determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses.

Original finding: Not compliant    Following rectification: Compliant

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

Evidence audited:

Training and assessment strategies for:

- AUR30612 Certificate III in Light Vehicle Mechanical Technology
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- SIT30813 Certificate III in Commercial Cookery
- SIT50313 Diploma of Hospitality
  - Enrolment form
  - Student handbook
  - RTO website

Reasons for finding of non-compliance:

The registered provider’s evidence did not demonstrate that the support needs of learners have been identified, because:

- The information given to students prior to enrolment or the commencement of training and assessment does not capture data which identifies the individual’s existing skills and competencies.

The registered provider’s evidence does not demonstrate that learners have access to educational and support services necessary for them to meet the requirements of the relevant training product e.g. the evidence did not identify how the registered provider will support a learner with a learning impairment or disability after enrolment or during the delivery of training and assessment.

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

Demonstrate how the support needs of individual learners will be determined and how the RTO 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.

Analysis of rectification evidence:

Training and assessment strategies for:

- AUR30612 Certificate III in Light Vehicle Mechanical Technology
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- SIT30813 Certificate III in Commercial Cookery
The registered provider demonstrated how the support needs of individual learners will be determined and how the RTO 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 by amending the analysed rectification evidence.

- Training and assessment strategies target audience enrolment requirements have been amended.
- Enrolment Form (page 3 and 5, highlighted in yellow).
- Student Handbook (page 34 and 44-45)
- Pre-Enrolment Brochure (page 10)
- Website > Student Support Services (http://www.ace.vic.edu.au/student-support services.html)

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

a) complies with the assessment requirements of the relevant training package or VET accredited course; and
b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.

<table>
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<tr>
<th>Evidence guidance</th>
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<td><strong>BSB40215 - Certificate IV in Business</strong></td>
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<tr>
<td>Assessment meets the assessment requirements of the training package or course.</td>
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<tr>
<td>Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)</td>
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<tr>
<td><strong>BSBCMM401A – Make a presentation</strong></td>
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<td>Assessment tools consist of:</td>
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<tr>
<td>- Short answer questions 1</td>
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<td>- Observation checklist 2</td>
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<td>- Written assessment 3</td>
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<td><strong>BSBWRT401A - Write complex documents</strong></td>
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<td>Assessment tools consist of:</td>
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<tr>
<td>- Assessment 1 - Written questions</td>
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<td>- Assessment 2 - Project</td>
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<td>- Assessment 3 - Written assessment</td>
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Principles of Assessment – fairness, flexibility, validity, reliability:

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<thead>
<tr>
<th>BSBCMM401A</th>
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Elements addressed (to levels as defined in performance criteria)
Knowledge evidence/required knowledge addressed
Performance evidence/required skills addressed
Assessment conditions/critical aspects of evidence addressed
Context and consistency of assessment addressed to appropriate AQF level
Assessment of knowledge and skills is integrated with their practical application
Assessment uses a range of assessment methods
Criteria defining acceptable performance are outlined for all instruments
Clear information about assessment requirements is provided (for assessors and students)
Allows for reasonable adjustment and provides for objective feedback
Considers dimensions of competency and transferability

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

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<th>BSBCMM40 1A</th>
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</table>

Evidence guidance | Y | N | N/A |

BSB50215 – Diploma of Business

Assessment meets the assessment requirements of the training package or course. ☐ ☒
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) ☒ ☐ ☐

BSBADMLED501 - Develop a workplace arrangement

Assessment tools consist of:
- Assessment 1 - Short answer questions & activities
- Assessment 2 - Project
- Assessment 3 – Short answer questions

BSBADM502 - Manage meetings

Assessment tools consist of:
- Assessment 1 - Short answer questions & activities
- Assessment 2 - Project
- Assessment 3 - Short answer questions

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

<table>
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<tr>
<th>BSBADMILE D501</th>
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<td>Knowledge evidence/required knowledge addressed</td>
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<td>Performance evidence/required skills addressed</td>
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<tr>
<td>☒ ☐ ☒ ☐</td>
<td>Assessment conditions/critical aspects of evidence addressed</td>
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<td>Context and consistency of assessment addressed to appropriate AQF level</td>
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<td>Assessment of knowledge and skills is integrated with their practical application</td>
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<td>Assessment uses a range of assessment methods</td>
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<tr>
<td>☒ ☐ ☐ ☒</td>
<td>Criteria defining acceptable performance are outlined for all instruments</td>
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<tr>
<td>☒ ☐ ☐ ☒</td>
<td>Clear information about assessment requirements is provided (for assessors and students)</td>
</tr>
<tr>
<td>☒ ☐ ☐ ☒</td>
<td>Allows for reasonable adjustment and provides for objective feedback</td>
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<tr>
<td>☒ ☐ ☐ ☒</td>
<td>Considers dimensions of competency and transferability</td>
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### Rules of Evidence – validity, sufficiency, authenticity, currency:

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<td>Validity: Assessment evidence considered has direct relevance to the unit or module’s specifications</td>
</tr>
<tr>
<td>☒ ☐ ☒ ☐</td>
<td>Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement</td>
</tr>
<tr>
<td>☒ ☐ ☐ ☒</td>
<td>Authenticity: Assessment evidence gathered is the learner’s own work</td>
</tr>
<tr>
<td>☒ ☐ ☐ ☒</td>
<td>Currency: Competency judgements include consideration of evidence from the present or the very recent past</td>
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### Evidence guidance

<table>
<thead>
<tr>
<th>BSB60215 - Advanced Diploma of Business</th>
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<tr>
<td>Assessment meets the assessment requirements of the training package or course. ☐ ☒</td>
</tr>
<tr>
<td>Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) ☒ ☐ ☐</td>
</tr>
<tr>
<td>BSBMGT605 - Provide leadership across the organisation ☒ ☐ ☐</td>
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</table>
Assessment tools consist of:

- Assessment 1 - Written questions & activities
- Assessment 2 – Role Play
- Assessment 3 – Written assessment

### BSBMKG609 - Develop a marketing plan
Assessment tools consist of:

- Assessment 1 - Written questions
- Assessment 2 – Project
- Assessment 3 – Role play

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

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<tr>
<th>BSBMGT605</th>
<th>BSBMK609</th>
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- **Elements addressed (to levels as defined in performance criteria)**
- **Knowledge evidence/required knowledge addressed**
- **Performance evidence/required skills addressed**
- **Assessment conditions/critical aspects of evidence addressed**
- **Context and consistency of assessment addressed to appropriate AQF level**
- **Assessment of knowledge and skills is integrated with their practical application**
- **Assessment uses a range of assessment methods**
- **Criteria defining acceptable performance are outlined for all instruments**
- **Clear information about assessment requirements is provided (for assessors and students)**
- **Allows for reasonable adjustment and provides for objective feedback**
- **Considers dimensions of competency and transferability**

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

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<th>BSBMGT605</th>
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- **Validity:** Assessment evidence considered has direct relevance to the unit or module’s specifications
- **Sufficiency:** Sufficient assessment evidence is considered to substantiate a competency judgement
- **Authenticity:** Assessment evidence gathered is the learner’s own work
- **Currency:** Competency judgements include consideration of
Evidence guidance

<table>
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<th>SIT30813 - Certificate III in Commercial Cookery</th>
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SITHCCC309 - Work effectively as a cook

Assessment tools consist of:

- Assessment 1 - Written questions
- Assessment 2 - Practical demonstration
- Assessment 3 - Written questions
- Assessment 4 - Practical logbook

SITXINV202 - Maintain the quality of perishable items

Assessment tools consist of:

- Assessment 1 - Written questions
- Assessment 2 - Assignment
- Assessment 3 - Written questions/assessment

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

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

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<td>Currency:</td>
<td>Competency judgements include consideration of evidence from the present or the very recent past</td>
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**Evidence guidance**

Y  N  N/A

**SIT50313 - Diploma of Hospitality**

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

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

**SITXCCS401 - Enhance the customer service experience**

Assessment tools consist of:

- Assessment 1 - Written assessment
- Assessment 2 - Practical demonstration
- Assessment 3 - Written assessment

N/A

Assessment tools consist of:

- N/A

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

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<tr>
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<td>Context and consistency of assessment addressed to appropriate AQF level</td>
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<tr>
<td>☒ ☐</td>
<td>Assessment uses a range of assessment methods</td>
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</table>
Criteria defining acceptable performance are outlined for all instruments.

Clear information about assessment requirements is provided (for assessors and students).

Allows for reasonable adjustment and provides for objective feedback.

Considers dimensions of competency and transferability.

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

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AUR30612 - Certificate III in Light Vehicle Mechanical Technology

Assessment meets the assessment requirements of the training package or course. ☑ ☑

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

AURTTK2002 - Use and maintain workplace tools and equipment

Assessment tools consist of:

- Practical demonstration
- Written assessment

AURVTA3004 - Inspect Vehicle systems and determine preferred repair action

Assessment tools consist of:

- Practical demonstration
- Written assessment

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

<table>
<thead>
<tr>
<th>Code</th>
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<tbody>
<tr>
<td>☑</td>
<td>☑ ☑ ☑ N</td>
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<td>☑</td>
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</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>AURTTK2002</th>
<th>AURVTA3004</th>
<th>Evidence guidance:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y</td>
<td>N</td>
<td>Validity: Assessment evidence considered has direct relevance to the unit or module’s specifications</td>
</tr>
<tr>
<td>N</td>
<td>Y</td>
<td>Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement</td>
</tr>
<tr>
<td>N</td>
<td>Y</td>
<td>Authenticity: Assessment evidence gathered is the learner’s own work</td>
</tr>
<tr>
<td>N</td>
<td>Y</td>
<td>Currency: Competency judgements include consideration of evidence from the present or the very recent past</td>
</tr>
</tbody>
</table>

**Evidence audited:**

Assessment tools sampled for:
- AURTTK2002 – Use and maintain workplace tools and equipment
- AURVTA3004 – Inspect vehicle systems and determine preferred repair action
- BSBWRT401 – Write complex documents
- BSBCM401 – Make a presentation
- BSBLED501 – Develop a workplace learning environment
- BSBADM502 – Manage meetings
- BSBMGT605 – Provide leadership across the organisation
- BSBMKG609 – Develop a marketing plan
- SITHCCC309 – Work effectively as a cook
- SITXINV202 – Maintain the quality of perishable items
- SITXCCS401 – Enhance the customer service experience

**Reasons for finding of non-compliance:**
The registered provider’s evidence did not demonstrate that the RTO implements an assessment system that ensures 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 because:

- In accordance with the principles of assessment and rules of evidence the provider’s assessment instrument used for all the written questions and activities in the units sampled, did not demonstrate evidence that the criteria for defining acceptable performance was outlined, specifically:
  - In accordance with fairness, validity, reliability, sufficiency, and flexibility there were no instructions to the assessor or the candidate on how to conduct the assessment in regards to the standard the candidate is required to meet to be deemed competent and no conditions of the assessment were stated e.g. the time to complete the assessment task, if the assessment was a closed book or open book assessment.
  - In accordance with the principles of fairness, reliability, validity, flexibility, and sufficiency, Multiple assessments were identified for a Unit of Competency; it was not clear which assessments are to determine a student’s progress (Formative Assessments) and which assessments are to determine a student’s competence against the Unit of Competency (Summative Assessments),
  - In accordance with the principles of validity, sufficiency, fairness and reliability, there were no instructions to the assessor or the candidate to demonstrate or reference how reasonable adjustments will be applied to meet the learner’s specific learning needs. e.g. the Assessment of learners with low language/literacy/numeracy skills or under-represented groups learning support needs e.g. learners with a learning impairment such as dyslexia.
  - In accordance with the principles of validity, reliability and authenticity, there was no reference or instructions to the candidate on what are the consequences for a candidate that has been found cheating or plagiarising evidence during the assessment.
  - In accordance with the principles of validity, sufficiency, flexibility, fairness and reliability, there were no instructions to either the assessor or the candidate on how reassessment is to be conducted.
  - In accordance with the principles of validity, fairness and reliability, there were no instructions to either the assessor or the candidate on how assessment appeals are to be managed and conducted.
  - The organisations assessment tools did not specify all of the resources, both human and physical, that will be used to meet the requirements for conducting the assessment.
  - In accordance with the principles of validity, sufficiency, fairness and reliability, there were no assessment instructions for the assessor to assist making decision from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency.
  - In accordance with the principles of validity, sufficiency and reliability, the assessment tool did not identify the candidate’s abilities that must be demonstrated comprehensively in a workplace environment under supervision to ensure the candidate can perform the work as expressed in the elements and performance criteria to be assessed as competent e.g. the learners work/log book does not identify the frequency that skills and knowledge must be demonstrated in the workplace under supervision.

- In accordance with the principles of assessment and rules of evidence the assessment tool for SITXCCS401 – Enhance the customer service experience, did not demonstrate evidence that the critical aspects of evidence were addressed, specifically:
  - In accordance with Rules of evidence, the practical demonstration did not assess the requirement in the training package to demonstrate professional and personalised customer service experiences on multiple occasions to meet the expectations of a variety of customers e.g. the assessment tool did not assess the following required knowledge:
Critical aspects for assessment and evidence required to demonstrate competency in this unit

- provide professional and personalised customer service experiences on multiple occasions to meet the expectations of a variety of customers.
- communicate with a diverse range of customers including those with special needs to provide a total quality service experience.
- resolve difficult service situations and customer complaints within designated times.
- demonstrate knowledge of professional service standards expected of service industry personnel.
- complete service within commercial time constraints and designated response times so that all customers are served effectively.

In accordance with Rules of evidence the RPL tools did not collect sufficient evidence to assess competence of the candidate for the training package requirements, the assessment tool did not assess all the knowledge requirements of the unit, the assessment tool does not examine the breadth and depth of knowledge in the unit.

- principles and benefits of enhanced customer service experiences and positive communication
- techniques to anticipate customer preferences, needs and expectations throughout the service experience
- conflict resolution techniques
- value of staff and customer feedback in enhancing service delivery

For the specific industry sector:

- professional service standards expected of service industry personnel
- attitudes and attributes expected by the service industries to work with customers
- accepted service standards and rituals
- different customer service needs and expectations
- types of customer loyalty programs
- the essential features and usage of the customer data base

In accordance with rules of evidence the RPL tools did not identify the abilities specified in the Unit of Competency under the critical evidence as critical, and must be demonstrated comprehensively as expressed by the critical aspects of evidence e.g. the assessment criteria in the tools consisted of the elements and performance criteria and does not provide observable behaviours that the student must demonstrate in a range of contexts and over a period of time, as required by the unit of competency. Therefore there is no evidence of assessment of the required skills.

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

- Demonstrate that an assessment system is implemented that ensures that assessment (including recognition of prior learning) by amending the assessment tools sampled to satisfy the requirements of the clause and the relevant training packages.

**Analysis of rectification evidence:**

**Assessment tools sampled for:**

- AURTTK2002 – Use and maintain workplace tools and equipment
- AURVTA3004 – Inspect vehicle systems and determine preferred repair action
- BSBWRT401 – Write complex documents
- BSBCM401 – Make a presentation
- BSBLED501 – Develop a workplace learning environment
- BSBADM502 – Manage meetings
- BSBMG7605 – Provide leadership across the organisation
- BSBMKG609 – Develop a marketing plan
- SITHCC309 – Work effectively as a cook
- SITXINV202 – Maintain the quality of perishable items
• SITXCCS401 – Enhance the customer service experience

The registered provider’s evidence demonstrated that the sampled assessment tools with non-compliances were amended and ensures that assessment (including recognition of prior learning) by amending the assessment tools sampled to satisfy the requirements of the clause and the relevant training packages because:

• The assessment tools now have instructions to the assessor and candidate on how to conduct the assessment in regards to the standard the candidate is required to meet to be deemed competent. Conditions of the assessment were included such as time allocated and if the assessment is a closed or open book task.

• Assessments clearly explain the progress to be made in order to be deemed competent (summative assessments).

• Information is made available in regards to the candidates rights at assessment for reasonable adjustments, and refers students to ACE Complaints and Appeals policy available on-line, and in the student hand book.

• Assessment tools now have instructions to the candidate on what are the consequences for plagiarising and/or cheating and refer students to ACE Plagiarism Policy available on-line or by contacting ACE.

• Assessment tools now have instructions to the candidate on how reassessment is to be conducted.

• Assessment Work/log books have been modified to include instructions to students on how frequently skills and knowledge must be demonstrated under supervision and what the critical aspects are for the assessment.

• The practical demonstration for SITXCCS401 Enhance the customer service, has now identified the critical aspects for the assessment and the evidence required to demonstrate competency for the unit.
**Clause 1.9**
The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO’s scope of registration:

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

<table>
<thead>
<tr>
<th>Original finding:</th>
<th>Not compliant</th>
<th>Following rectification:</th>
<th>Compliant</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td>Y</td>
<td>N</td>
<td>N/A</td>
</tr>
<tr>
<td>A plan for ongoing systematic validation of assessment has been developed that identifies:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• when assessment validation will occur for each training product on the RTO’s scope of registration</td>
<td>☒</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>• who will lead and participate in validation activities</td>
<td>☐</td>
<td>☒</td>
<td></td>
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<tr>
<td>• how the validation outcomes will be documented and acted upon</td>
<td>☐</td>
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</tr>
</tbody>
</table>

The plan for validation has been implemented

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

**Evidence audited:**

- Validation schedule October 2015 – October 2019
- Training and assessment strategies and practices Policy and Procedures; Schedule 2, independent validation requirements
- Training and assessment policy and procedures; Assessment validation process

Internal validation record for:

- BSBMGT605 Provide leadership across the organisation; conducted 23 May 2015 by Kapil Deb & Ross Farquharson
- BSBMKG609 Develop a marketing plan: conducted on 12 May 2015 by Kapil Deb & Ross Farquharson

The registered provider’s evidence did not demonstrate in its plan for ongoing systematic validation of assessment practices and judgements:

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

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

Demonstrate that the RTO must systematically conduct validation activities to confirm assessment judgements are being made correctly, and

- who will lead and participate in validation activities; and
- how the outcomes of these activities will be documented and acted upon.
Analysis of rectification evidence:

Evidence audited:

- Validation schedule October 2015 – October 2019
- Training and assessment strategies and practices Policy and Procedures; Schedule 2, independent validation requirements
- Training and assessment policy and procedures; Assessment validation process

The registered provider’s evidence demonstrated how the RTO will systematically conduct validation activities to confirm assessment judgements are being made correctly, and

- who will lead and participate in validation activities; and
- how the outcomes of these activities will be documented and acted upon because:

The registered provider has created a stand-alone Validation Policy and Procedure, which outlines the validation process in greater detail. The Training and Assessment Policies now omit detail of the Validation process and refer to the stand-alone and comprehensive ‘Validation Policy and Procedure’.

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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>The plan for validation of assessment ensures:</td>
<td></td>
<td></td>
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<tr>
<td>- all training products will be validated at least once every five years</td>
<td>☒</td>
<td></td>
<td>☒</td>
</tr>
<tr>
<td>- at least 50% of training products will be validated in the first three years of</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>the above cycle</td>
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<td></td>
<td></td>
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<tr>
<td>- relative risk of all training products are taken into account in scheduling</td>
<td>☒</td>
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<tr>
<td>validation</td>
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<td></td>
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</tr>
<tr>
<td>- training products identified as high risk by ASQA are taken into account in</td>
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<tr>
<td>scheduling validation</td>
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<tr>
<td>The above have been achieved in implementing the plan for validation of assessment</td>
<td>☒</td>
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</tbody>
</table>

Reasons for finding of non-compliance:

Evidence audited:

- Validation schedule October 2015 – October 2019
- Training and assessment strategies and practices Policy and Procedures; Schedule 2, independent validation requirements
- Training and assessment policy and procedures; Assessment validation process

Internal validation record for:

a. BSBMGT605 Provide leadership across the organisation; conducted 23 May 2015 by Kapil Deb & Ross Farquharson
b. BSBMKG609 Develop a marketing plan: conducted on 12 May 2015 by Kapil Deb & Ross Farquharson
- Validation records for hospitality qualifications 2014
The registered provider’s evidence did not demonstrate that all training products will be validated at least once every five years.

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

Demonstrate that 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.

Analysis of rectification evidence:

Evidence audited:

- Validation schedule October 2015 – October 2019
- Training and assessment strategies and practices Policy and Procedures; Schedule 2, independent validation requirements
- Training and assessment policy and procedures; Assessment validation process

The registered provider’s evidence demonstrated that each training product will be 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 because:

The 5-Year Validation Schedules have been amended to take place over a 5-year schedule, 2015-2020 (as opposed to a 4-year schedule, 2015-2019); with at least 50% of the training product being validated within the first 3 years.

The reference made to the Validation Policy and Procedure attached refers to the training product being validated at least once every 5 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.
Clause 1.11

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

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

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

Original finding: Not compliant  
Following rectification: Compliant

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Validation of assessment has been completed for at least one training product.</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>If no, clause is not audited. If yes: Validation of assessment has been undertaken by one or more persons who, collectively, hold:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• relevant vocational competencies and current industry skills</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>• current knowledge and skills in VET teaching and learning</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>• TAE40110 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor)</td>
<td>☒</td>
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</tr>
</tbody>
</table>

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

Reasons for finding of non-compliance:

Evidence audited:

- Training and assessment strategies and practices Policy and Procedures; Schedule 2, independent validation requirements
- Training and assessment policy and procedures; Assessment validation process

The registered provider’s evidence did not demonstrate that systematic validation of the RTO’s assessment practices and judgements will be 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.

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

Demonstrate how the RTO will conduct systematic validation of the RTO’s assessment practices and judgements 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.
Schedule 1.

Analysis of rectification evidence:

Evidence audited:

- Validation schedule October 2015 – October 2019
- Training and assessment strategies and practices Policy and Procedures; Schedule 2, independent validation requirements
- Training and assessment policy and procedures; Assessment validation process

The registered provider’s evidence demonstrated how the RTO will conduct systematic validation of the RTO’s assessment practices and judgements 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.

The 5-Year Validation Schedules have been amended to take place over a 5-year schedule, 2015-2020 (as opposed to a 4-year schedule, 2015-2019); with at least 50% of the training product being validated within the first 3 years.

The reference made to the Validation Policy and Procedure attached refers to the training product being validated at least once every 5 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.

The registered provider has created a stand-alone Validation Policy and Procedure, which outlines the validation process in greater detail. The Training and Assessment Policies now omit detail of the Validation process and refer to the stand-alone and comprehensive ‘Validation Policy and Procedure’.

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

Original finding: Compliant Following rectification: n/a

Evidence guidance

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

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

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

b) current industry skills directly relevant to the training and assessment being provided; and

c) current knowledge and skills in vocational training and learning that informs their training and assessment.

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

Original finding: Compliant Following rectification: n/a

Evidence guidance

Each trainer / assessor must meet all requirements for each training product being delivered:
<table>
<thead>
<tr>
<th>Trainer / Assessor name</th>
<th>Training product code/s delivered</th>
<th>1.13 (a)</th>
<th>1.13 (b)</th>
<th>1.13 (c)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Carmel Gauci</td>
<td>SIT30813 Certificate III in Commercial Cookery</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td></td>
<td>SIT40413 Certificate IV in commercial cookery</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Malcolm Elias</td>
<td>SIT30813 Certificate III in Commercial Cookery</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td></td>
<td>SIT40413 Certificate IV in commercial cookery</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Jude Ganegoda</td>
<td>SIT30813 Certificate III in Commercial Cookery</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Manoharan Jegatheesan</td>
<td>SIT30813 Certificate III in Commercial Cookery</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Kapil Deb</td>
<td>SIT50313 Diploma of hospitality</td>
<td>☒</td>
<td>☐</td>
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</tr>
</tbody>
</table>
### Trainer / Assessor name

<table>
<thead>
<tr>
<th>Trainer / Assessor name</th>
<th>Training product code/s delivered</th>
<th>1.13 (a)</th>
<th>1.13 (b)</th>
<th>1.13 (c)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Giorgio De Sisito</td>
<td>BSB40207-Certificate IV in business BSB50207-Diploma of business</td>
<td>☑</td>
<td>☐</td>
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</tr>
<tr>
<td>Roman Petelinek</td>
<td>AUR30612 Certificate III in Light vehicle Mechanical Technology</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>Syed Ahsan Kazmi</td>
<td>AUR30612 Certificate III in Light vehicle Mechanical Technology</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>Claude D’Orazio</td>
<td>AUR30612 Certificate III in Light vehicle Mechanical Technology</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>Gerard Garbe</td>
<td>BSB60215 Advanced Diploma of Business</td>
<td>☑</td>
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</tr>
</tbody>
</table>

**Clause 1.14**

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

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

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

**Evidence guidance**

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

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

<table>
<thead>
<tr>
<th>Trainer / Assessor name</th>
<th>Schedule 1 Item 1</th>
<th>Schedule 1 Item 2</th>
<th>Demonstrated equivalence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Carmel Gauci</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>Malcolm Elias</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>Jude Ganegoda</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>Manoharan Jegatheesam</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
</tbody>
</table>
Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor
Schedule 1, Item 2: A Diploma or higher level qualification in adult education

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

Original finding: Not audited
Following rectification: n/a

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

Assessor name

Training product code/s delivered
Each assessor (who conducts assessment only) must meet at least one of the following requirements:

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

Each assessor (who conducts assessment only) must meet all of the following requirements:
- vocational competencies at least to the level being delivered (actual qualification/unit not required)

Kapil Deb ❌ ☐ ☐ ☐ ☐ ☐
Giorgio De Sisito ❌ ☐ ☐ ☐ ☐ ☐
Roman Petelinek ❌ ☐ ☐ ☐ ☐ ☐
Syed Ahsan Kazmi ❌ ☐ ☐ ☐ ☐ ☐
Claude D’Orazio ❌ ☐ ☐ ☐ ☐ ☐
Gerard Garbe ❌ ☐ ☐ ☐ ☐ ☐
Clause 1.16
The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Original finding: Not compliant  
Following rectification: Compliant

Evidence guidance

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trainers and assessors undertake professional development in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment.</td>
<td>❑</td>
<td>❑</td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:

Evidence audited:

Staff files for:
- Carmel Gauci: trainer & assessor for; SIT30813 Certificate III in Commercial Cookery, & SIT40413 Certificate IV in commercial cookery
- Jude Ganegoda: trainer & assessor for; SIT30813 Certificate III in Commercial Cookery
- Manoharan Jegatheesan: trainer & assessor for; SIT30813 Certificate III in Commercial Cookery
- Kapil Deb: trainer & assessor for; SIT50313 Diploma of hospitality
- Giorgio De Sisito: trainer & assessor for; BSB40207-Certificate IV in business, & BSB50207-Diploma of business
- Roman Petelinek: trainer & assessor for; AUR30612 Certificate III in Light vehicle Mechanical Technology
- Syed Ahsan Kazmi: trainer & assessor for; AUR30612 Certificate III in Light vehicle Mechanical Technology
- Claude D’Orazio: trainer & assessor for; AUR30612 Certificate III in Light vehicle Mechanical Technology
- Gerard Garbe: trainer & assessor for; BSB60215 Advanced Diploma of Business

The registered provider’s evidence for trainers and assessors listed below provider did not demonstrate evidence that it has ensured the trainer and assessor has undertaken professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment:
- Roman Petelinek
- Syed Ahsan Kazmi
- Claude D’Orazio
- Gerard Garbe

In order to become compliant, the organisation is required to:
- Demonstrate evidence that the trainers and assessors listed below have undertaken professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment from 1 July 2014 to 30 June 2015.
  - Roman Petelinek
  - Syed Ahsan Kazmi
  - Claude D’Orazio
- Gerard Garbe
- Demonstrate evidence of how the RTO will ensure 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.
- Demonstrate a plan of how trainers and assessors will undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

**Analysis of rectification evidence:**

**Evidence analysed:**
- Evidence of the 4 Trainer / Assessors from 1 July 2014 to 30 June 2015.
- A plan of upcoming Professional Development activities for the 4 Trainer / Assessors.

The registered provider’s evidence demonstrated that the trainers and assessors have undertaken professional development, and provided a plan of the professional development the trainers and assessors will undertake.

<table>
<thead>
<tr>
<th>Clause 1.17</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Original finding:</td>
<td>Not audited</td>
</tr>
</tbody>
</table>

**Evidence guidance**

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

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

- a) holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
- b) has vocational competencies at least to the level being delivered and assessed; and
- c) has current industry skills directly relevant to the training and assessment being provided.

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

**Evidence guidance**

<table>
<thead>
<tr>
<th>Individual working under supervision name</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Each individual who works under the supervision of a trainer must meet at least one of the following requirements:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- TAESS00003 Enterprise trainer and assessor skill set or its successor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- equivalent competencies to TAESS00003</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
- TAESS00007 Enterprise trainer – presenting skill set or its successor
- equivalent competencies to TAESS00007
- TAESS00008 Enterprise trainer – mentoring skill set or its successor
- equivalent competencies to TAESS00008

Each individual who works under the supervision of a trainer must meet all of the following requirements:

- vocational competencies at least to the level being delivered (actual qualification/unit not required)
- current relevant industry skills
### Clause 1.19
Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.

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

Training and assessment complies with Standard 1

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

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

a) determines and puts in place:
   i) the level of the supervision required; and
   ii) any requirements, conditions or restrictions considered necessary on the individual’s involvement in the provision of training and collection of assessment evidence; and

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

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

Supervision arrangements have been identified

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

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

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

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

b) have demonstrated equivalence of competencies.

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

A TAE qualification or skill set is included in the audit scope

If no, clause is not audited. If yes:

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

### Trainer / Assessor name

Each trainer/assessor that intends to deliver TAE40110 Certificate IV in Training and Assessment or TAESS00001 Assessor skill set must meet at least one of the following eight requirements:

- TAE40110 Certificate IV in Training and Assessment or its successor
- equivalent competencies to TAE40110 (TAA40104 is equivalent)
- TAE50111 Diploma of Vocational Education and Training or its successor
- equivalent competencies to TAE50111
- TAE50211 Diploma of Training Design and Development or its successor
- equivalent competencies to TAE50211
- diploma or higher qualification in adult education
- equivalent competencies to diploma or higher qualification in adult education

Trainer / Assessor name

Each trainer/assessor that intends to deliver any training product from the TAE10 Training and Education Training Package (excluding TAE40110 Certificate IV in Training and Assessment and TAESS00001 Assessor skill set) must meet one of the following requirements:

- hold a TAE training product at least to the level being delivered
- equivalent competencies to the above

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

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

Not audited as clause does not commence until 1 January 2016

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

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

Not audited as clause does not commence until 1 January 2017

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

Not audited as clause does not commence until 1 January 2017
Clause 1.25
From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).

Not audited as clause does not commence until 1 January 2016

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

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

Original finding: 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:
- Learners have been completed and issued certification or transferred to the replacement within one year of training products being superseded
- Learners have been completed and issued certification within two years of qualifications being removed or deleted
- Learners have been completed and issued certification within one year of skill sets, units, modules or short courses being removed or deleted
- Learners are not commenced in training products that have been removed or deleted

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015
 Clause 1.27
The requirements specified in Clause 1.26 (a) do not apply where a training package requires the delivery of a superseded unit of competency.

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

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

<table>
<thead>
<tr>
<th>Original finding: Not compliant</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
<tr>
<td>The RTO is compliant with the clauses sampled across all operations within its scope of registration</td>
<td>☐</td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:
The registered provider’s evidence does not demonstrate that it is compliant with the standards across all operations within its scope of registration because:

- It was found to be non-compliant with:
  - Standard 1, clauses, 1.1, 1.2, 1.3, 1.4, 1.8, 1.9, 1.10, 1.11, 1.16
  - Standard 2, clause 2.1,
  - Standard 3, clause 3.4
  - Standard 4, clause 4.1
  - Standard 5, clauses, 5.1, 5.2, 5.4
  - Standard 6, clauses, 6.1, 6.2, 6.3, 6.5

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

- Demonstrate rectification evidence for the standards and clauses listed above, that the RTO is compliant with the Standards across all operations within its scope of registration.
- Demonstrate how the RTO will monitor and review its training and assessment in a systematic way, and review results to be used to revise systems and practice where needed.

Analysis of rectification evidence:

Evidence analysed:
Rectification evidence for:

- Standard 1, clauses, 1.1, 1.2, 1.3, 1.4, 1.8, 1.9, 1.10, 1.11, 1.16
- Standard 2, clause 2.1,
- Standard 3, clause 3.4
- Standard 4, clause 4.1
- Standard 5, clauses, 5.1, 5.2, 5.4
- Standard 6, clauses, 6.1, 6.2, 6.3, 6.5

### Clause 2.2
**The RTO:**

a) systematically monitors the RTO’s training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and

b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO’s training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

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

#### Evidence guidance

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

Outcomes of monitoring have informed improvement activities

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

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

#### Evidence guidance

<table>
<thead>
<tr>
<th>Third party arrangements are in place for delivery of services</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>

If no, clauses 2.3 – 2.4 are not audited. If yes:

- A written agreement is in place for each arrangement (also refer Clause 8.2)

**NOTE** – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015
Clause 2.4
The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.

<table>
<thead>
<tr>
<th>Clause</th>
<th>Description</th>
<th>Original finding</th>
<th>Following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.4</td>
<td>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.</td>
<td>Not audited</td>
<td>n/a</td>
</tr>
</tbody>
</table>

Evidence guidance

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

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

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

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

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

<table>
<thead>
<tr>
<th>Clause</th>
<th>Description</th>
<th>Original finding</th>
<th>Following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1</td>
<td>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.</td>
<td>Compliant</td>
<td>n/a</td>
</tr>
</tbody>
</table>

Evidence guidance

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

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

<table>
<thead>
<tr>
<th>Clause</th>
<th>Description</th>
<th>Original finding</th>
<th>Following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.2</td>
<td>All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.</td>
<td>Compliant</td>
<td>n/a</td>
</tr>
</tbody>
</table>

Evidence guidance

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

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

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

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

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

**Original finding:** Not compliant  
**Following rectification:** Compliant

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records of qualifications and statements of attainment issued, sufficient to enable reissuance, are retained for a period of 30 years</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>The above records are accessible to current and past learners</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>

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

**Evidence audited:**
- Issuance policy
- Records management policy
- Staff handbook
- Fees and charges policy
- Student support services handbook
- RTO website

The provider’s evidence did not demonstrate that records of learner AQF certification are accessible to current and past learners because:
- The information given to learners did not reference how current and past learners can access their records.

**In order to become compliant, the organisation is required to:**
- Demonstrate how current and past learners can access their records.

**Analysis of rectification evidence:**

**Evidence analysed:**
- Pre-enrolment brochure
- Student hand book

The registered provider’s evidence demonstrated how current and past learners can access their records.
### Clause 3.5
The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:

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

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

**Evidence guidance**

<table>
<thead>
<tr>
<th>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)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y</td>
</tr>
<tr>
<td>N</td>
</tr>
</tbody>
</table>

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

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

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

**Evidence guidance**

<table>
<thead>
<tr>
<th>Student Identifiers are verified before being used</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>☒</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>AQF certification document is only issued to an individual with a verified Student Identifier, unless an exemption applies</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>☒</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Where an exemption applies, learners are informed prior to commencement that results will not be included in the USI system</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>☒</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Security of Student Identifiers and related records is ensured</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>☒</td>
<td></td>
<td></td>
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</tbody>
</table>

**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:

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

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

**Original finding:** Not compliant  
**Following rectification:** Compliant

### Evidence guidance

<table>
<thead>
<tr>
<th>Advertising and marketing:</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>is accurate and factual</td>
<td>☐</td>
<td>☒</td>
<td></td>
</tr>
<tr>
<td>accurately represents the services provided</td>
<td>☐</td>
<td>☒</td>
<td></td>
</tr>
<tr>
<td>accurately represents the RTO scope of registration</td>
<td>☐</td>
<td>☒</td>
<td></td>
</tr>
<tr>
<td>includes the RTO code</td>
<td>☒</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>only refers to a person or organisation with their consent</td>
<td>☐</td>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>uses the NRT logo in accordance with the conditions of use specified in</td>
<td>☒</td>
<td>☐</td>
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</tr>
</tbody>
</table>
Schedule 4 of these Standards

- identifies where a third party is recruiting prospective learners on behalf of the RTO [X]
- identifies where training and assessment is being provided on behalf of another RTO [X]
- identifies where training and assessment is being provided by a third party [X]
- distinguishes between national recognised training and other training [X]
- includes the code and title of each training product as per www.training.gov.au [X]
- includes accurate information about licensed or regulated outcomes [X]
- includes details about financial support provided, including VET FEE-HELP [X]
- includes details about relevant government funding subsidies [X]

Does not guarantee that a learner:

- will successfully complete a training product [X]
- can complete a training product in a manner not compliant with Clauses 1.1 or 1.2 [X]
- will obtain a particular employment outcome unless this is in the control of the RTO [X]

Evidence audited:

- Provider website
- Course details for SIT30313 on the providers website.
- Pre-Enrolment brochure
- Marketing information and practice policy and procedure
- Version control register
- Marketing materials checklist
- Written agreements with education agents

Reasons for finding of non-compliance:

The registered provider’s evidence did not demonstrate that information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual because:

- The registered provider’s marketing information practice policy and procedure does not identify that when the RTO’s marketing information refers to another organisation it can only refer to the organisation if the consent of that organisation has been obtained e.g. education agents are referred to on the RTO’s web site.
- The marketing materials do not identify the pre-requisite’s required by the training package for the respective qualifications on its scope of registration, and;
- The marketing materials do not identify that education agents will be recruiting students on behalf of the provider.

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

- Demonstrate evidence that education agents listed on its website have consented to the use of their details.
- Demonstrate evidence that the marketing materials have been amended to identify the pre-requisites for the respective qualifications on its scope of registration as required by the training package.
- Demonstrate evidence that the marketing materials have been amended to identify that education agents will be recruiting on behalf of the provider.

Analysis of rectification evidence:

Evidence analysed:
- Marketing Consent Forms
- Marketing Information and Practices Policy and Procedure (page 4)
- Marketing Materials Checklist (page 3)
- Pre-Enrolment Brochure (page 13)
- Pre-Requisite Information has been added in the following documents:
  - Pre-Enrolment Brochure (pages 22-43)
  - Student Handbook (page 47-67)
  - Staff Handbook (pages 36-57)
  - Agent Manual (pages 11-31)

The registered provider’s evidence demonstrated:
- that education agents listed on its website have consented to the use of their details.
- that the marketing materials have been amended to identify the pre-requisites for the respective qualifications on its scope of registration as required by the training package.
- that the marketing materials have been amended to identify that education agents will be recruiting on behalf of the provider.
## STANDARD 5
Each learner is properly informed and protected.
To be compliant with Standard 5 the RTO must meet the following:

<table>
<thead>
<tr>
<th>Clause 5.1</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Original finding:</td>
<td>Not compliant</td>
</tr>
<tr>
<td>Evidence guidance</td>
<td></td>
</tr>
<tr>
<td>Information is provided to prospective learners, prior to enrolment or commencement of training or assessment whichever comes first, about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies</td>
<td></td>
</tr>
</tbody>
</table>

**Evidence audited:**

Training and assessment strategies for:
- AUR30612 Certificate III in Light Vehicle Mechanical Technology
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- SIT30813 Certificate III in Commercial Cookery
- SIT50313 Diploma of Hospitality
- Student engagement prior to enrolment policy and procedure
- Formalisation of enrolment policy and procedure
- Letter of offer & student acceptance agreement
- Enrolment form
- Enrolment checklist

**Reasons for finding of non-compliance:**
The registered provider’s evidence did not demonstrate evidence that prior to enrolment or the commencement of training and assessment, whichever comes first, it provides advice to prospective learners about the training product appropriate to meeting the learners needs, taking into account the individual’s existing skills and competencies because:
- The information provided to prospective learners does not detail information about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies.

**In order to become compliant, the organisation is required to:**
- Demonstrate that the information given to prospective learners details information about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies.
Analysis of rectification evidence:

**Training and assessment strategies for:**

- AUR30612 Certificate III in Light Vehicle Mechanical Technology
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- SIT30813 Certificate III in Commercial Cookery
- SIT50313 Diploma of Hospitality
  - Student hand book (pages 44 - 45)
  - Pre-enrolment brochure (page 10)
  - Website: Courses

The registered provider’s evidence demonstrated that the information given to prospective learners details information about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies.

**Clause 5.2**

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

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

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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
</table>
Prior to enrolment or commencement, written information is provided on the following:

- code and title of the training product as per www.training.gov.au
- currency of the training product
- estimated duration of training and/or assessment
- location/s where training and/or assessment will be provided
- mode/s of delivery
- name and contact details of any third party providing services
- work placement arrangements
- confirmation that the RTO is responsible for compliance of training and/or assessment
- confirmation that the RTO is responsible for issuance of AQF certification documentation
- details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4)
- the learner’s rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment
- the learner’s obligation to repay any VET FEE-HELP debt
- any entry requirements
- any materials and equipment the learner must provide
- any implications on the learner’s entitlement to access government funding by undertaking the training and/or assessment

Evidence audited:
- Pre-enrolment brochure
- RTO website
- Student engagement during enrolment process policy and procedure
- Enrolment form
- Enrolment checklist
- Letter of offer and acceptance agreement

Reasons for finding of non-compliance:
The provider’s evidence did not demonstrate that prior to enrolment or the commencement of training and assessment the RTO provides current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO because:

- The RTO does not identify the RTO’s obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with the National VET Standards, and for the issuance of the AQF certification documentation, and;
- The 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 e.g. Aurora Reception Centre provides the workplace venue for the SIT30813 Certificate III in Commercial Cookery, and SIT50313 Diploma of Hospitality.

In order to become compliant, the organisation is required to:
- Demonstrate that prior to enrolment or the commencement of training and assessment the RTO provides current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO.
• Demonstrate that the RTO identifies its obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with the National VET Standards, and for the issuance of the AQF certification documentation.
• Demonstrate that the RTO identifies the 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 including workplace facilities.

Analysis of rectification evidence:

Evidence analysed:

- Pre-Enrolment Brochure (pages 11 and 12, 3-4, 22-23, 26-27 and 30-31)
- Enrolment Form (Pages 3-4, highlighted in green & Page 8)
- SAMPLE Letter of Offer and Student Acceptance Agreement (page 11, highlighted in yellow & pages 2-3)
- Student Handbook (page 8-9, 10, 14-15, 47-48 and 51-52, 55-56)
- Student Engagement Prior to Enrolment Policy (page 5)

The registered provider’s evidence demonstrated that the RTO identifies its obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with the National VET Standards, and for the issuance of the AQF certification documentation.

The RTO identifies the 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 including workplace facilities.

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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fees are collected from individual learners</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If no, clause is not audited. If yes:</td>
<td></td>
<td></td>
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<tr>
<td>Written information is provided on the following, prior to enrolment or commencement:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• all fees that must be paid</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• payment terms and conditions</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>• refund terms and conditions</td>
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</tbody>
</table>
Clause 5.4
Where there are any changes to agreed services, the RTO advises the learner as soon as practicable, including in relation to any new third party arrangements or a change in ownership or changes to existing third party arrangements.

Original finding: Not compliant
Following rectification: Compliant

Evidence guidance

<table>
<thead>
<tr>
<th>Evidence audited:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Student handbook</td>
</tr>
<tr>
<td>• Pre-enrolment information</td>
</tr>
<tr>
<td>• Enrolment form</td>
</tr>
<tr>
<td>• Letter of offer &amp; Student acceptance agreement</td>
</tr>
<tr>
<td>• Student engagement prior to enrolment policy and procedure</td>
</tr>
<tr>
<td>• RTO website</td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:
The provider’s evidence did not demonstrate that where there are any changes to agreed services it 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.

In order to become compliant, the organisation is required to:
• Demonstrate how the RTO informs learners that where there are any changes to agreed services it advises the learner as soon as practicable.

Analysis of rectification evidence:

Evidence analysed:
• Notification of Significant Changes Policy and Procedure
• Student Engagement Prior to Enrolment Policy (page 5)
• Pre-Enrolment Brochure (page 14)
• Student Handbook (page 9)
• Enrolment Form (page 1)
• Letter of Offer and Student Acceptance Agreement (page 2)
• ACE Website: Student Rights and Responsibilities http://www.ace.vic.edu.au/student-right-and-responsibilities.html
• Fees and Charges Policy (page 4)

The registered provider’s evidence demonstrated how the RTO will inform learners that where there are any changes to agreed services it advises the learner as soon as practicable.
STANDARD 6 Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.
Subject to Clause 6.6, to be compliant with Standard 6 an RTO must meet the following:

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

Original finding: Not compliant Following rectification: Compliant

Evidence guidance

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

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

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

Evidence audited:
   • Complaints and appeals policy and procedure
   • Student handbook

Reasons for finding of non-compliance:
The registered provider’s evidence did not demonstrate that its complaints policy manages and responds to allegations involving the conduct of the RTO’s other staff, and other learners of the RTO.

In order to become compliant, the organisation is required to:
   • Demonstrate that the complaints policy manages and responds to allegations involving the conduct of the RTO’s other staff, and other learners of the RTO.

Analysis of rectification evidence:

Evidence analysed:
   • Complaints and appeals policy and procedure cl. 1.6– page 4
   • Student Handbook (Page 23)
   • Complaints and appeals policy and procedure:
   • Dot point 1 - process of lodging an appeal addressed in cl. 2.19, 2.21, 2.22- Page 9/10
   • Dot point 1 - assessment judgment addressed in cl. 2.26b-Page 11
   • Dot point 1 - people are not disadvantaged addressed in cl. 2.22, 2.26 – Page 11
The registered provider's evidence demonstrated that the RTO's complaints policy manages and responds to allegations involving the conduct of the RTO's other staff, and other learners of the RTO.

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

<table>
<thead>
<tr>
<th>Original finding: Not compliant</th>
<th>Following rectification: Compliant</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td></td>
</tr>
<tr>
<td>An appeals policy has been developed covering decisions made for or on behalf of the RTO (may be combined with complaints):</td>
<td></td>
</tr>
<tr>
<td><strong>Evidence audited:</strong></td>
<td></td>
</tr>
<tr>
<td>▪ Complaints and appeals policy and procedure</td>
<td></td>
</tr>
<tr>
<td>▪ Student handbook</td>
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</table>

**Reasons for finding of non-compliance**
The registered provider's evidence did not demonstrate that the appeals policy follows the principles of natural justice and procedural fairness by managing requests for a review of decisions, including assessment decisions effectively because:

- The process for lodging an appeal is not clear and does not explain if the process of an appeal against an assessment judgement is the same as for a complaints appeal, and what will happen as a result of an appeal being lodged to ensure people are not disadvantaged.
- The appeals process does not identify how the RTO will deal with appeals promptly. There is no process identifying the timeframes that will apply to resolution of an appeal, so that appellants will know how long it should take to get a response from the RTO at all stages of the process.

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

- Demonstrate the process for lodging an appeal that is clear and explains if the process of an appeal against an assessment judgement is the same as for a complaints appeal, and what will happen as a result of an appeal being lodged to ensure people are not disadvantaged.
- Demonstrate that the appeals process identifies how the RTO will deal with appeals promptly, and demonstrate a process identifying the timeframes that will apply to resolution of an appeal, so that appellants will know how long it should take to get a response from the RTO at all stages of the process.

**Analysis of rectification evidence:**

**Evidence analysed:**

- Complaints and appeals policy and procedure

Clauses in the ACE Complaints and appeals policy and procedure that directly addresses dot points 1-7:

- Dot point 1 Cl 2.6, 2.22
- Dot point 2 cl. 2.10, 2.26
- Dot point 3 Cl 2.11, 2.26
- Dot point 4 Cl 2.22
- Dot point 5 Cl 2.4
- Dot point 6 Cl 2.6
- Dot point 7 Cl 1.12
• Student Handbook (Pages 23 & 31)

The registered provider’s evidence demonstrates that the process for lodging an appeal is clear and explains if the process of an appeal against an assessment judgement is the same as for a complaints appeal, and what will happen as a result of an appeal being lodged to ensure people are not disadvantaged, and the appeals process identifies how the RTO will deal with appeals promptly, and demonstrate a process identifying the timeframes that will apply to resolution of an appeal, so that appellants will know how long it should take to get a response from the RTO at all stages of the process.

**Clause 6.3**
The RTO’s complaints policy and appeals policy:

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

**Original finding:** Not compliant  
**Following rectification:** Compliant

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The complaints and appeals policy/ies:</td>
<td></td>
<td></td>
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<tr>
<td>• adopt the principles of natural justice and procedural fairness by:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>o informing those involved of the allegations</td>
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<td>☒</td>
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<tr>
<td>o providing those involved an opportunity to present their side of the matter</td>
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<tr>
<td>o operating in a fair an unbiased way</td>
<td>☒</td>
<td>☒</td>
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<tr>
<td>• are publicly available</td>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>• include a procedure for submitting a complaint or appeal</td>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>• ensure complaints and appeals are acknowledged in writing</td>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>• ensure complaints and appeals are finalised as soon as practicable</td>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>• provide for review of complaints and appeals by an independent party</td>
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</table>

**Evidence audited:**

- Complaints and appeals policy
- Student handbook
- RTO website

**Reasons for finding of non-compliance:**
The registered provider’s evidence did not demonstrate its complaints and appeals policy adopted the principles of natural justice and procedural fairness because it did not:

- inform who is involved with the allegations;
- provide the parties involved in the complaint an opportunity to present their side of the matter, and;
- operate in a fair and unbiased way.

The registered provider’s evidence did not demonstrate procedural fairness because:
• information is not provided to the complainant on how to monitor the progress of their complaint, and:

The registered provider’s evidence did not demonstrate it set out the procedure for making a complaint because;

• there was no information specifying the time frame for a complaint to be lodged i.e. the amount of time elapsed from the event occurring and the complaint being lodged.
• the RTO’s procedure does not identify the timeframes that will apply to resolution of complaints so that complainants know how long it should take to get a response from the RTO at all stages of the process.

The registered provider’s evidence did not demonstrate that its complaints and appeals policy was publicly available because:

• The information given to learners does not identify any other means of accessing the policy except their website.

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

Demonstrate that the RTO’s complaints and appeals policy:

• informs who is involved with the allegations,
• provides the parties involved in the complaint an opportunity to present their side of the matter,
• operates in a fair and unbiased way,
• informs the complainant on how to monitor the progress of their complaint,
• specifies the time frame for a complaint to be lodged,
• identifies the timeframes and who manages the complaint stages that will apply to each resolution stage of a complaint, so that complainants know how long it should take to get a response from the RTO at all stages of the process, and
• provide information to learners about the complaints and appeals through other modes other than the RTO’s website, or hyperlinks.

**Analysis of rectification evidence:**

**Evidence analysed:**

• Complaints and appeals policy and procedure

Clauses in the ACE Complaints and appeals policy and procedure that directly addresses dot points 1-7:

• Dot point 1 Cl 2.6, 2.22
• Dot point 2 cl. 2.10, 2.26
• Dot point 3 Cl 2.11, 2.26
• Dot point 4 Cl 2.22
• Dot point 5 Cl 2.4
• Dot point 6 Cl 2.6
• Dot point 7 Cl 1.12
• Student Handbook (Pages 23 & 31)

The registered provider’s evidence demonstrated that the RTO’s complaints and appeals policy:

• informs who is involved with the allegations,
• provides the parties involved in the complaint an opportunity to present their side of the matter,
• operates in a fair and unbiased way,
• informs the complainant on how to monitor the progress of their complaint,
• specifies the time frame for a complaint to be lodged,
identifies the timeframes, and who manages the complaint stages that will apply to each resolution stage of a complaint, so that complainants know how long it should take to get a response from the RTO at all stages of the process, and

provide information to learners about the complaints and appeals through other modes other than the RTO’s website, or hyperlinks.

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

Original finding: Compliant
Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Where more than 60 calendar days have been required to process a complaint or appeal:</td>
<td></td>
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<tr>
<td>• the complainant or appellant is advised in writing of the reasons</td>
<td>☒</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• the complainant or appellant is regularly updated in writing</td>
<td>☒</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Clause 6.5
The RTO:
   a) securely maintains records of all complaints and appeals and their outcomes; and
   b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

<table>
<thead>
<tr>
<th>Original finding:</th>
<th>Not compliant</th>
<th>Following rectification:</th>
<th>Compliant</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td></td>
<td></td>
<td>Y</td>
</tr>
<tr>
<td>Secure records are maintained of all complaints and appeals and their outcomes</td>
<td>✗</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Potential cause of complaints and appeals are identified and corrective action taken</td>
<td>☐</td>
<td>☑</td>
<td>☐</td>
</tr>
</tbody>
</table>

**Evidence audited:**
- Complaints and appeals policy
- Complaints and appeals register
- Complaint form
- Records management policy
- Student handbook
- RTO website
- Staff handbook
- RTO website

**Reasons for finding of non-compliance:**
The registered provider’s evidence did not demonstrate how it identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of re-occurrence because:
- The information given to students is insufficient to inform them of how to identify potential causes of complaints and appeals and of how appropriate corrective action will be taken to eliminate or mitigate the likelihood of re-occurrence.
- The information given to staff does not inform them of how to identify potential causes of complaints and appeals and of how appropriate corrective action to will be taken to eliminate or mitigate the likelihood of re-occurrence.

**In order to become compliant, the organisation is required to:**
Demonstrate how the RTO identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of re-occurrence.
Demonstrate how the RTO will inform learners and staff of how they contribute to identifying potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of re-occurrence.

**Analysis of rectification evidence:**
- Complaints and Appeals Register
- Student Handbook (Page 23 & 31)
- Complaints and appeals policy and procedure.
- Identifies potential causes cl. 2.5, 2.22, 4.1 – 4.3
- Contribute to identifying potential causes cl. 1.10, 2.5, 2.22, 4.1 – 4.3

The registered provider’s evidence demonstrated how the RTO will identify potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of re-occurrence, and how the RTO will inform learners and staff of how they contribute to identifying potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of re-occurrence.
Clause 6.6
Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

Original finding: Not audited  
Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>An organisational complaints and appeals policy is in place broad enough to cover all training and/or assessment services provided.</td>
</tr>
</tbody>
</table>

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

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

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

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

Not audited

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

Not audited
**Clause 7.3**
Where the RTO requires, either directly or through a third party, a prospective or current learner to prepay fees in excess of a total of $1500 (being the threshold prepaid fee amount), the RTO must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.

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

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

**Government entities and universities**

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

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

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

**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:

- ☐ | ☐ |
  - ☐ | ☐ |
  - ☒ | ☐ |

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

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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public liability insurance is in place that:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td></td>
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<td>☐</td>
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</tbody>
</table>
### Clause 7.5
The RTO provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.

Not audited

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

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

<table>
<thead>
<tr>
<th>Clause 8.1</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO cooperates with the VET Regulator:</td>
</tr>
<tr>
<td>a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO’s registration;</td>
</tr>
<tr>
<td>b) in the conduct of audits and the monitoring of its operations;</td>
</tr>
<tr>
<td>c) by providing quality/performance indicator data;</td>
</tr>
<tr>
<td>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;</td>
</tr>
<tr>
<td>e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and</td>
</tr>
<tr>
<td>f) in the retention, archiving, retrieval and transfer of records.</td>
</tr>
</tbody>
</table>

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

**Evidence guidance**

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

Reference: [ASQA General Direction – Retention requirements for completed student assessment items](#)
Clause 8.2
The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:
   a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
   b) in the conduct of audits and the monitoring of its operations.

Original finding: Compliant  Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th></th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Third party arrangements are in place for delivery of services (also refer Clause 2.3)</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>If no, clause is not audited. If yes:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Written agreements include a clause requiring that third parties co-operate with ASQA in:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• providing accurate and factual responses to information requests from ASQA relevant to the delivery of services</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>• in the conduct of audits and the monitoring of its operations</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>

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

Not audited

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

Not audited

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

Not audited
**Clause 8.6**
The RTO ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff and clients are informed of changes to legislative and regulatory requirements that affect the services delivered</td>
<td>✗</td>
<td>□</td>
</tr>
</tbody>
</table>

Original finding: Compliant  
Following rectification: n/a