

2005



Australian  
Quality  
Training  
Framework

...

Evidence : Guide

for Registered  
Training  
Organisations  
and Auditors



Effective from 1 July 2005

Evidence Guide

© Australian National Training Authority, 2005

This work is copyright. Apart from any use as permitted under the *Copyright Act 1968*, no part may be produced by any process without written permission from the Australian National Training Authority.

**ISBN I 877 05797 5**



# CONTENTS



<b>Introduction</b>	<b>1</b>
The Australian Quality Training Framework	1
Evidence guide	1
○ Using this guide	1
○ Format	2
Evidence, audits and self-assessments	2
<b>Section 1. Standards for registered training organisations and guide to evidence</b>	<b>4</b>
Standard 1 Systems for quality training and assessment	5
Standard 2 Compliance with Commonwealth, state/territory legislation and regulatory requirements	19
Standard 3 Effective financial management procedures	21
Standard 4 Effective administrative and records management procedures	25
Standard 5 Recognition of qualifications issued by other RTOs	29
Standard 6 Access and equity and client service	31
Standard 7 The competence of RTO staff	35
Standard 8 RTO assessments	41
Standard 9 Learning and assessment strategies	45
Standard 10 Issuing AQF qualifications and statements of attainment	53
Standard 11 Use of national and state/territory logos	55
Standard 12 Ethical marketing and advertising	57
<b>Section 2. Self-assessment resources</b>	<b>61</b>
Template 1 Self-assessment – report	62
Template 2 Self-assessment – summary of recommendations	63
<b>Contact details</b>	<b>64</b>
Australian Government	64
State and territory training authorities	64

# INTRODUCTION

## The Australian Quality Training Framework

### AQTF

The Australian Quality Training Framework (AQTF) is the nationally agreed quality framework for the Australian vocational education and training (VET) system. The AQTF includes two sets of standards:

- *Standards for Registered Training Organisations*
- *Standards for State and Territory Registering/Course Accrediting Bodies.*

To become registered and maintain registration, registered training organisations (RTOs) are audited by the relevant state or territory registering body for compliance with the *Standards for Registered Training Organisations*. In conducting these audits, the states and territories comply with the *Standards for State and Territory Registering/Course Accrediting Bodies*.

## Evidence guide

### Evidence guide

### *Using this guide*

The *Evidence Guide for Registered Training Organisations and Auditors* is a handbook to help both RTOs and auditors in assessing compliance with the *Standards for Registered Training Organisations*.

For RTOs, the guide:

- serves as a tool to assist self-assessment or internal audit activities in response to the requirements of standard 1.4 **a** of the *Standards for Registered Training Organisations*
- identifies the requirements that RTOs must comply with and gives examples of evidence of compliance
- provides self-assessment resources to assist RTOs in using a continuous improvement approach to compliance and organisational internal review.

For auditors, the guide:

- provides examples of evidence of compliance with the *Standards for Registered Training Organisations*
- is a nationally consistent tool assisting auditors to audit compliance with the *Standards for Registered Training Organisations*.

The key feature of the evidence guide is that it is a nationally developed resource for use by both RTOs and auditors to support the development of a shared understanding of the business of RTOs and the requirements for compliance with the *Standards for Registered Training Organisations*.

The evidence guide is **not intended to be mandatory** in its range of evidence, recognising each RTO and audit event has unique aspects and challenges. It is important RTOs and auditors have the capacity to respond to the diversity of the VET system under the AQTF, while upholding the integrity of the standards that underpin the quality of RTO operations.

## Format

The guide has two sections:

- Section 1 addresses each of the standards for RTOs and has the following design features:
  - information on each odd number page replicates the standard
  - each even numbered page, headed Guide to Evidence, identifies requirements which RTOs must meet and gives examples of evidence to show RTO compliance with the standards. Where the standard specifies what the RTO must have in place, this is shown by the words, 'evidence must include...!' and is highlighted. **The examples of evidence are not to be read as a full and comprehensive list of all the evidence that should be collected.**

Even though the evidence guide presents examples of evidence against each standard and its requirements, there are many cases where an RTO and auditor can use an holistic approach to collecting, demonstrating and assessing evidence for compliance. Where there is an explicit connection between standards, it is referenced in the Guide to Evidence, but these references are not inclusive of all examples of evidence presented to show compliance with a number of standards.

- Section 2 provides examples of self-assessment resources to assist RTOs to record evidence of compliance with each of the standards.

These are suggested resources only and do not represent a definitive indication of compliance. RTOs should note, when conducting an audit against the standards, the auditor will examine all the evidence to determine compliance, some of which may differ from the examples of evidence suggested in this guide.

## Evidence, audits and self-assessments

RTOs differ greatly in size, clients, location, organisational structure and function. The evidence one RTO presents to show compliance may differ from that presented by another RTO. The standards are the same for often very different RTOs, and auditors will exercise flexibility in their judgement, while maintaining the rigour and diligence necessary in auditing compliance with national requirements. In the *Guide to Good Practice in AQTF Auditing*<sup>1</sup>, the following example is given:

*One very small RTO enrolls all its students in the local public library and then trains each group on library usage, ensuring they can access and locate the required resources. This RTO still meets aspects of the standard requiring appropriate learner resources and the absence of an institutionally owned library is not necessarily a barrier.*

The examples of evidence identified in this guide are not prioritised. The *Guide to Good Practice in AQTF Auditing* makes the following statement:

*Audit data should be valid in that it measures what it purports to measure, it should be reliable in that it will not vary significantly over time or place, and it should be accurate and timely. There is no ideal number of items. The emphasis should be more on balance and usefulness.*

<sup>1</sup> *Guide to Good Practice in AQTF Auditing*, ANTA Melbourne 2001

An AQTF audit is an evidentiary process. This means an RTO needs to show, and an auditor needs to sight, sufficient evidence that is relevant and reasonable for a critical assessment to occur and lead to a judgement about the extent of an RTO's compliance with the standards.

The examples given in this guide assist **RTOs and auditors to think about what might be appropriate evidence** for a particular RTO to demonstrate compliance. Always refer to the *Standards for Registered Training Organisations* to ensure any evidence is consistent with its requirements.

The internal audit/self-assessment process is a valuable opportunity for an RTO to 'take a picture' of itself and assess how it demonstrates compliance with the standards. The result of this internal audit is a key resource for auditors in gaining a better understanding of an RTO's operating environment and its delivery and assessment strategies.

When an RTO conducts an internal audit or self-assessment of compliance with the standards, it should consider the following processes for gaining evidence, as suggested in the *Guide to Good Practice in AQTF Auditing*:

- **examining documents and systems** such as policies and procedures, student handbooks, relevant components of business plans, trainer/assessor qualifications
- **examining records** of actual training conducted
- **perusing a sample** of student files
- **analysing resources** for delivery and assessment, including assessment tools;
- **questioning the auditee** to further explore evidence
- **holding interviews** with management, teachers/trainers, learners, employers
- **observing processes** such as assessment and learning activities
- **looking at** facilities and **observing** training and assessment activities.

Remember, in assessing compliance during internal audits/self-assessments and AQTF audits, an examination of documentary evidence must be complemented by a range of investigative and inquiry techniques, including questioning of staff, students and stakeholders.

This guide has the dual audience of RTOs and auditors. This duality mirrors and supports the twofold function of an audit:

- to assess and verify RTO compliance with the *Standards for Registered Training Organisations* to provide an opportunity to identify areas of possible improvement

# SECTION 1

## STANDARDS FOR REGISTERED TRAINING ORGANISATIONS AND GUIDE TO EVIDENCE

---

**BEFORE COMMENCING SECTION 1, IT IS IMPORTANT TO READ THE PRECEDING SECTION – HOW TO USE THIS GUIDE**

Section one

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

---

## Standard 1 Systems for quality training and assessment

The RTO has systems in place to plan for and provide quality training and assessment across all of its operations.

### Standard 1.1

---

- a** The RTO must keep written policies and procedures for ensuring quality training and assessment consistent with its scope of registration and scale of operations.



## Evidence and examples

---

Evidence must include written policies and procedures that ensure the quality training and assessment is consistent with an RTO's scope of registration and scale of operations. As a minimum, these policies and procedures must cover the following:

- customer complaints and appeals [refer standard 1.5]
- risk identification and management [refer standard 1.8]
- continuous improvement [refer standard 1.9 and 1.10]
- administrative and records management [refer standard 4]
- financial management, including refund policies and systems to protect fees paid in advance [refer standard 3]
- recognition of qualifications issued by other RTOs [refer standard 5]
- access and equity [refer standard 6]
- client selection, enrolment and induction/orientation [refer standard 6.3]
- staff recruitment, induction, and ongoing development [refer standard 7.1]
- competency in delivery and assessment [refer standard 7 and 8]
- strategies for learning and assessment [refer standard 9].

Examples of evidence of compliance (not to be read as a comprehensive list):

- information manuals
- participant handbooks
- policy and procedure manuals
- contract documents
- RTO's website.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

---

## Standard 1 Systems for quality training and assessment (cont'd)

### Standard 1.1 (cont'd)

---

- b** The chief executive must ensure the policies and procedures are circulated, understood and implemented consistently throughout the RTO.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include the policies and procedures discussed in standard I.I **a** and show how they are circulated, understood and implemented consistently throughout the RTO and how the RTO's chief executive ensures this occurs.

Examples of evidence of compliance (not to be read as a comprehensive list):

- documented induction processes that include discussion of policies and procedures and their use; orientation kits for staff involved in training, assessment or client service
- notes in staff personal files demonstrating their participation in an induction; program or a register of staff who have participated in the induction program
- staff and client responses to questions about how they use and follow policies and procedures
- reports from staff and client surveys that indicate the extent to which policies and procedures are disseminated and implemented
- organisation self-assessment report/annual internal audit report which shows compliance with the policies and procedures in standard I.I **a**
- memos and emails relating to the application of these policies and procedures and the development of resources
- minutes of meetings, staff bulletins, staff induction processes and materials that illustrate the policies and procedures are referred to and followed
- documented complaints and their resolution according to the relevant policy.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 1 Systems for quality training and assessment (cont'd)

### Standard 1.2

The RTO must designate a person or persons, with direct access to the RTO's chief executive, who has defined responsibility and authority to:

- i ensure that the RTO complies with the *Standards for Registered Training Organisations* across all of its operations and in all of its training and/or assessment activities, including those undertaken by other persons or bodies on its behalf
- ii ensure that the RTO provides for examination of documentation and reasonable access to all areas, records (including internal audit reports) and staff as required by the registering body for the purposes of audit
- iii report to the chief executive on the RTO's compliance with the *Standards for Registered Training Organisations*, for review and as a basis for improvement
- iv apply to the state or territory registering body that has registered it for any extension to scope of registration
- v provide details, upon the request of the state or territory registering body that has registered it, of all operations within its scope of registration including operations in other states or territories and outside Australia
- vi advise the state or territory registering body that has registered it:
  - a within 21 calendar days of commencing delivery and/or assessment outside the state or territory of registration and/or
  - b within 3 months of ceasing delivery and/or assessment in a location outside the state or territory of registration
- vii provide the state or territory registering body that has registered it with accurate and timely information regarding registration and compliance (including major changes to the RTO's system or staffing profile, relocation of the RTO, financial difficulties and transfer of client records).

## Evidence and examples

---

Evidence must include the designated person who has the responsibility and authority to undertake the requirements of this standard. Where one person is not responsible for all these areas, it must be clear who has designated responsibility for each area.

Examples of evidence of compliance (not to be read as a comprehensive list):

- organisational chart [refer standard 1.3] which shows the lines of authority in the RTO and identifies the person at the appropriate level in the organisation, who has direct access to the RTO's chief executive, and is responsible for functions detailed in standard 1.2 relevant to the RTO's scope of operation
- duty statement/position description/chart/paper that outlines the roles and responsibilities of the above person (or people, where the responsibilities are shared), as well as required skills, experience and capabilities including, for example:
  - experience in organisational self-assessment
  - understanding of compliance with state or territory requirements for registration and the *Standards for Registered Training Organisations*
  - experience in implementing training and assessment systems
  - access to organisational documentation
  - authority to assign personnel and resources to assist auditing functions
  - experience in the management of continuous improvement processes
  - ability to collect and provide accurate and up-to-date information on registration and compliance
  - authority to sign off on the RTO's internal audit
- record of this person/s being appointed, for example, a memo/email to staff, a letter to the appointee or minutes of a meeting where the discussion of the appointment is recorded
- interviews with people with designated responsibility and authority for requirements of standard 1.2
- documented method used by the designated person/s to monitor the RTO's scope of registration and compliance with the *Standards for Registered Training Organisations*.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 1 Systems for quality training and assessment (cont'd)

### Standard 1.3

- a** The RTO must have an organisational chart and duty statements or terms of reference that show the lines of authority in the RTO, the responsibilities and allocation of functions.
- b** The organisational chart and duty statements must set out the role each staff member of the RTO has in implementing and maintaining the RTO's training and/or assessment system.

### Standard 1.4

- a** The RTO must conduct an internal audit<sup>1</sup> across all of its operations relating to its compliance with these standards and the policies and procedures mentioned in standard 1.1 **a** at least annually.
- b** The RTO's chief executive must review the RTO's compliance with these standards at least annually.

<sup>1</sup> AS/NZS ISO 19011:2003 *Guidelines for quality and/or environmental management systems auditing* provides guidance on conducting internal audits, alternatively the RTO may conduct self-assessments of equivalent rigour.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include an organisational chart and duty statements or terms of reference (as appropriate to the scope of operations) showing:

- lines of authority in the RTO
- responsibility and allocation of functions
- role of each staff member in the RTO's training and/or assessment system.

Examples of evidence of compliance (not to be read as a comprehensive list):

- stand alone documents
- part of an organisation's business or strategic plan, annual report, or code of conduct indicating roles and responsibilities in relation to training and assessment
- other personnel documentation.

## Evidence and examples

---

Evidence must include records of internal audit reports [refer standard 1.2]. The internal audit or self-assessment must evaluate the RTO's compliance across all of its operations\* with the *Standards for Registered Training Organisations* including the procedures and policies referred to in standard 1.1 and must be conducted at least annually.

Examples of evidence of compliance (not to be read as a comprehensive list):

- evaluation of the management, delivery and/or assessment and outcomes of training and assessment, related to the organisation's scope of registration
- assessment of whether the RTO is meeting the conditions of its registration
- documented input from key stakeholders/clients (for example independent industry, community bodies, students or employers)
- audit and action plans, non-compliance reports, logistics schedules
- minutes of meetings, memos, written statements showing review by chief executive
- chief executive signed off self-assessment/internal audits
- feedback from the chief executive, for example, via meetings, correspondence, signed reports
- discussion with stakeholders regarding their involvement in improvement activities
- discussion of how the outcomes of review are incorporated into the RTO's continuous improvement processes.

\* operations includes all delivery methods and sites, such as flexible learning approaches, on-line delivery and assessment, workplace delivery and assessment, multiple campus locations.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 1 Systems for quality training and assessment (cont'd)

### Standard 1.5

The RTO must document and implement policies and procedures for dealing in a constructive and timely manner with client complaints and appeals against decisions made by the RTO. The policies and procedures must ensure that:

- i each complaint and appeal and its outcome is recorded in writing
- ii each appeal is heard by an independent person or panel
- iii each appellant:
  - a has an opportunity to formally present his or her case
  - b is given a written statement of the appeal outcomes, including reasons for the decision
- iv the RTO should act upon the subject of any complaint found to be substantiated.

### Standard 1.6

- a The RTO must have, and comply with, a written agreement with each organisation that provides training and/or assessment on behalf of the RTO<sup>2</sup>.
- b The agreement must specify how each party to the agreement will discharge its responsibilities for compliance with all aspects of the *Standards for Registered Training Organisations*.
- c The RTO must maintain a register of all agreements made under standard 1.6 a including, but not limited to:
  - i the responsible person from each organisation
  - ii the duration of the agreement
  - iii the qualifications or units of competency to be delivered by the partner organisation.

<sup>2</sup> For example through partnership arrangements with industry, schools, other providers of education and training. It is not intended that such partnership arrangements be used by the RTO as the mechanism for expanding its scope of registration.



# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include documentation and implementation of policies and procedures for dealing with client complaints and appeals against decisions made by the RTO, as stipulated in this standard.

Examples of evidence of compliance (not to be read as a comprehensive list):

- a working strategy to communicate policies and procedures to all stakeholders, for example, information in participant handbooks, student diaries, the website, on prominent notice boards, in induction procedures and resources, in records of staff or other internal meetings
- student information in appropriate formats, describing appeal and client complaint processes, including timelines, their rights and responsibilities, as well as support strategies available to students
- discussions with students and RTO staff regarding their familiarity with procedures for dealing with customer complaints and appeals
- dated copies of any statements of appeal outcomes sent to appellants. Outcomes of appeals must give the decision and the reasons for the decision
- recording system for client complaints
- integration of feedback into RTO internal reviews [refer standard 1.4], for example, discussion of user feedback and corrective action taken included in annual report of self-assessment or annual internal audit.

## Evidence and examples

---

Evidence must include written agreements and a register of these agreements with other organisations that provide training and/or assessment on behalf of the RTO. These written agreements must demonstrate compliance by each party with the *Standards for Registered Training Organisations*. The register of agreements must include the responsible person from each organisation, the duration of the agreement and the qualifications or units of competency to be delivered by the partner organisation.

Examples of evidence of compliance (not to be read as a comprehensive list):

- register
- letter outlining the agreement
- contract
- memorandum of understanding
- diagram/flow chart.

## Standard 1 Systems for quality training and assessment (cont'd)

### Standard 1.7

---

The RTO must have a written plan for its business as an RTO that is consistent with its scope of registration and scale of operations.

### Standard 1.8

---

The RTO must:

- i document and implement procedures to identify and manage risks concerned with compliance with the *Standards for Registered Training Organisations*
- ii take corrective and preventative action in relation to failure to comply with the *Standards for Registered Training Organisations* and the RTO's quality system, policies or procedures.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include a written plan for the RTO's business as an RTO consistent with its scope of registration and scale of operations. This plan does not have to be a discrete document, but an RTO needs to be able to show business planning has taken place and is reviewed regularly.

Examples of evidence of compliance (not to be read as a comprehensive list):

- description of the business' operations as an RTO and the context the business operates within, in relation to the scope of registration and scale of operation
- description of customer needs, resources available and legal requirements
- marketing promotion strategies which identify methods to promote the business
- operational plan which identifies the means of achieving business goals across industry sectors and relationships with client groups
- staffing priorities
- timeframe for achieving goals
- quality control mechanisms, risk management strategies
- review and update process for the plan.

## Evidence and examples

---

Evidence must include documented procedures to identify and manage risks concerned with compliance with the *Standards for Registered Training Organisations* and to take corrective and preventative action in relation to any failure to comply with the standards and the RTO's quality system, policies or procedures [refer standards 1.4 and 1.9].

Examples of evidence of compliance (not to be read as a comprehensive list):

- analysis of potential areas of risk, the development of appropriate strategies and the deployment of these strategies
- information in policy and procedures manual
- staff participation in quality improvement teams, minutes of subsequent meetings, and actions taken
- feedback mechanisms such as suggestion boxes for use by clients and staff, a schedule of policy review meetings, client forums and web-based forums
- discussions with stakeholders regarding their participation in improvement activities
- memos, emails, minutes of meetings, re-written procedures and notices to clients that indicate action has been taken as a result of any non-compliance identified, for example through the annual self-assessment/internal audit against the *Standards for Registered Training Organisations*
- continuous monitoring of risk management strategies outside of annual self-assessment or internal audit, for example minutes of meetings, completed staff feedback surveys, corrective action sheets and contact with relevant industry bodies and other RTOs.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

---

## Standard 1 Systems for quality training and assessment (cont'd)

### Standard 1.9

---

- a** The RTO must collect and analyse stakeholder and client feedback and satisfaction data on the services it provides as the basis for improvement.
- b** The RTO must use the information mentioned in standard 1.9 **a** to review its policies and procedures.

### Standard 1.10

---

The RTO must develop and implement written procedures relating to:

- i acting on opportunities for improvement identified by any means
- ii continuous improvement of its systems.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include the collection and analysis of data from RTO clients and stakeholders and policies and procedures that have been reviewed using this information.

Examples of evidence of compliance (not to be read as a comprehensive list):

- stakeholder consultation which reflects the scope of registration and the goals of the business, including a combination of feedback from participants, staff, employers, industry bodies, community representatives and funding bodies
- completed feedback instruments
- minutes of planning meetings
- summaries of feedback obtained and action taken to make improvements
- programs for community/industry forums seeking feedback
- emails reporting on conversations with a client or stakeholder, for example, a student or representative of an industry skills council
- suggestion box feedback, letters of complaint, appeals and adjustments made in response to this feedback
- report of client satisfaction data, which includes recommendations and action taken as a result of the review, as part of continuous improvement processes
- discussions with stakeholders that identify the extent to which they are involved in the provision of feedback and satisfaction data
- action taken to improve services as a result of review of policy and procedures.

## Evidence and examples

---

Evidence must include written procedures relating to the continuous improvement of the RTO's systems including acting on any identified opportunities for improvement.

Examples of evidence of compliance (not to be read as a comprehensive list):

- quality plans/procedures, annual internal audit/self-assessment plans and reports
- signs/posters encouraging feedback and detailing how to provide it
- minutes/reports from quality improvement team meetings/other staff meetings where need for improvement and subsequent action is discussed
- action taken as a result of stakeholder and client feedback and satisfaction data
- notes, letters, memos, emails informing clients or staff of changes in services as a result of feedback
- quality awards, training awards.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 2 Compliance with Commonwealth, state/territory legislation and regulatory requirements

The RTO ensures that compliance with Commonwealth, state/territory legislation and regulatory requirements relevant to its operations is integrated into its policies and procedures and compliance is maintained.

### Standard 2.1

The RTO must identify and comply with relevant Commonwealth, state/territory legislation and regulatory requirements including, but not limited to:

- i occupational health and safety
- ii workplace harassment, victimisation and bullying
- iii anti-discrimination, including equal opportunity, racial vilification and disability discrimination
- iv privacy
- v VET
- vi apprenticeships and traineeships.

### Standard 2.2

The RTO must ensure its policies and procedures meet the requirements of Commonwealth or state/territory legislation and regulatory requirements that are relevant to the RTO's operations including industry legislation and regulatory requirements specific to its scope of registration and that:

- i staff are provided with information about current legislation and regulatory requirements that significantly affects their duties
- ii clients are provided with information about current legislation and regulatory requirements that significantly affect their participation in VET.

## Evidence

---

An RTO must identify and comply with relevant Commonwealth or state/territory legislation and regulatory requirements.

Note that RTOs are audited for compliance with the *Standards for Registered Training Organisations*. Auditors do not audit compliance with the laws and legislation identified in this standard but an auditor has a duty of care to act upon and report any non-compliance. If an auditor finds evidence or receives information that the RTO is not compliant with the legislation and regulatory requirements identified in standard 2.1, that information will be conveyed to the registering body and sanctions may be imposed or registration refused [refer standard 16.1 and 21.1 of the *Standards for State and Territory Registering/Course Accrediting Bodies*].

## Evidence and examples

---

Evidence must include RTO policies and procedures that meet the requirements of Commonwealth or state/territory legislation as well as relevant regulatory requirements and show how staff and clients are provided with information about current legislation and regulatory requirements that significantly affect them.

Examples of evidence of compliance (not to be read as a comprehensive list):

- policies and procedures that guide the way the RTO operates and show compliance with legislation and relevant regulatory requirements
- staff induction materials that explain the rights and responsibilities of trainers, assessors, client service staff and clients
- document/handbook/website/CD/video available to all clients and RTO staff, with information that explains admission and recruitment processes, delivery and assessment practices, appeals and grievance procedures, fees and charges, including refund policy, participant support services and access and equity
- staff information materials/professional development programs on specific jurisdiction and/or industry legislation and regulatory requirements relevant to the RTO's scope of registration
- memos/bulletins that explain any recent changes in legislation and/or regulatory requirements and the impact of these changes on the RTO
- materials that summarise the legislation and/or regulatory requirements that have an impact on the RTO's operations and indicate where the actual legislation and/or regulations are kept
- position descriptions, advertisements and marketing materials that illustrate adherence to legislation and/or relevant regulatory requirements
- customer complaints and action taken in response that illustrate the legislation and/or regulatory requirements were understood and followed
- OH&S reports, contracts with partners [refer standard 1.6], assessment policies that show the legislation and/or relevant regulatory requirements have been understood and followed
- discussions with staff and clients that illustrate an understanding of relevant legislation and/or regulatory requirements and its impact.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 2 Compliance with Commonwealth, state/territory legislation and regulatory requirements (cont'd)

### Standard 2.3

The RTO must ensure it has all the insurance cover necessary to carry out its business, including insurance for worker's compensation, public liability, professional indemnity, building and contents.

## Standard 3 Effective financial management procedures

The RTO has effective financial management procedures in place.

### Standard 3.1

The RTO must designate the chief executive or a person with direct access to the chief executive, who has defined responsibility and authority to:

- i ensure that the RTO has financial management policies in place and that it complies with these policies
- ii monitor and report on compliance with its financial management policies and procedures, for review and as a basis for improvement
- iii when requested, provide the state or territory registering body that has registered it with a formal assurance that the RTO has sound financial management standards for matters related to the RTO's scope of registration and scale of operations.

three



# GUIDE TO EVIDENCE

---

## Evidence

---

Evidence must include current insurance cover to carry out RTO business for:

- public liability
- workers' compensation insurance
- professional indemnity
- building and contents insurance, where relevant
- any other specific insurance required by legislation and/or licensing bodies.

## Evidence and examples

---

Evidence must include the RTO's written financial management policies and procedures [refer standard 1.1a]. Evidence must identify the chief executive or designated person, with defined responsibility and authority and direct access to the chief executive, who is responsible for the RTO's financial management policies.

Examples of evidence of compliance (not to be read as a comprehensive list):

- the organisational chart [refer standard 1.3] clearly specifying the person/s at the appropriate level in the organisation responsible for functions detailed in this standard
- a duty statement/position description that outlines the roles and responsibilities of the above person/s, as well as required skills, experience and capabilities to meet AQTF registration requirements
- reports and other documentation that show compliance with the financial management policies and procedures
- interviews with the person/s and with others who are either accountable to, or for the person
- reviews of RTO financial management procedures.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 3 Effective financial management procedures (cont'd)

### Standard 3.2

The RTO's accounts must be certified, at least annually, by a qualified accountant:

**a** with membership of:

- i Certified Practising Accountants Australia
- ii the Institute of Chartered Accountants of Australia or
- iii the National Institute of Accountants

or

**b** otherwise registered as an auditor with the Australian Securities and Investment Commission  
**and**, on request, the report must be made available to the state or territory registering body that has registered the organisation.

### Standard 3.3

The RTO, if requested by the state or territory registering body that has registered it, must obtain, and make available to the state or territory registering body, a full audit report from a qualified independent accountant:

**a** with membership of:

- i Certified Practising Accountants Australia
- ii the Institute of Chartered Accountants of Australia or
- iii the National Institute of Accountants

or

**b** otherwise registered as an auditor with the Australian Securities and Investment Commission.

### Standard 3.4

The RTO must document and implement systems to protect fees paid in advance.

# GUIDE TO EVIDENCE

---

## Evidence

---

Evidence must include a report of certification of the RTO's accounts within the last 12 months. This report must be prepared by a qualified accountant with membership of the Certified Practising Accountants Australia, the Institute of Chartered Accountants of Australia or the National Institute of Accountants or otherwise registered as an auditor with the Australian Securities and Investment Commission.

## Evidence

---

If requested by the state or territory registering body that has registered the RTO, evidence must include a current full audit report prepared by a qualified independent accountant, with membership of the Certified Practising Accountants Australia, the Institute of Chartered Accountants of Australia or the National Institute of Accountants or otherwise registered as an auditor with the Australian Securities and Investment Commission.

## Evidence and examples

---

Evidence must include documented systems to protect fees paid in advance and evidence of system implementation.

Examples of evidence of compliance (not to be read as a comprehensive list):

- information on fees and charges disseminated to clients prior to enrolment, for example student handbooks, posters, website, other induction materials
- contract with client to accept fees within a specified timeframe
- fees and charges policy and procedures, accounting instructions/arrangements
- approved tuition assurance schemes
- financial management practices that protect fees paid in advance, for example the purchase of insurance, establishment of trust accounts
- examples of fees receipted and dated
- client awareness of system to protect fees paid in advance indicated through responses to surveys, interviews.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 3 Effective financial management procedures (cont'd)

### Standard 3.5

The RTO must have a fair and reasonable refund policy.

## Standard 4 Effective administrative and records management procedures

The RTO has effective administrative and records management procedures in place.

### Standard 4.1

The RTO must document and implement procedures to assure the integrity, accuracy and currency of records that include, but are not limited to:

- i secure storage, including backup of electronic records
- ii retention, archiving and retrieval of sufficient information on client results to enable the re-issue of a qualification or statement of attainment if required, for a period of 30 years, and transfer of these records consistent with state or territory registering body requirements in the event of closure of the RTO
- iii retention, archiving, retrieval and transfer of all other records consistent with contractual and legal requirements and the requirements of the state or territory registering body that has registered the organisation
- iv compliance with external reporting requirements (for example the Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) for those RTOs in receipt of government funding)
- v safeguarding any confidential information obtained by the RTO and committees, individuals or organisations acting on its behalf
- vi ensuring that, except as required under the *Standards for Registered Training Organisations* or by law, information about a client is not disclosed to a third party without the written consent of the client
- vii access by clients to their personal records.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include the RTO's documented refund policies [refer standards 1.1 a and 6.3 iii].

Examples of evidence of compliance (not to be read as a comprehensive list):

- information, for example the terms and conditions under which fees will be refunded, given to clients before enrolment. Examples could include flyers to students, entries in student handbooks, RTO information sessions, programs and slides
- explanations of the RTO's refund policy on the website, in policy and procedures manual, student handbooks, wall chart or advertising material
- client awareness of this policy and comment on the policy's fairness and reasonableness indicated through responses to surveys and interviews.

## Evidence and examples

---

Evidence must include documented administrative and record-keeping procedures that incorporate all requirements in this standard.

Examples of evidence of compliance (not to be read as a comprehensive list):

- records of student enrolments that reflect current enrolment status, including accurate course/qualification and unit/module titles and codes
- record systems that are AVETMISS compliant (for RTOs in receipt of government funding)
- record systems that are compliant with other relevant external reporting requirements
- examples of individual student/client progress that clearly show modules/units that have been completed to date
- student/client assessment records/results that are recorded at the unit/module level, with correct module/unit titles and codes
- records that are dated and duly authorised
- student/client awareness that assessment records/results are available to them on request indicated through responses to interviews/surveys
- records of results that are backed up and stored off site or in a flood and fire proof safe, records of student/client achievements (sufficient to enable re-issue of a qualification or statement of attainment if required) archived in a secure manner for a minimum of 30 years, secure and confidential storage of student records
- qualifications are issued appropriately, that is, only on completion of course/qualification requirements, and statements of attainment or progress reports that are available on request by student
- consent forms for disclosure of information.

## Standard 4 Effective administrative and records management procedures (cont'd)

### Standard 4.2

The RTO must maintain up-to-date records of:

- i the verified training and/or assessment and vocational competencies of all staff and persons working on behalf of the RTO as trainers and assessors, consistent with the requirements of standard 7
- ii enrolments and participation
- iii fees paid and refunds given.

### Standard 4.3

The RTO must develop and implement version control procedures for managing materials that relate to its scope of registration (including Training Packages, accredited course documents and learning/assessment materials) so that:

- i materials are reviewed for currency by authorised and competent staff prior to issue or re-issue
- ii a list of materials with the respective issue and/or amendment status identified is maintained
- iii all persons required to perform any function under the RTO's scope of registration have ready access to all necessary current materials.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include up-to-date records of the requirements listed in this standard [refer standards 7.3 and 7.4].

Examples of evidence of compliance (not to be read as a comprehensive list):

- procedure for verification of staff training and/or assessment and vocational competencies and a process for recording this verification
- up-to-date register of all currently employed staff, including sessional staff, with verified CVs which include workplace experience/employment history and training and/or assessment and vocational competencies
- current attendance records and enrolment records
- current records of fees paid and refunds given
- current register of statements of attainment and qualifications issued.

## Evidence and examples

---

Evidence must include version control procedures for managing materials relating to the RTO's scope of registration and address the requirements of this standard.

Examples of evidence of compliance (not to be read as a comprehensive list):

- information in policy and procedures manuals
- information in professional development activities for teachers, trainers and administrators, induction materials for staff
- information on RTO website
- the latest and authorised version of the materials the RTO uses, including Training Packages, accredited course documents and learning and assessment materials
- interviews with staff regarding their awareness of version control procedures
- an indication of the person/s who are authorised to issue/re-issue materials identified, for example on the organisational chart [refer standard 1.3], on a staff list, on memos/emails to staff
- systems/procedures that ensure appropriate staff are authorised to make certain materials meet the requirements of standard 4.3, and for delegating authority and dating materials
- register, note-book, protected electronic file that is regularly maintained and accessible to users, showing list of materials and their issue and/or amendment status
- processes to ensure staff carrying out training and assessment have ready access to all necessary current materials on their induction and as they undertake new responsibilities
- staff responses to surveys and interviews indicating awareness of how to access current materials
- customisations, that is any changes/alterations to programs of Training Packages and accredited courses that an RTO makes, are clearly identified and made in accordance with formal requirements [refer standard 9.3].

### Standard 5 Recognition of qualifications issued by other RTOs

The RTO recognises the Australian Qualifications Framework (AQF) qualifications and statements of attainment issued by any other RTO.

#### Standard 5.1

---

The RTO's policies and procedures must include a requirement that the RTO recognises the AQF qualifications and statements of attainment issued by any other RTO.

#### Standard 5.2

---

The RTO must include its obligations to recognise the AQF qualifications and statements of attainment issued by other RTOs, in information to clients.



# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include policies and procedures, including the requirement for the RTO to recognise the AQF qualifications and statements of attainment issued by any other RTO.

Examples of evidence of compliance (not to be read as a comprehensive list):

- policy and procedures within a procedural manual, memos/emails to staff outlining the policy and procedures, information about the policy and procedures in induction materials, records of presentations, for example, slides/agendas as part of professional development activities
- client accessible information, for example, on a web page, in information on the training program, or in marketing information, outlining the option for recognising prior learning and explaining how this occurs
- applications for credit on the basis of certificates issued by other RTOs
- files/student records that show credit has been given on the basis of certificates issued by other RTOs
- staff/students aware of policy and procedures verified by surveys/interviews
- records of complaints checked for resolution concerning recognition of qualifications and statements of attainment issued by any other RTO.

## Evidence and examples

---

Evidence must include information provided to RTO clients that includes the RTO's obligations to recognise the AQF qualifications and statements of attainment issued by other RTOs.

Examples of evidence of compliance (not to be read as a comprehensive list):

- written information for clients on a web page, in course/training/assessment information, or in marketing information, outlining the availability of credit and explaining how to apply
- clients' knowledge of the national recognition policy and its application, substantiated through surveys, interviews
- applications for credit based on AQF qualifications or statements of attainment issued by another RTO
- summary reports outlining recognition awarded in specific programs.

## STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

---

### Standard 5 Recognition of qualifications issued by other RTOs (cont'd)

#### Standard 5.3

---

The RTO must provide information to staff on the obligation to recognise the AQF qualifications and statements of attainment issued by other RTOs.

### Standard 6 Access and equity and client service

The RTO applies access and equity principles and provides timely and appropriate information, advice and support services which assist clients to identify and achieve their desired outcomes.

#### Standard 6.1

---

The RTO's policies and procedures must incorporate access and equity principles.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include information provided to RTO staff on the requirements for mutual recognition of the AQF qualifications and statements of attainment awarded by other RTOs.

Examples of evidence for compliance (not to be read as a comprehensive list):

- policies and procedures including recognition obligations that are accessible to all staff
- information contained in, for example website, newsletters, brochures and handbooks, that alerts staff to the organisation's recognition policy and procedures and/or outlines staff responsibilities regarding the implementation of these policies and procedures
- professional development and induction programs and materials outlining recognition policy, procedures and staff responsibilities
- professional development calendar; notes on staff files confirming professional development has taken place and was attended by staff
- staff knowledge of the recognition policy and its application, substantiated through surveys, interviews.

## Evidence and examples

---

Evidence must include RTO policies and procedures showing incorporation of equity and access principles.

Examples of evidence of compliance (not to be read as a comprehensive list):

- commitments/strategies to increase access for people from specific client groups. These groups could include Aboriginal and Torres Strait Islanders, South Sea Islanders, people from culturally diverse backgrounds, people with disabilities and women. Other relevant client groups could also be identified
- information regarding equity and access responsibilities in organisational chart and duty statements
- support for people from specific client groups, for example, in the planning, delivery and assessment of training
- appropriate services to people from specific client groups, for example, large print texts/marketing materials
- relevant professional development for staff
- strategy reviews to increase access for people from specific client groups
- feedback from specific client groups regarding access and equity
- a system to assess language, literacy and numeracy for the purposes of identifying learning support.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 6 Access and equity and client service (cont'd)

### Standard 6.2

- a** The RTO must set out its access and equity policies in a code of practice or similar document.
- b** The RTO must ensure that copies of any instruments developed under standard 6.1 are provided and adhered to by staff.

### Standard 6.3

The RTO must provide clear information to each client, prior to enrolment, about:

- i client selection, enrolment and induction/orientation procedures
- ii course information, including content and vocational outcomes
- iii fees and charges, including refund policy and exemptions (where applicable)
- iv provision for language, literacy and numeracy assistance
- v client support, including any external support the RTO has arranged for clients
- vi flexible learning and assessment procedures
- vii welfare and guidance services
- viii appeals and complaints procedures
- ix disciplinary procedures
- x staff responsibilities for access and equity as provided for in the RTO's code of practice or similar document
- xi recognition of prior learning (RPL) arrangements and credit transfer.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include a code of practice or similar document that sets out the RTO's access and equity policies, as well as evidence that shows the policies and procedures are provided to and adhered to by staff.

Examples of evidence of compliance (not to be read as a comprehensive list):

- code of practice, for example a statement on a wall outlining a commitment to clients, a page in a student diary, a statement on all RTO stationery, inclusion in marketing material
- staff induction materials, professional development activities
- materials for staff information sessions, staff updates
- information on RTO website
- staff feedback in response to surveys, interviews
- client feedback showing adherence to policies.

## Evidence and examples

---

Evidence must include RTO information provided to clients, prior to enrolment, about the requirements listed in this standard.

Examples of evidence of compliance (not to be read as a comprehensive list):

- policy on provision of information to clients
- student handbooks/brochures and other marketing materials
- information on RTO website
- information resources, for example a code of practice, client services standards
- conduct of client information sessions
- interviews and surveys of clients substantiating effectiveness of information provision
- staff review processes, client feedback.

## Standard 7 The competence of RTO staff

Each member of the RTO's staff who is involved in training, assessment or client service is competent for the functions they perform.

### Standard 7.1

The RTO must develop and implement written procedures for the recruitment, induction, and ongoing development of each member of its staff who is involved in training, assessment or client service; encourage and provide relevant opportunities for their professional development; and monitor their performance.

### Standard 7.2

The RTO's induction program and materials for new staff must contain information, where relevant to their job role, on each of the following:

- i Training Packages
- ii competency-based training and assessment
- iii VET requirements and policies
- iv requirements for apprenticeships/traineeships
- v staff responsibilities for access and equity.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include written procedures for the recruitment, induction and ongoing development of staff involved in training, assessment or client service. The RTO must also demonstrate how it encourages and provides staff with relevant opportunities for their professional development and how it monitors their performance.

Examples of evidence of compliance (not to be read as a comprehensive list):

- RTO employment advertisements, induction programs and professional development reports
- information in policy and procedure manuals, on the RTO website, in handbooks or information packs
- professional development plans for staff, professional development calendars, posters describing professional development activities, email bulletins, study leave documentation
- skills audits, self-assessment carried out by staff, and staff meeting minutes where potential/actual skills gaps are discussed
- participation in professional development substantiated through interviews with staff.

## Evidence and examples

---

Evidence must include RTO induction program and materials for new staff that contains information, where relevant to their job role, on all requirements listed in this standard.

Examples of evidence of compliance (not to be read as a comprehensive list):

- RTO website information
- job specifications, organisational policies and procedures [refer standard 1.1]
- program and materials for the induction program, for example manual and induction checklist
- plan, developed with new staff members, to familiarise themselves with the RTO and its operations
- schedule of meetings for new staff members
- interview or survey of feedback from new employees about induction program
- professional development schedule to update staff competencies
- review of contracts of employment.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 7 The competence of RTO staff (cont'd)

### Standard 7.3

- a** The RTO must ensure assessments are conducted by a person who has:
  - i** the following competencies<sup>3</sup> from the Training and Assessment Training Package or is able to demonstrate equivalent competencies:
    - a** TAAASS401A Plan and organise assessment
    - b** TAAASS402A Assess competence
    - c** TAAASS404A Participate in assessment validation
  - ii** relevant vocational competencies, at least to the level being assessed.
- b** However, if a person does not have the assessment competencies as defined in standard 7.3 **a i** and the vocational competencies as defined in standard 7.3 **a ii**, one person with all the assessment competencies listed in standard 7.3 **a i** and one or more persons who have the vocational competencies listed in standard 7.3 **a ii** may work together to conduct the assessments.

<sup>3</sup> A person who holds the competencies BSZ401A Plan assessment, BSZ402A Conduct assessment, and BSZ403A Review assessment from the Training Package for Assessment and Workplace Training will be accepted for the purposes of this standard. A person who has demonstrated equivalent competencies to BSZ401A and BSZ402A and BSZ403A in the period up to 12 months following publication of the Training and Assessment Training Package will also be accepted for the purposes of this standard.



# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include documented information [refer standard 7.1] showing assessments are conducted by people who have the competencies specified in this standard. Where partnership arrangements/team/collaborative approaches are used, the way these arrangements meet the requirements of this standard must be clearly specified [refer standard 1.6]. Evidence must show how the competencies in this standard have been met.

Examples of evidence of compliance (not to be read as a comprehensive list):

- verified CVs and copies of qualifications of all people undertaking assessment on behalf of the RTO. This includes people working in or with an organisation in partnership with the RTO
- grid/matrix/statement, for example showing each assessor's CV mapped against the units of competency/modules they are assessing. Provision should be made for all units of competency/modules on the RTO's scope of registration.

Any mapping information would need to demonstrate industry/vocational experience that matches requirements of each unit of competency/modules to at least the level against which the assessor is assessing, as well as the assessment and vocational competencies as required in this standard

- schedules for and reports on return to industry activities, testimonials, referee reports
- mapping of current assessor skills and experience, indicating how judgements are made concerning the relevance of vocational competencies
- currency of professional development/training, professional development plans
- list of personnel and their CVs to be accessed for special requirements, for example sessional staff/industry-based partners.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 7 The competence of RTO staff (cont'd)

### Standard 7.4

The RTO must ensure that training is delivered by a person who:

- i holds the Certificate IV in Training and Assessment<sup>4</sup> from the Training and Assessment Training Package or is able to demonstrate equivalent competencies or
- ii is under the direct supervision<sup>5</sup> of a person who has the competencies specified in standard 7.4 i
- iii is able to demonstrate vocational competencies, at least to the level of those being delivered.

<sup>4</sup> A person who holds the Certificate IV in Assessment and Workplace Training from the Training Package for Assessment and Workplace Training (BSZ98) will be accepted for the purposes of this standard. A person who has demonstrated equivalent competencies to the Certificate IV in Assessment and Workplace Training in the period up to 12 months following publication of the Training and Assessment Training Package will also be accepted for the purposes of this standard.

<sup>5</sup> Direct supervision is achieved when a person delivering training on behalf of the RTO has regular guidance, support and direction from a person designated by the RTO who has the competencies in standard 7.4i and who monitors and is accountable for the training delivery. It is not necessary for the supervising person to be present during all training delivery.

## Evidence and examples

---

Evidence must include documented information [refer standard 7.1] that shows training is delivered by people who have the competencies specified in this standard. Where partnership arrangements/team/collaborative approaches are used, the way these arrangements meet the requirements of this standard must be clearly specified [refer standard 1.6]. Evidence must show how the competencies in this standard have been met.

Examples of evidence of compliance (not to be read as a comprehensive list):

- verified CVs and copies of qualifications of all people delivering training on behalf of the RTO. Mapping of all trainers' competencies against the Certificate IV in Training and Assessment or from the Certificate IV in Assessment and Workplace Training (as relevant) where these qualification are not held and a judgement of equivalence to these qualifications has been made by the RTO. This includes people working in or with an organisation in partnership with, or contracted by the RTO
- grid/matrix/statement, for example showing each trainer's CV mapped against the units of competency/modules they are delivering. Provision should be made for all units of competency/modules on the RTO's scope of registration.

Any mapping information would need to demonstrate industry/vocational experience that matches requirements of each unit of competency/modules to at least the level against which the trainer is delivering, as well as the training and vocational competencies as required in this standard

- schedules for, and reports on return to industry activities, testimonials, referee reports
- mapping of current trainer skills and experience, indicating how judgements are made concerning the relevance of vocational competencies
- list of personnel and their CVs to be accessed for special requirements, for example sessional staff/industry-based partners
- CVs of people providing direct supervision, mapped to the competencies for which they are providing supervision
- information on delivery modes used
- agreement outlining the circumstances under which direct supervision is applied and given these circumstances, the extent to which formal, regular guidance, support and direction from the person designated by the RTO is applied
- contract or employment, letter of offer and acceptance of employment
- memorandum of understanding between the parties, another kind of agreement or a written statement from the RTO
- process for monitoring and reviewing arrangements in place.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## eight

### Standard 8 RTO assessments

The RTO's assessments meet the requirements of the endorsed components of Training Packages and the outcomes specified in accredited courses within the scope of its registration.

#### Standard 8.1

The RTO must ensure that assessments (including RPL):

- i comply with the assessment guidelines included in the applicable nationally endorsed Training Packages or the assessment requirements specified in accredited courses
- ii lead to the issuing of a statement of attainment or qualification under the AQF when a person is assessed as competent against nationally endorsed unit(s) of competency in the applicable Training Package or modules specified in the applicable accredited course
- iii are valid, reliable, fair and flexible
- iv provide for applicants to be informed of the context and purpose of the assessment and the assessment process
- v where relevant, focus on the application of knowledge and skill to the standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills
- vi involve the evaluation of sufficient evidence to enable judgements to be made about whether competency has been attained
- vii provide for feedback to the applicant about the outcomes of the assessment process and guidance on future options in relation to those outcomes
- viii are equitable for all persons, taking account of individual needs relevant to the assessment
- ix provide for reassessment on appeal.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include RTO assessments (including RPL) that meet the requirements listed in this standard.

Examples of evidence of compliance (not to be read as a comprehensive list):

- assessment process information for clients on websites, in handbooks and marketing material, on flyers or wall charts
- records of interviews with clients that establish whether the client had special needs regarding assessment
- assessment processes/instruments that comply with advice in the relevant Training Package/accredited course, including self-assessment materials, workplace activities to promote the collection of evidence, summaries of evidence used to judge competence
- assessment processes/instruments adjusted in light of the client's special needs
- records of client outcomes from adjusted assessment processes
- records of RPL assessments
- records of client and staff feedback about RPL processes and outcomes
- letters/emails to clients advising them of their results, invitations to clients to present for re-assessment
- assessor diary notes
- records of contact between the RTO and employer, for example minutes of meetings between the RTO and the employer; minutes of assessment validation meetings
- car logs/diaries to indicate workplace visits by assessor
- register of agreements between the workplace and the RTO indicating how assessment will be carried out
- trainee log books
- minutes from meetings to review assessment processes
- feedback from assessment candidates and employers regarding the assessment process and resources used.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

---

## Standard 8 RTO assessments (cont'd)

### Standard 8.2

---

- a** The RTO must ensure RPL is offered to all applicants on enrolment.
- b** The RTO must have an RPL process that:
  - i is structured to minimise the time and cost to applicants
  - ii provides adequate information, support and opportunities for participants to engage in the RPL process.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include the RTO's RPL process showing how RPL is offered to all applicants on enrolment, is structured to minimise time and cost to applicants, and provides adequate information, support and opportunities for participants to engage in the RPL process [refer standard 6.3].

Examples of evidence of compliance (not to be read as a comprehensive list):

- brochures, website information, marketing information, outlines of RPL information sessions for clients
- RPL policy and procedures, RPL evidence guide, completed RPL application forms showing the nature and range of evidence required to inform RPL assessments
- summary of evidence collected and its relationship to the competency standards being assessed
- records of outcomes of RPL assessments
- letters to clients informing them of outcome of assessments, post-assessment guidance sessions
- client feedback, survey results
- summary of evidence options to ensure RPL assessment is flexible, fair and meets standard 8.1.viii.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 9 Learning and assessment strategies

The RTO identifies, negotiates, plans and implements appropriate learning and assessment strategies to meet the needs of each of its clients.

### Standard 9.1

- a** The RTO must develop and implement learning and assessment strategies for each Training Package qualification and accredited course within the RTO's scope of registration<sup>6</sup>.
- b** The assessment strategies referred to in standard 9.1 **a** must be developed in consultation with enterprises/industry.
- c** The learning and assessment strategies referred to in standard 9.1 **a** should identify proposed target groups, learning and assessment methods, assessment validation processes and pathways<sup>7</sup>.
- d** The RTO must document the strategies referred to in standard 9.1 **a** on application for registration and on extension of scope of registration.

<sup>6</sup> Alternatively, for partial qualification, if the RTO's scope is defined by one or more units of competency rather than a complete qualification.

<sup>7</sup> For guidance on delivery and assessment in a language other than English refer to the *NTQC policy on languages for delivering and assessing vocational education and training*.



## Evidence and examples

---

Evidence must include strategies for learning and assessment for each Training Package qualification and accredited course within the RTO's scope of registration. Evidence must also include:

- assessment strategies developed in consultation with enterprises/industry
- learning and assessment strategies identifying the requirements of standard 9.1c
- documented strategies for learning and assessment as part of the RTO's application for registration or extension of scope.

Examples of evidence of compliance (not to be read as a comprehensive list):

- surveys, record of research, statistical information that assists in identifying target groups
- analysis of Training Package or accredited course requirements and strategies to meet them, statement of entry competencies required
- examples of arrangements/procedures to customise Training Packages or accredited courses
- client information outlining core and elective modules and how these will be delivered/assessed
- information to clients about the range of learning/assessment options
- procedure for systematically identifying individual learning needs, and evidence of its implementation
- meeting minutes/notes to indicate consultation conducted with industry/enterprises in the development of assessment approaches/strategies
- letters from industry/enterprise representatives which acknowledge involvement in consultation in relation to the development of assessment strategies
- plan identifying a range of available learning/assessment methods to suit a variety of needs, and evidence of its implementation
- demonstration of learning and assessment strategies with clients
- assessment activities/instruments
- learning resources that use language and numeracy in line with specified workplace requirements
- alternative assessment methods, use of support staff and other examples of the provision of support to individual clients
- plans, agendas, meeting minutes that indicate reviews of learning and assessment materials take place regularly
- feedback from stakeholders on assessment processes and resources
- revised assessment processes indicating action taken to improve the quality and consistency of assessment.

## Standard 9 Learning and assessment strategies (cont'd)

### Standard 9.2

---

The RTO must validate its assessment strategies by:

- i reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgements made by a range of assessors against the same competency standards<sup>8</sup>, at least annually
- ii documenting any action taken to improve the quality and consistency of assessment.

## Evidence and examples

---

Evidence must include RTO assessment strategies validated through review, comparison and evaluation, at least annually. Evidence must also include the documentation of actions taken to improve the quality and consistency of assessment.

Examples of evidence of compliance (not to be read as a comprehensive list):

- records/minutes of validation meetings
- feedback from clients regarding assessment processes and tools used
- reports on assessment outcomes
- reviews of evidence collected, procedure for ongoing review of assessment processes and tools
- professional development activities focusing on improving assessment strategies
- examples of materials used in processes to review, compare and evaluate assessment tools, and evidence contributing to judgements made by a range of assessors against the same competency standards
- earlier drafts of assessment tools, reports regarding changes made to assessment processes and tools, memos/emails/minutes of meetings explaining changes made to assessment instruments.

## Standard 9 Learning and assessment strategies (cont'd)

### Standard 9.3

The RTO must ensure that in developing, adapting or delivering training and/or assessment products and services:

- i methods used to identify learning needs are documented
- ii the requirements of the Training Package or accredited course are met
- iii steps are taken to manage the transition to reviewed Training Packages within 12 months of their publication
- iv core and elective units, as appropriate, are identified
- v customisation/contextualisation meets the requirements specified in the relevant Training Package or, for accredited courses, meets the NTQC's *Guidelines for Customisation of Accredited Courses under the AQTF*<sup>9</sup>
- vi the language, literacy and numeracy skills required are consistent with the workplace demands specified in the relevant units of competency or module and that these skills are developed in learners
- vii delivery modes and training and assessment materials which meet the needs of a diverse range of clients are identified
- viii where assessment or training is conducted in the workplace, the RTO negotiates the learning and assessment strategy with the employer and learners, works with the employer to integrate any on-the-job training and assessment, and schedules workplace visits to monitor/review the training and assessment
- ix where an apprenticeship/traineeship training contract is in place or being negotiated, individual training plans are developed, documented, implemented and monitored for each apprentice or trainee, encompassing all relevant off-the-job and structured workplace training and assessment
- x where assessment or training is conducted on-line or by distance, the RTO has effective strategies for learner support, monitoring and assessment.

# GUIDE TO EVIDENCE

## Evidence and examples

Evidence must include RTO training and/or assessment products and services that show they are developed, adapted or delivered in line with the requirements in this standard. Documented evidence must include:

- the methods used to identify learning needs [refer standard 1.1 **a**]
- individual training plans for each apprentice or trainee where an apprentice/traineeship training contract is in place or being negotiated.

Examples of evidence of compliance (not to be read as a comprehensive list):

- interview questions and other assessment instruments to identify learning needs
- arrangements to manage the transition to reviewed Training Packages within 12 months of their publication
- arrangements for customisation/contextualisation of training products and/or services
- minutes from meetings where incorporation of special needs/implementation of the Training Package or accredited courses is planned
- reference to advice in National Training Information Service (NTIS) regarding packaging of qualifications in planning of training delivery
- advice in reports, minutes, memos and marketing material that provides information about the basis on which the Training Package is customised/contextualised
- learning and assessment strategies and resources that do not require language, literacy and numeracy skills, that are more complex than those required for the workplace demands specified in the relevant units of competency or module
- resources developed that integrate language, literacy and numeracy competencies with specific vocational competencies
- evidence of effective support, delivery and assessment mechanisms for on-line/distance learners

Examples could include:

- information for clients outlining support available
- feedback from clients
- procedures and resources for monitoring learning with effectiveness assessed through staff and client interviews
- procedures for assessment and re-assessment with effectiveness assessed through interviews with clients
- individual training plans that meet the requirements of standard 9.3 ix
- records of visits to workplaces, for example diary entries, emails, discussions, notes from meetings with the RTO and workplace personnel, training progress reports which confirm visits have taken place
- confirmation from RTO trainers/assessors and workplace supervisors/employers that negotiation of training has taken place, confirmation from students of involvement in negotiation of training.

## STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

---

### • • • **Standard 9 Learning and assessment strategies (cont'd)** |

#### **Standard 9.4**

---

The RTO must have access to the staff, facilities, equipment, training and assessment materials required to provide the training and/or assessment services within its scope of registration and scale of operations, to accommodate client numbers, client needs, delivery methods and assessment requirements (including off-campus and on-line).

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include access to the RTO's staff, facilities, equipment, training and assessment materials that provide training and/or assessment services to accommodate the RTO's client numbers, client needs, delivery methods and assessment requirements (including off-campus and on-line).

Examples of evidence of compliance (not to be read as a comprehensive list):

- materials designed for specific assessment requirements or delivery methods, for example off-campus and on-line delivery
- documented staff lists with qualifications/experience [refer standard 7]
- current lists of students
- facilities and equipment used for training and assessment purposes for all delivery modes specified in delivery and assessment plans
- observation of training/assessment sessions, feedback from students through surveys, interviews
- information from clients reflecting the adequacy of facilities and equipment
- documented arrangements for use of facilities or equipment sourced from other organisations
- current facilities and equipment audit report
- checklists developed for each facility and qualification delivered/assessed
- processes and documentation showing appropriate resources for scope of registration and requirements of any third-party access arrangements
- procedures/strategies that continuously monitor the adequacy of current facilities and equipment and identify future requirements.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 10 Issuing AQF qualifications and statements of attainment

The RTO issues AQF qualifications and statements of attainment that meet the requirements of the *Australian Qualifications Framework Implementation Handbook* and the endorsed Training Packages and accredited courses within the scope of its registration.

### Standard 10.1

The RTO must only issue AQF qualifications and statements of attainment that are within its scope of registration and that certify the achievement of:

- i qualifications or industry/enterprise competency standards from nationally endorsed Training Packages or
- ii qualifications, competency standards or modules specified in accredited courses.

### Standard 10.2

The RTO must issue, record and report AQF qualifications and statements of attainment that:

- i meet the requirements in the current *Australian Qualifications Framework Implementation Handbook*, including the national codes
- ii identify the units of competency from Training Packages, or competencies or modules from accredited courses, that the client has attained
- iii identify the RTO by its national provider number.

### Standard 10.3

The RTO must note the language of delivery and assessment on AQF qualifications and statements of attainment issued if the delivery and assessment have been entirely in a language other than English<sup>10</sup>.

<sup>10</sup> For guidance on issuing a qualification when delivery and assessment have been in a language other than English, refer to the *NTQC policy on languages for delivering and assessing vocational education and training*.



# GUIDE TO EVIDENCE

---

## Evidence

---

Evidence must include AQF qualifications and statements of attainment for qualifications, competencies or modules issued to the RTO's clients that are within the RTO's scope of registration [refer standards 4 and 11].

## Evidence

---

Evidence must include records of AQF qualifications and statements of attainment issued to the RTO's clients that meet the requirements of the *Australian Qualifications Framework Implementation Handbook* and identify:

- the national competency/module code
- the national course code
- the RTO by its national provider number.

## Evidence

---

Evidence must include sample qualification templates for any AQF qualifications and statements of attainment issued that were delivered and assessed entirely in a language other than English. The samples must show the language of delivery and assessment.

## Standard 11 Use of national and state/territory logos

The RTO complies with the requirements for the use of national and state/territory logos.

### Standard 11.1

The RTOs must use the nationally recognised training (NRT) logo:

- i on AQF qualifications and statements of attainment issued within its scope of registration
- ii in accordance with the *Nationally Recognised Training (NRT) Logo Specifications*.

### Standard 11.2

The RTO may use the NRT logo in advertisements only where it complies with the requirements of standard 11.1ii and standard 12.

### Standard 11.3

The RTO may use the following statements in advertisements only in respect of training and/or assessment within its scope of registration:

- i 'Nationally Recognised Training' and/or
- ii 'registered by (the registering body) to issue the following qualifications...'

### Standard 11.4

The RTO must use the logo of the state/territory registering body only in accordance with the registering body's conditions of use.

## GUIDE TO EVIDENCE

---

### Evidence

---

Evidence must include AQF qualifications and statements of attainment issued by the RTO within its scope of registration showing the correct use of the NRT logo.

### Evidence

---

Evidence must include RTO advertisements showing the correct use of the NRT logo [refer standards 11.1ii and 12].

### Evidence

---

Evidence must include RTO advertisements of training and/or assessment within its scope of registration showing the correct use of the statements in this standard.

### Evidence and examples

---

Evidence must include documentation showing the correct use of the state/territory registering body's logo.

Examples of evidence of compliance (not to be read as a comprehensive list):

- AQF qualifications and statements of attainment contain NRT logo on Training Packages/accredited courses
- advertisements, flyers, web pages using the NRT logo and/or appropriate statements regarding training/assessment within the RTO's scope of registration
- statements of attainment and AQF qualifications use state/territory registering body's logo in accordance with the registering body's conditions of use.

# STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

## Standard 12 Ethical marketing and advertising

The RTO's marketing and advertising of training and assessment products and services is ethical.

### Standard 12.1

The RTO's marketing material must be accurate and approved by a duly authorised member of the RTO's staff.

### Standard 12.2

The RTO must obtain prior written permission from any person or organisation for use of any marketing or advertising material which refers to that person or organisation, and must abide by any conditions of that permission.

### Standard 12.3

The RTO must accurately represent to prospective clients training products and services that lead to AQF qualifications or statements of attainment, and ensure that advertised outcomes are consistent with these qualifications.

twelve

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include accurate RTO marketing material approved by an authorised member of its staff.

Example of evidence of compliance (not to be read as a comprehensive list):

- organisational chart, business plans, annual reports
- correspondence, agreements, documented processes and minutes of meetings to review and approve marketing materials
- copyright approval
- courses/qualification titles and codes are accurate and use correct nomenclature
- marketing and advertising materials contain no misleading information
- website and other marketing and advertising information
- only courses/qualifications on RTO's scope of registration are promoted as accredited
- disclaimers on enrolment forms
- interviews of clients to confirm the accuracy of RTO marketing and advertising.

## Evidence

---

Evidence must include RTO marketing or advertising material demonstrating prior written permission and adherence to conditions of use of the material.

## Evidence

---

Evidence must include the RTO's training products and services showing accurate representation to clients on how they lead to AQF qualifications or statements of attainment. Evidence must also include material showing the advertised outcomes are consistent with these qualifications.

## STANDARDS FOR REGISTERED TRAINING ORGANISATIONS

---

### Standard 12 Ethical marketing and advertising (cont'd)

#### Standard 12.4

---

The RTO must advertise AQF qualifications only if they are included in the RTO's scope of registration and must not state or imply that services are within that scope of registration if they are not.

#### Standard 12.5

---

The RTO's marketing and advertising material must identify training and assessment services leading to AQF qualifications and/or statements of attainment separately from any other training/assessment services.

# GUIDE TO EVIDENCE

---

## Evidence and examples

---

Evidence must include advertisements of AQF qualifications only when included in the RTO's scope of registration.

Examples of evidence of compliance (not to be read as a comprehensive list):

- course brochures, website information, handbooks
- media events, advertising material showing consistency between what is said in the advertising material and the actual products and services offered by the RTO
- advertisements outlining AQF qualifications offered by the RTO, consistent with the RTO's scope of registration
- interview with clients confirming the clarity and accuracy of RTO information about the outcomes of training.

## Evidence and examples

---

Evidence must include RTO marketing and advertising material that differentiates between training and assessment services leading to AQF qualifications and/or statements of attainment and any other training/assessment services the RTO provides.

Examples of evidence of compliance (not to be read as a comprehensive list):

- advertising and marketing material for training and assessment services leading to AQF qualifications and/or statements of attainment
- advertising and marketing material for other RTO training and assessment services
- interviews with clients confirming marketing and advertising materials are clear in distinguishing between the two types of services.

## SECTION 2

### SELF-ASSESSMENT RESOURCES

#### Section two

The self-assessment resources are suggested resources only. They can be used by an RTO to record evidence of compliance with the *Standards for Registered Training Organisations*. The format can also be changed to suit the needs of an RTO.

#### TEMPLATE 1. SELF-ASSESSMENT – REPORT

The self-assessment report template provides for each standard to be replicated on a separate page, as laid out in this guide. It allows space to note the evidence your RTO shows for compliance with the standard. The space at the base of the table is to note any areas where there is no evidence of compliance with the standard, or where there are opportunities for continuous improvement.

If you are an RTO using this resource as part of an internal audit or self-assessment process, it is helpful to also refer to Australian Standard/New Zealand Standard (AS/NZS) 19011:2003, which provides advice on how to conduct internal audits. This standard specifies the responsibilities of internal auditors, discusses the development of an audit team and provides advice on how to collect evidence.

It is important to assess whether policies and procedures are actually achieving their intended outcome. To do this, it is essential to 'dig deeper' by checking their implementation.

It might be helpful to think about evidence of compliance with each standard in the following way:

1. What policies and procedures have been documented to show the RTO is complying with the standard?
2. How can you show these policies and procedures are actually working?
3. How can you show you review the effectiveness of these policies and procedures, and include what you learn into your continuous improvement processes?

AS/NZS 19011:2003 suggests that evidence should be collected through a variety of methods, including interviews, for example, with students, industry partners and members of staff, and through observation and examination of documentation.

#### TEMPLATE 2. SELF-ASSESSMENT – SUMMARY OF RECOMMENDATIONS

The summary of recommendations template can be used to sum up any recommendations that emerge from self-assessment or internal audit activities.



# Template 1

## SELF-ASSESSMENT – REPORT *Standards for Registered Training Organisations*

Authorisation: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

**Standard 1. Systems for quality training and assessment** Compliant Yes  No

The RTO has systems in place to plan for and provide quality training and assessment across all of its operation. **Evidence to indicate compliance**

- .....
- 1.1 a The RTO must keep written policies and procedures for ensuring quality training and assessment consistent with its scope of registration and scale of operations. ○ .....
- .....
- .....

### Improvement action

- 1. ....
- 2. ....

## Self-assessment – report

# Self-assessment – summary : Template 2

<b>SELF-ASSESSMENT – SUMMARY OF RECOMMENDATIONS</b> <i>Standards for Registered Training Organisations</i>			
<b>STANDARD</b>	<b>RECOMMENDATION</b> (high/medium/low)	<b>PRIORITY AND/OR DATE</b>	<b>RESPONSE</b>
<b>1.1 a</b> The RTO must keep written policies and procedures for ensuring quality training and assessment consistent with its scope of registration and scale of operations.	1. .... 2. .... 3. ....		

## CONTACT DETAILS

### Australian Government

Department of Education, Science and Training  
16 – 18 Mort Street  
PO Box 9880  
Canberra ACT 2600  
Ph: (02) 6240 8111 Fax: (02) 6240 7033

• • •  
Australian  
Government

### State and territory training authorities

#### New South Wales

NSW Vocational and Education Training  
Accreditation Board  
Department of Education and Training  
Level 14, 1 Oxford Street, Darlinghurst NSW 2010  
Locked Bag 21, Darlinghurst NSW 1300  
Ph: (02) 9244 5335 Fax: (02) 9244 5344  
[www.vetab.nsw.gov.au](http://www.vetab.nsw.gov.au)

#### South Australia

Employment and Skills Formation  
Quality Branch  
Department of Further Education, Employment,  
Science and Technology  
GPO Box 320, Adelaide SA 5001  
Phone: (08) 8226 3065 Fax: (08) 8226 0429  
[www.training.sa.gov.au](http://www.training.sa.gov.au)

#### Victoria

Employment, Training and Tertiary Education  
2 Treasury Place, East Melbourne VIC 3002  
GPO Box 266D, Melbourne VIC 3001  
Ph: (03) 9637 2762 Fax: (03) 9637 2520  
[www.ette.vic.gov.au](http://www.ette.vic.gov.au)

#### Australian Capital Territory

Department of Education and Community Services  
ACT Accreditation and Registration Council  
Level 5, 40 Allara Street, Canberra City  
PO Box 985, Civic Square ACT 2608  
Ph: (02) 6205 7777 Fax: (02) 6205 7045  
[www.decs.act.gov.au/services/Training.htm](http://www.decs.act.gov.au/services/Training.htm)

#### Queensland

Department of Employment and Training  
Training Quality and Regulation  
Level 3, Education House  
30 Mary Street, Brisbane QLD 4001  
Locked Mail Bag 527, GPO Brisbane QLD 4001  
Ph: (07) 3247 5477 Fax: (07) 3247 5488  
[www.det.qld.gov.au](http://www.det.qld.gov.au)

#### Northern Territory

Employment and Training Division  
Department of Employment Education  
and Training  
Level 11 Mitchell Centre  
M55- 59 Mitchell Street  
GPO Box 4821, Darwin NT 0801  
Phone: (08) 89011340 Fax: (08) 89011326  
[www.deet.nt.gov.au](http://www.deet.nt.gov.au)

#### Western Australia

Training Accreditation Council  
22 Hasler Road, Osborne Park WA 6017  
Ph: (08) 9441 1912 Fax: (08) 9235 6142  
[www.tac.wa.gov.au](http://www.tac.wa.gov.au)

#### Tasmania

Tasmanian Qualifications Authority  
Level 5, Kirksway House  
2 Kirksway Place, Battery Point  
PO Box 147, Sandy Bay, TAS 7006  
Ph: (03) 6233 6364 Fax: (03) 6224 0175  
[www.tqa.tas.gov.au](http://www.tqa.tas.gov.au)

• • •  
States and territories

