



Australian Alpine Training Institute



# **Essential Conditions and Standards for Continuing Registration**

## **Internal Self-Assessment Audit Report**

Audit Completion Date \_\_\_\_\_



## Conditions of Registration

There are nine non negotiable requirements that form an RTOs contractual agreement with the registering body. These are:

1. Governance
2. Interactions with the registering body
3. Compliance with legislation
4. Insurance
5. Financial management
6. Certification and issuing of qualifications and Statements of Attainment
7. Recognition of qualifications issued by other RTOs
8. Accuracy and integrity of marketing
9. Transition to Training Packages / expiry of accredited courses

Conditions	Compliant
<p>1. Governance</p> <p>The RTO's Chief Executive must ensure that the RTO complies with the <i>AQTF Essential Conditions and Standards for Continuing Registration</i> and any national guidelines approved by the National Quality Council or its successors. This applies to all of the operations within the RTO's scope of registration, as listed on the National Training Information Service.</p> <p>The RTO's senior officers and directors or substantial shareholders who are in a position to influence the management of the organisation must satisfy fit and proper person requirements unless these requirements have already been met through other legislative provisions.</p> <p>The RTO must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.</p> <p><b>Questions:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Has the CEO/PEO completed an internal audit/assessment, what was the result?</li> <li><input type="checkbox"/> What role did the CEO/PEO play in the internal audit process</li> <li><input type="checkbox"/> Did the CEO/PEO review and analyse the audit findings</li> <li><input type="checkbox"/> Does the business have a strategic plan for the next three years</li> <li><input type="checkbox"/> Does the business have a business plan for next 3 to 5 years</li> <li><input type="checkbox"/> Is the strategic plan and business plan consistent with the courses on scope</li> <li><input type="checkbox"/> Is the strategic plan and business plan consistent with the business operations</li> <li><input type="checkbox"/> Has the CEO/PEO and senior offers and directors provided a police check</li> <li><input type="checkbox"/> How is decision making of senior management informed by the experiences of its trainers and assessors</li> <li><input type="checkbox"/> How often are the management review meetings (conditions are reviewed) what were the outcomes</li> <li><input type="checkbox"/> Has a risk management plan been completed</li> <li><input type="checkbox"/> Is there a schedule for management review meetings</li> <li><input type="checkbox"/> Does the RTO have a risk management policy and procedure</li> <li><input type="checkbox"/> Does the RTO have a corrective action policy and procedure</li> <li><input type="checkbox"/> Does the RTO have a refund policy</li> <li><input type="checkbox"/> Does the RTO have a complaints and appeals policy and procedure</li> <li><input type="checkbox"/> Are the Position Descriptions of all senior management available</li> <li><input type="checkbox"/> Are the CVs of all senior management available and have they signed/dated the CV</li> <li><input type="checkbox"/> Have the qualifications been provided for staff? Have they been sighted?</li> </ul> <p><b>Comments:</b></p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

<p><b>2. Interactions with the registering body</b></p> <p>The RTO's Chief Executive must ensure that the RTO co-operates with its registering body:</p> <ul style="list-style-type: none"> <li>" in the conduct of audits and the monitoring of its operations</li> <li>" by providing accurate and timely data relevant to measures of its performance</li> <li>" by providing information about significant changes to its operations</li> <li>" by providing information about significant changes to its ownership</li> <li>" in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements</li> <li>" by providing a statement demonstrating its financial viability, and/or its annual financial statements, and/or a business plan on request of the registering body.</li> </ul> <p><b>Questions:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Has the CEO/PEO provide information as required to the Training Authority on the National Quality Indicators (Learner Satisfaction; Employer Satisfaction and Competency Completion Rate)</li> <li><input type="checkbox"/> Has any changes to the operations of RTO been made? If so, what documentary evidence is there that the RTO has notified the registering body in a timely manner? Is there a policy?</li> <li><input type="checkbox"/> What, if any conditions have been placed on RTO and how has RTO complied with these conditions</li> <li><input type="checkbox"/> How does the RTO monitor its operation</li> <li><input type="checkbox"/> How will the RTO provide information about significant changes?</li> <li><input type="checkbox"/> Does the records management process comply with registering body's requirements</li> <li><input type="checkbox"/> Does the RTO have a business plan which includes a statement of its financial viability, and an annual report</li> <li><input type="checkbox"/> Does the RTO have a CEO/PEO notification policy</li> <li><input type="checkbox"/> Who replaces the CEO/PEO in their absence? Is it documented?</li> </ul> <p><b>Comments:</b></p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p><b>3. Compliance with legislation</b></p> <p>The RTO must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration. It ensures that its staff and clients are fully informed of these requirements that affect their duties or participation in vocational education and training.</p> <p><b>Questions:</b></p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

<ul style="list-style-type: none"> <li><input type="checkbox"/> How does the RTO inform staff and clients of the relevant Commonwealth, State or Territory legislation and regulatory requirements that may affect their duties or participation in vocational education and training (relevant to its operations and scope of registration)</li> <li><input type="checkbox"/> Who is assigned the task of conducting annual reviews for any changes to legislation and regulatory requirements</li> <li><input type="checkbox"/> Does the RTOs Code of Practice summarise the relevant legislative and regulatory requirements</li> <li><input type="checkbox"/> Is there an Access and Equity policy? Is this provided to students? How are students from equity groups treated fairly and equally whilst maintaining integrity of assessments</li> <li><input type="checkbox"/> Provide evidence of updates provided to staff and clients</li> <li><input type="checkbox"/> Provide evidence of version control with regards changes</li> <li><input type="checkbox"/> Provide evidence of updates in legislation update register</li> <li><input type="checkbox"/> What copies of legislation are located on site? i.e. ETR Act, ESOS Act, Privacy Act 1988</li> </ul> <p><b>Comments:</b></p>	
<p style="text-align: center;"><b>4. Insurance</b></p> <p>The RTO must hold insurance for public liability throughout its registration period.</p> <p><b>Questions:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Copies of insurances must be provided</li> <li><input type="checkbox"/> If student fees are paid in advance, how are these fees protected</li> <li><input type="checkbox"/> How does the CEO/PEO ensure that insurances are current</li> <li><input type="checkbox"/> Quotation from insurance agent who has reviewed RTO risk and made recommendation</li> </ul> <p><b>Comments:</b></p>	<p style="text-align: right;">Yes <input type="checkbox"/> No <input type="checkbox"/></p>
	<p style="text-align: right;">Yes <input type="checkbox"/> No <input type="checkbox"/></p>

## 5. Financial management

The RTO must be able to demonstrate to its registering body, on request, that it is financially viable at all times during the period of its registration.

The RTO must provide the following fee information to each client:

- " The total amount of all fees including course fees, administration fees, materials fees and any other charges
- " Payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee
- " The nature of the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course
- " The fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment, and
- " The organisation's refund policy.

Where the RTO collects student fees in advance it must ensure it complies with one of the following acceptable options:

- " (Option 1) the RTO is administered by a state, territory or commonwealth government agency, or
- " (Option 2) the RTO holds current membership of an approved Tuition Assurance Scheme, or
- " (Option 3) the RTO may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500, or
- " (Option 4) the RTO holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the RTO which are prepayments from students (or future students) for tuition to be provided by the RTO to those students
- " (Option 5) the RTO has alternative fee protection measures of equal rigour approved by the registering body.
- "

The RTO must have its accounts certified by a qualified Accountant to Australian Accounting Standards at least annually, and provide the certificate to its registering body on request. If the registering body reasonably deems it necessary, the chief executive must provide a full audit report on the RTO's financial accounts from a qualified and independent accountant.

### Questions:

- Does the RTO have a financial management policy and procedure
- Provide copy of certified accounts by a qualified Accountant to Australian Accounting Standards (last financial year)
- Where the RTO collects student fees in advance, how does it comply with one of the acceptable options (above) and which option
- How does the RTO provide fee information to each student as above
- What tracking system(s) is used to record and track student in regards fees
- Is there a refund policy and does it clearly state how fees will be held and refunded
- Provide refund register (track back to enrolment)
- Details of accountants: company name, qualifications, address, email and phone
- What is the nature of the guarantee given by RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course

### Comments:

<p><b>6. Certification and issuing of Qualifications and Statements of Attainment</b></p> <p>The RTO must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or accredited course, a qualification or statement of attainment (as appropriate) that:</p> <ul style="list-style-type: none"> <li>" Meets the Australian Qualifications Framework (AQF) requirements</li> <li>" Identifies the RTO by its national provider number from the National Training Information Service</li> <li>" Includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.</li> </ul> <p>The RTO must retain client records of attainment of units of competency and qualifications for a period of thirty years.</p> <p>The RTO must have a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data.</p> <p>The RTO must provide returns of its client records of attainment of units of competency and qualifications to its registering body on a regular basis, as determined by the registering body.</p> <p>The RTO must meet the requirements for implementation of a national unique student identifier</p> <p><b>Questions:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> How does the CEO/PEO ensure that students are approved to be awarded statement of attainment, academic transcript or Certificate/Diploma</li> <li><input type="checkbox"/> How does the RTO ensure that templates for certificates/statements of attainment/academic transcripts are accurate</li> <li><input type="checkbox"/> Do the templates meet the Australian Qualifications Framework requirements</li> <li><input type="checkbox"/> View actual awarded qualifications: does the qualification include the NRT logo in accordance with the current conditions use and</li> <li><input type="checkbox"/> Has the RTO included its provider number, correct qualification code, correct qualification name</li> <li><input type="checkbox"/> Sample students academic files and provide evidence that student was assessed as competent in all units, also check student records management system to verify accuracy and consistency</li> <li><input type="checkbox"/> How will the RTO meet the requirements of the national unique student identifier</li> <li><input type="checkbox"/> Which student records database does the RTO use, does it have capacity to provide the registering body with AVETMISS compliant data</li> </ul>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

<input type="checkbox"/> If the student records management system is hosted off site, what is the backup policy and where are backups maintained  <b>Comments:</b>	
<p align="center"><b>7. Recognition of qualifications issued by other RTOs</b></p> <p>The RTO must recognise the AQF Qualifications and Statements of Attainment issued by any other RTO</p> <p><b>Questions:</b></p> <input type="checkbox"/> Verify that RTO has a course credit policy and procedure <input type="checkbox"/> Does the code of practice include a statement about mutual recognition as above <p><b>Comments:</b></p>	<p align="right">Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p align="center"><b>8. Accuracy and integrity of marketing</b></p> <p>The RTO must ensure its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. The NRT logo must be employed only in accordance with its conditions of use.</p> <p><b>Questions:</b></p> <input type="checkbox"/> What is the training provided to relevant staff in regards NRT logo use and guidelines <input type="checkbox"/> Is there a marketing/advertising policy and procedure <input type="checkbox"/> Is there a marketing authorisation form (obtaining written permission from any person or organisation for use of marketing or advertising material which refers to them) <input type="checkbox"/> View the marketing materials to ensure: accurate representation of training products and	<p align="right">Yes <input type="checkbox"/> No <input type="checkbox"/></p>

<p>services, unit codes and course names are correct and consistent with AQF qualifications and only AQF qualifications or units of competency are on the RTOs scope of registration are advertised</p> <p><input type="checkbox"/> Is the website also compliant, (do not just view front page, go 3 to 4 pages deep)</p> <p><input type="checkbox"/> Who are the staff responsible for coordinating marketing in the RTO</p> <p><b>Comments:</b></p>	
<p><b>9. Transition to Training Packages / expiry of accredited courses</b></p> <p>The RTO must manage the transition from superseded Training Packages within 12 months of their publication on the National Training Information Service. The RTO must also manage the transition from superseded accredited courses so that it delivers only currently endorsed Training Packages or currently accredited courses.</p> <p><b>Questions:</b></p> <p><input type="checkbox"/> How does the CEO/PEO ensure that the transition from superseded training packages is completed within 12 months of their publication on the National Training Information Service</p> <p><input type="checkbox"/> Is there a transition policy and procedure</p> <p><input type="checkbox"/> What documented evidence shows that RTO has consulted with relevant staff in regards any transitions</p> <p><input type="checkbox"/> Has the new training package been purchased or has it been downloaded and available on site</p> <p><b>Comments:</b></p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

**Improvement actions:**

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# AQTF 2010

## Standard 1. The RTO provides quality training and assessment across all of its operations

**Element 1.1** The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.

### MINIMUM REQUIREMENTS *Evidence to support compliance*

- Systems that support continuous improvement, what data is collected and the form it will take, how is it analysed and acted upon
- Is the gathering of feedback scheduled, and how is it collected
- Show where good practice is used
- Continuous improvement where analysis indicates a need
- Review data collection to assess its usefulness
- Client satisfaction/feedback surveys
- Moderation and validation (industry, peers)
- Records, interviews, focus groups, internal audits, records complaints, appeals, staff performance appraisal reports
- Improvements to training and assessment
- Professional development activities
- Student induction resources
- Internal audits
- Validity, reliability, flexibility and fairness of assessment processes
- Revised practices in respect to data collected
- Continuous improvement of the training and assessment (validity, quality, currency, reliability, relevancy, flexibility, sufficiency and fairness)
- Giving feedback to those who contributed to the data
- Current training and assessment strategies (industry consultation, students' feedback)
- Student feedback (surveys, interviews)
- How is stakeholder feedback used for continuing improvement
- Is there a designated person responsible for solicitation and analysis of feedback
- Professional development activities and outcomes
- Minutes of continuous improvement meeting and recorded actions to outcomes
- Records of staff meetings and agreed actions
- Internal audit reports and organisational self assessment

### Evidence to indicate compliance:

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### Improvement actions:

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**Compliant:** Yes  No

**Element 1.2** Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- How does the training and assessment meet the requirements of the Training Package
- Meeting industry and enterprise requirements: how is industry involved
- Meeting learners needs
- What changes has been made to assessment tool as a result of feedback from stakeholders
- How do you ensure that assessments are fair, reliable and flexible
- Resources specify which training and assessment materials used
- Trainer and assessor competencies detailed
- How needs of groups and individual learners are met
- How units of training program are packaged to meet qualification
- What is the RPL process
- Learning and assessment strategy includes: assessment method and mapping, core and elective units, delivery method, duration of course, evaluation and validation plan, industry need and consultation, trainers/assessors and their qualifications, recourses and materials
- View sample of student academic files, map strategies to actual completed training and assessments
- What documented evidence exists
- Mode of delivery to be used and how meets needs client group
- Data on consultation with trainers and assessors, enterprise clients, industry organisations and licensing bodies
- Records staff meetings about assessment strategies and training programs and agreed actions

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

**Element 1.3** Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- What is the process for transition re: Training Packages and changes to resources
- How is currency of materials maintained and improved
- How do you ensure that the equipment and the facilities are consistent with the requirements of the Training Packages
- Is there a resource matrix
- What evidence do you have that staff has access to and participate in activities that continue to develop their training and assessment competencies
- What evidence do you have to demonstrate that the training and assessment have been redesigned to simulate the work environment
- How do you know that new facilities and equipment have been made available for the training and assessment
- What is the format for industry engagement
- How are resources validated to ensure they are effective
- What evidence is provided to show improvements i.e. changing industry placements
- How are changes disseminated throughout the operations of the RTO to all stakeholders
- Copy of lease and if applicable a council permit and Class 9B permit

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

**Element 1.4** Training and assessment is delivered by trainers and assessors who:

- a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and
- b) have the relevant vocational competencies at least to the level being delivered or assessed, and
- c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and
- d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- How do you validate that trainer has the necessary training and assessment competencies
- What is the policy with regards to trainers who do not have the appropriate competencies
- How do you validate that trainer has the relevant vocational competencies at least to the level being delivered or assessed
- What is the process for moderation
- Does your trainers/educators have current industry skills directly relevant to the training/assessment being provided
- What have your educational staff done in the last year to keep up to date with current industry skills requirements
- What is the process for supervision of trainers who do not have the necessary training or assessment competencies
- How are the competencies of trainers and assessors maintained and developed
- How do you ensure that your educational staff continue to develop their VET knowledge and skills as well as their industry currency and trainer/assessor competence
- What is the process for checking for any additional licensing requirements
- Provide examples of direct supervision documentation

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

**Element 1.5** Assessment including Recognition of Prior Learning (RPL):

- a) meets the requirements of the relevant Training Package or accredited course
- b) is conducted in accordance with the principles of assessment and the rules of evidence
- c) meets workplace and, where relevant, regulatory requirements
- d) is systematically validated.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- What is the policy and procedure for RPL
- How do you validate this policy is current, fair, valid, flexible, accurate and reliable
- How does your assessments meet the requirements of the Training Package
- How does your assessments meet the needs of the learner and industry
- Substantiate that the collection of evidence is sufficient, valid, authentic and current
- How are the workplace and regulatory requirements met
- Provide examples of how systems, processes and tools and practices have been improved
- Provide examples of Training and Assessment strategies, these must directly map to the Training Package and needs of learner and client group
- How do you ensure that assessment is systematically validated, including externally
- How do you ensure that RPL is systematically validated
- Show consultation with industry
- How do you ensure that evidence is sufficient, valid, authentic and current
- Show details records of validation of assessment
- What benchmarking has taken place with other RTOs
- Systems that support continuous improvement, what data is collected and the form it will take, how is it analysed and used
- Are there any regulatory or licensing authority requirements relevant to workplace?
- Show where good practice is used
- Continuous improvement where analysis indicates a need
- Review data collection to assess its usefulness
- Provide feedback to those who have contributed data
- How are students informed on the Recognition of Prior Learning (RPL)
- What do you have in place to advise the students on the outcome of the assessment process and guidance on future options
- Client satisfaction surveys
- Records, interviews, focus groups, internal audits, records complaints, appeals, staff performance appraisal reports
- Improvements to training and assessment
- Professional development activities
- Revised practices in respect to data collected
- Is there an assessment record sheet for each assessment task and also an overall record sheet signed by trainer and learner
- Are employability skills mapped to assessment task(s)?

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:**

Yes

No

Standard 2. The Registered Training Organisation adheres to principles of access and equity and maximises outcomes for its clients.

**Element 2.1** The RTO establishes the needs of clients, and delivers services to meet these needs.

**Element 2.2** The RTO continuously improves client services by collecting, analysing and acting on relevant data.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- Provide details of learner feedback surveys and actions, outcomes
- How do you establish client needs and then deliver services to meet those needs
- What policies and procedures does the RTO have in regard access and equity
- Give examples of how you have improved your services in response to data collected
- In regards access and equity, what legislation and/or regulations does the RTO have in this regard
- How does the RTO maintain currency of legislation and/or regulations
- What is the process for collecting data
- How do you analyse data
- What documented evidence do you have to demonstrate the continuous improvement as the result of the feedback received from the stakeholders
- How is data reviewed and assessed for its usefulness
- How is feedback disseminated through to stakeholders
- Who is the designated person responsible for researching, analyzing, and disseminating information to RTO and stakeholders
- How are staff included in the process of continuous improvement
- What is the process for student induction
- How is the complaint and appeals process handled
- Provide copy of last internal audit and show where improvement in this area has been actioned
- What are the outcomes from benchmarking and how is reviewed and evaluated and actioned
- Show records of professional development undertaken by staff
- Minutes of assessment moderation sessions and validations

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

**Element 2.3** Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- Provide details of learner information provided to students prior to enrolment
- How are students clearly and accurately advised of their rights and obligations
- Provide copy of student handbook and highlight areas where fee structure, enrolment process and complaints appeals are detailed
- What are the student support services you provide
- What is the procedure for recognition of qualifications issued by other RTOs
- How is the accuracy and integrity of marketing maintained
- How does RPL work
- What documented evidence do you have that areas for improvement have been identified and action has been taken to rectify a problem
- Show the policy for Refunds and how it is explained to students
- What are the course outcomes and pathways and how is this explained to students
- Demonstrate how your RTO had improved its services
- What is the policy on language literacy and numeracy
- How do you ensure that information provided to students and other stakeholders is accurate
- What is the review and update procedure
- How are employers and other parties (who are involved in the training and assessment) engaged

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

**Element 2.4** Employers and other parties who contribute to each learner’s training and assessment are engaged in the development, delivery and monitoring of training and assessment.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- Provide details of how training and assessment program makes full use of opportunities at the workplace
- How do you monitor each learners progress
- How do you ensure that the training and assessment make full use of opportunities at the workplace
- Provide details of how the workplace personnel support the learner
- How do you involve workplace personnel in planning workplace programs which are relevant to the training and assessment program
- How do you inform the students and employers about the roles and responsibilities in the training and assessment process?
- What process do you have in place to discuss the learners’ progress, identify the support needed and adjust the plans for training and assessment
- Do the trainers have the required competencies to conduct workplace assessment?
- How do you collect the feedback from the workplace personnel and students?
- What do you do with the feedback
- Are there any conditions imposed on learners or on workplace through licensing/regulatory requirements or industrial agreements
- What is the consulting process with workplace personnel
- How is information analysed and used to continuously improve training and assessment
- Provide sample of log book to show development for learner
- Show sample of training plan
- Provide evidence copy of feedback surveys
- How do you engage with industry
- What are the results of the quality indicator surveys

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

**Element 2.5** Learners receive training, assessment and support services that meet their individual needs.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- How do you ensure the learners needs are met
- What systems are in place to support the learners
- How do learners access the services they will require to successfully complete their training and assessment program
- How do you ascertain that learner may have difficulty in area of language, literacy and / or numeracy
- How do you identify the learners' needs
- What do you do to support a learner who has challenges with language, literacy and / or numeracy
- How do you monitor and improve learning, assessment and learning support services
- How is the course (subject) information, including content and vocational outcomes communicated to students
- What is your policy for recognition of qualifications issued by other RTOs
- What evidence do you have to demonstrate that training, assessment and learning support services are being monitored and improved
- Do you complete a TNA and how does this help the learner needs
- Does the learner and assessment strategy clearly articulate that students will receive training, assessment and support services to meet their individual needs (this may include links to relevant policies in support of this element that show tailoring such as access to library, offer of assortment of electives, individual tutoring, language, literacy and / or numeracy classes in addition to course, welfare support)

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

**Element 2.6** Learners have timely access to current and accurate records of their participation and progress.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- How do you provide learners access to their records in a timely manner
- How do you ensure marketing is accurate, ethical and consistent with the scope of registration
- Are they provided with formal documentation on how to gain access
- How do you record students details
- How do you inform the learners of their rights and responsibilities
- Provide records of emails and letters to students in regards accessing information and records on progress
- How do you monitor and review the records system
- What process do you have in place to ensure that staff is informed of their responsibilities for accurate record-keeping and records management
- How do you ensure that student records are managed for privacy and accuracy and currency
- What is the process for supplying a statement attainment and / or Certificate completion
- How do you monitor and improve the process of effective management of learner records

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

**Element 2.7** The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- What is the process for handling complaints, suggestions, concerns then reviewed and addressed,
- What is the internal appeals process and external appeals process
- What is the mechanism provided to students in regards the entire process from concerns tabled through to external appeals
- How do you provide data to staff and students about the process
- What is the corrective action to deal with identified causes of complaints
- Provide complaints register and evidence of handling complaint from start to finish
- How do you inform your stakeholders on the process related to complaints and appeals
- How do you improve and monitor the system
- Sample of staff meetings which detail actions arising from complaints
- What process do you have in place to prevent the recurrence of similar complaints
- Documented improvements to system

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

Standard 3. Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the Registered Training Organisation operates.

**Element 3.1** The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.

**Element 3.2** The RTO uses a systematic and continuous improvement approach to the management of operations.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- What is the management system used and how is it benchmarked against other RTOs
- What is the procedure for version control
- What is the process of student induction
- How does the RTO ensure that the student receives the services as detailed in their agreement with RTO
- How are staff inducted to organisation, what is the policy
- How are staff actively engaged in continuous improvement of the system
- How are staff provided training in managing the system
- What is the process for communication throughout RTO in relation to management systems and decisions
- How are staff actively engaged in improving the system
- Provide minutes of last assessment moderation meeting for review
- What are the reviews of key data and how is this disseminated to staff
- What is the process for professional development of staff
- What arrangements are in place to meet with stakeholders to seek feedback and make changes in response
- Provide copy of last internal audit
- What were the improvement made after the last audit
- What is the process for engaging industry (review industry advisory group meeting and minutes for analysis and actions)
- How do you analyse stakeholders feedback

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

**Element 3.3** The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- Provide copies of all training agreements (partnering arrangements) you have with other providers
- How do you mitigate and remove any potential for risk
- What processes do you have in place to monitor the training and assessment services provided on your behalf
- What activities do you complete within this relationship
- How do you review the training and assessing of the provider
- What are the roles and responsibilities of both parties
- What documented evidence do you have to demonstrate that the training and assessment delivered on your behalf complies with all aspects of the Essential Conditions and Standards for Continuing Registration
- Provide copy of validation and moderation exercises
- Provide copy of other parties trainers matrix, qualifications, CVs and relevant licenses

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

**Element 3.4** The RTO manages records to ensure their accuracy and integrity.

**MINIMUM REQUIREMENTS** *Evidence to support compliance*

- How do you ensure the accuracy and integrity of all records relevant to your operations as an RTO
- How do you meet the compliance requirements with the AQTF Essential Conditions and Standards for Continuing Registration
- How do you ensure records management is monitored and reviewed
- Demonstrate how records management is continuously improved
- Provide a copy of your last internal audit and detail the improvements and actions
- Provide record of training provided on your behalf
- What are the arrangements for on site records storage to ensure accuracy and integrity
- What process do you have in place to monitor student's progress
- Show how feedback from stakeholders has been analysed and used in continuous improvement
- Provide evidence of continuous improvement in areas such as: revised work instructions, changes to staff responsibilities, training for staff on records management etc...
- What documented evidence do you have to demonstrate that students have been informed of their progress
- Provide minutes of staff meetings at which records management has been discussed

**Evidence to indicate compliance:**

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**Improvement actions:**

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**Compliant:** Yes  No

**Quality Indicators:** *looking for evidence of implementation*  
How does the ASPA RTO meet the following?

1. Employer satisfaction

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What evaluation of employer feedback has been completed?]

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What was the outcome of the evaluation?

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Employer Satisfaction – data must be submitted on or before /20

2. Learner satisfaction

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What evaluation of learner feedback has been completed?]

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What was the outcome of the evaluation?

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Learner Engagement – data must be submitted on or before /20

3. Competency completion rate

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Competency Completion – data must be submitted on or before /20

a) Has the RTO submitted quality indicator data to their registering body?

**Compliant:** Yes  No

**Comment:** \_\_\_\_\_

b) What reports were submitted and when?

**Compliant:** Yes  No

**Comment:** \_\_\_\_\_

c) Where the reports submitted by due date?

**Compliant:** Yes  No

**Comment:** \_\_\_\_\_

d) Did the RTO complete an analysis of the data?

**Compliant:** Yes  No

**Comment:** \_\_\_\_\_

e) What was the outcome of analysis?

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**Compliant:** Yes  No



## Internal Audit Assessment Summary

<b>Conditions of Registration</b>	<b>Compliant</b>
1. Governance	Yes <input type="checkbox"/> No <input type="checkbox"/>
2. Interactions with the registering body	Yes <input type="checkbox"/> No <input type="checkbox"/>
3. Compliance with legislation	Yes <input type="checkbox"/> No <input type="checkbox"/>
4. Insurance	Yes <input type="checkbox"/> No <input type="checkbox"/>
5. Financial management	Yes <input type="checkbox"/> No <input type="checkbox"/>
6. Certification and issuing of Qualifications and Statements of Attainment	Yes <input type="checkbox"/> No <input type="checkbox"/>
7. Recognition of qualifications issued by other RTOs	Yes <input type="checkbox"/> No <input type="checkbox"/>
8. Accuracy and integrity of marketing	Yes <input type="checkbox"/> No <input type="checkbox"/>
9. Transition to Training Packages / expiry of accredited courses	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Standards</b>	Yes <input type="checkbox"/> No <input type="checkbox"/>
1. The RTO provides quality training and assessment across all of its operations	
1.1	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.2	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.3	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.4	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.5	Yes <input type="checkbox"/> No <input type="checkbox"/>
2. The Registered Training Organisation adheres to principles of access and equity and maximises outcomes for its clients	
2.1	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.2	
2.3	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.4	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.5	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.6	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.7	Yes <input type="checkbox"/> No <input type="checkbox"/>
3. Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the Registered Training Organisation operates	
3.1	Yes <input type="checkbox"/> No <input type="checkbox"/>
3.2	
3.3	Yes <input type="checkbox"/> No <input type="checkbox"/>
3.4	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Quality Indicators</b>	
1. Employer satisfaction	Yes <input type="checkbox"/> No <input type="checkbox"/>
2. Learner satisfaction	Yes <input type="checkbox"/> No <input type="checkbox"/>
3. Competency completion rate	Yes <input type="checkbox"/> No <input type="checkbox"/>

### Improvement actions:

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This Audit was completed on \_\_\_\_ / \_\_\_\_ / 20\_\_ by Richard Hemsworth (Chief Executive Officer of RTO) and Jonathon Lillis (ASPA Secretary / Training Manager)

Signed: \_\_\_\_\_ (CEO)

Signed: \_\_\_\_\_ (Training Manager)

**Quality Indicators Summary**

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