

Training Accreditation Council [AUDIT TYPE] Audit Report

Legal Name	[RTO Legal Name]
Trading Name	[RTO Trading Name]
RTO Number	[RTO Number]
Main Address	[RTO Main Address]

Training Products Reviewed at Audit:

[Training Product 1]
- [Unit of competency 1]
- [Unit of competency 2]

[Training Product 2]

[Training Product 3]

Audit Team:

Lead Auditor	[name]		
	Email	[email]	Phone [phone]

Co-Auditor	[name]		
	Email	[email]	Phone [phone]

Observer	[name]		
	Email	[email]	Phone [phone]

Registering Body:

Regulation Officer	[name]		
	Email	[email]	Phone [phone]

Audit Details

Audit Date	[Date]
Audit Method	[Method]
Outline of the organisation's operational environment	<ul style="list-style-type: none">Outline of the organisation's operational environment, including Modes of Delivery, and Applications – Why applying and other factors to be determined in order to give a more comprehensive picture to Council
Stakeholders the organisation engages with	<ul style="list-style-type: none">Stakeholders the RTO engages with
Cohort of students	<ul style="list-style-type: none">Cohort of students (intended cohort for initials)
Number of Current Students	<ul style="list-style-type: none">Number of current students
Number of Current Staff	<ul style="list-style-type: none">Number of current staff
Number of enrolments within the past 12 months	<ul style="list-style-type: none">Number of enrolments within the past 12 months
VDSS delivery	<ul style="list-style-type: none">Yes/No
Funding Arrangements	<ul style="list-style-type: none">DTWD contract, VET-FEE-HELP

Site/s Audited	[audit address]
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Standards Audited

Outcome Standards

Quality Area 1 – Training and assessment	1.1, 1.2, 1.3,1.4, 1.5, 1.6, 1.7, 1.8
Quality Area 2 – VET student support	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8
Quality Area 3 – VET workforce	3.1, 3.2, 3.3
Quality Area 4 – Governance	4.1, 4.2, 4.3, 4.4

Compliance Standards

Information and Transparency	7.1, 7.2, 7.3, 8.1
Integrity of Nationally Recognised Training Products	9.1, 9.2, 10.1, 11.1, 11.2, 12.1, 12.2, 12.3, 12.4, 12.5, 13.1, 14.1, 14.2
Accountability	15.1, 15.2, 15.3, 16.1, 16.2, 16.3, 16.4, 16.5, 17.1, 17.2, 18.1, 18.2, 18.3, 18.4, 19.1, 20.1

Interviews conducted by Auditor at Audit

Staff	Staff Name [name] [name]	Position/Title [position] [position]	Entry <input type="checkbox"/> <input type="checkbox"/>	Exit <input type="checkbox"/> <input type="checkbox"/>
Students	Identifier [Student A] [Student B]	Comment		

Summary of Overall Audit Outcomes

Overall Level of Compliance

The RTO is **compliant/non compliant** with the Registration Standards 2025: **NON COMPLIANT – MINOR/ NON COMPLIANT – SIGNIFICANT / NON COMPLIANT – CRITICAL/ NON COMPLIANT – CRITICAL LEADING TO DEATH/ COMPLIANT**

Compliance Statement	eg Non Compliant Significant : The requirements of the Registration Standards 2025 have not been met based on the evidence reviewed and there are indications of a significant adverse impact on learners and/or other consumers of goods and services produced in the training environment or the current (or future) workplace.
Auditor Justification	[Where an RTO non compliant justification for level [Where an RTO is compliant] Summary of how the RTO is delivering quality VET]

Audit Findings

Outcome Standards

Quality Area	Compliant	Non Compliant
Quality Area 1 – Training and assessment	Training Product 1: Standards	Training Product 1: Standards
	Training Product 2: Standards	Training Product 2: Standards
Quality Area 2 – VET student support	Standards	Standards
Quality Area 3 – VET workforce	Training Product 1: Standards	Training Product 1: Standards
	Training Product 2: Standards	Training Product 2: Standards
Quality Area 4 – Governance	Standards	Standards

Compliance Standards

Area	Compliant	Non Compliant
Information and Transparency	Standards	Standards
Integrity of Nationally Recognised Training Products	Standards	Standards
Accountability	Standards	Standards

Strengths and Opportunities for Improvement

Strengths identified	[Outline areas of strength/good practice]
Opportunities for improvement identified	[Provide suggestions of improvements the RTO could make]

Audit Report

Outcome Standards

Quality Area 1 – Training and assessment

This part addresses Outcome 1: Quality training and assessment engages VET students and enables them to attain nationally recognised, industry relevant competencies.

Overall comment on Quality Area 1	[Short summary on how the RTO has contextualised this Standard within their operation] – Guided by RTO summary from application form
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TRAINING PRODUCT 1

Outcome Standard

1.1 - Training is engaging, well-structured and enables VET students to attain skills and knowledge consistent with the training product.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

1.1 (a) The RTO demonstrates: training is consistent with the requirements of the training product	Not Demonstrated
1.1 (b) The RTO demonstrates: the modes of delivery enable VET students to attain skills and knowledge consistent with the training product	Not Demonstrated
1.1 (c) The RTO demonstrates: training is structured and paced to support VET students to progress, providing sufficient time for instruction, practice, feedback and assessment	Not Demonstrated
1.1 (d) The RTO demonstrates: training techniques, activities and resources engage VET students and support their understanding	Not Demonstrated
1.1 (e) The RTO demonstrates: where the training product requires work placements or other community-based learning, necessary skills and knowledge are able to be attained in that environment.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 2

Outcome Standard

1.1 - Training is engaging, well-structured and enables VET students to attain skills and knowledge consistent with the training product.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

1.1 (a) The RTO demonstrates: training is consistent with the requirements of the training product	Not Demonstrated
1.1 (b) The RTO demonstrates: the modes of delivery enable VET students to attain skills and knowledge consistent with the training product	Not Demonstrated
1.1 (c) The RTO demonstrates: training is structured and paced to support VET students to progress, providing sufficient time for instruction, practice, feedback and assessment	Not Demonstrated
1.1 (d) The RTO demonstrates: training techniques, activities and resources engage VET students and support their understanding	Not Demonstrated
1.1 (e) The RTO demonstrates: where the training product requires work placements or other community-based learning, necessary skills and knowledge are able to be attained in that environment.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 1

Outcome Standard

1.2. Engagement with industry, employer and community representatives effectively informs the industry relevance of training offered by the RTO.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

1.2 (a) The RTO demonstrates: how it identifies relevant industry, employer and community representatives and seeks meaningful advice and feedback from those representatives	Not Demonstrated
1.2 (b) The RTO demonstrates: it uses relevant advice and feedback to inform changes to training and assessment strategies and practices	Not Demonstrated
1.2 (c) The RTO demonstrates: training reflects current industry practice	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 2

Outcome Standard

1.2. Engagement with industry, employer and community representatives effectively informs the industry relevance of training offered by the RTO.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

1.2 (a) The RTO demonstrates: how it identifies relevant industry, employer and community representatives and seeks meaningful advice and feedback from those representatives	Not Demonstrated
1.2 (b) The RTO demonstrates: it uses relevant advice and feedback to inform changes to training and assessment strategies and practices	Not Demonstrated
1.2 (c) The RTO demonstrates: training reflects current industry practice	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 1

Outcome Standard

1.3. The assessment system is fit-for-purpose and consistent with the training product.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators

1.3 (a) The RTO demonstrates: the assessment is consistent with the requirements of the training product	Not Demonstrated
1.3 (b) The RTO demonstrates: assessment tools are reviewed prior to use to ensure assessment can be conducted in a way that is consistent with the principles of assessment and rules of evidence set out under Standard 1.4 and	Not Demonstrated
1.3 (c) The RTO demonstrates: the outcomes of any such reviews inform any necessary changes to assessment tools	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 2

Outcome Standard

1.3. The assessment system is fit-for-purpose and consistent with the training product.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators

1.3 (a) The RTO demonstrates: the assessment is consistent with the requirements of the training product	Not Demonstrated
1.3 (b) The RTO demonstrates: assessment tools are reviewed prior to use to ensure assessment can be conducted in a way that is consistent with the principles of assessment and rules of evidence set out under Standard 1.4 and	Not Demonstrated

1.3 (c) The RTO demonstrates: the outcomes of any such reviews inform any necessary changes to assessment tools	Not Demonstrated
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Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 1

Outcome Standard

1.4. The assessment system ensures assessment is conducted in a way that is fair and appropriate and enables accurate assessment judgement of VET student competency.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators

1.4 (a) The RTO demonstrates: the assessment system facilitates assessment which must be conducted in accordance with the following principles: <ul style="list-style-type: none"> (i) fairness – assessment accommodates the needs of the VET student, including implementing reasonable adjustments where appropriate and enabling reassessment where necessary (ii) flexibility – assessment is appropriate to the context, training product and VET student, and assesses the VET student's skills and knowledge that are relevant to the training product, regardless of how or where the VET student has acquired those skills or that knowledge (iii) validity – assessment includes practical application components that enable the VET student to demonstrate the relevant skills and knowledge in a practical setting; and (iv) reliability – assessment evidence is interpreted consistently by assessors and the outcomes of assessment are comparable irrespective of which assessor is conducting the assessment. 	Not Demonstrated
1.4 (b) The RTO demonstrates: assessors make individual assessment judgements that are justified based on the following rules of evidence: <ul style="list-style-type: none"> (i) validity – assessment evidence is adequate, such that the assessor can be reasonably assured that the VET student 	Not Demonstrated

<p>possesses the skills and knowledge described in the training product</p> <p>(ii) sufficiency – the quality, quantity and relevance of the assessment evidence enables the assessor to make an informed judgement of the VET student's competency in the skills and knowledge described in the training product</p> <p>(iii) authenticity – the assessor is assured that a VET student's assessment evidence is the original and genuine work of that VET student and</p> <p>(iv) currency – the assessment evidence presented to the assessor documents and demonstrates the VET student's current skills and knowledge.</p>	
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Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 2

Outcome Standard

1.4. The assessment system ensures assessment is conducted in a way that is fair and appropriate and enables accurate assessment judgement of VET student competency.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators

<p>1.4 (a) The RTO demonstrates: the assessment system facilitates assessment which must be conducted in accordance with the following principles:</p> <p>(i) fairness – assessment accommodates the needs of the VET student, including implementing reasonable adjustments where appropriate and enabling reassessment where necessary</p> <p>(ii) flexibility – assessment is appropriate to the context, training product and VET student, and assesses the VET student's skills and knowledge that are relevant to the training product, regardless of how or where the VET student has acquired those skills or that knowledge</p> <p>(iii) validity – assessment includes practical application</p>	Not Demonstrated
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<p>components that enable the VET student to demonstrate the relevant skills and knowledge in a practical setting; and</p> <p>(iv) reliability – assessment evidence is interpreted consistently by assessors and the outcomes of assessment are comparable irrespective of which assessor is conducting the assessment.</p>	
<p>1.4 (b) The RTO demonstrates: assessors make individual assessment judgements that are justified based on the following rules of evidence:</p> <p>(i) validity – assessment evidence is adequate, such that the assessor can be reasonably assured that the VET student possesses the skills and knowledge described in the training product</p> <p>(ii) sufficiency – the quality, quantity and relevance of the assessment evidence enables the assessor to make an informed judgement of the VET student's competency in the skills and knowledge described in the training product</p> <p>(iii) authenticity – the assessor is assured that a VET student's assessment evidence is the original and genuine work of that VET student and</p> <p>(iv) currency – the assessment evidence presented to the assessor documents and demonstrates the VET student's current skills and knowledge.</p>	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 1

Outcome Standard

1.5. Assessment system is quality assured by appropriately skilled and credentialed persons through a regular process of validating assessment practices and judgements.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators

1.5 (a) The RTO demonstrates: validation of assessment practices and judgements ensure the assessment system produces assessment judgements that are consistent with the training product and comply with the requirements set out in this instrument	Not Demonstrated
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1.5 (b) The RTO demonstrates: every training product on the organisation's scope of registration is validated at least once every five years and on a more frequent basis where the organisation becomes aware of risks to training outcomes, any changes to the training product or receives relevant feedback from VET students, trainers, assessors, and industry	Not Demonstrated
1.5 (c) The RTO demonstrates: it utilises a risk-based approach – informed by any risks to training outcomes, any changes to the training product or any feedback from VET students, trainers, assessors, and industry – to determine: (i) the components of the assessment system for a training product which are to be validated and (ii) the sample size of assessments that are to be validated in respect of a particular training product.	Not Demonstrated
1.5 (d) The RTO demonstrates: in addition to the requirements in paragraph (b), the assessment system for an AQF qualification or skill set from the Training and Education Training Package that enables individuals to make assessment judgements (as specified in the Credential Policy) has been or will be validated: (i) once the first cohort of VET students with the organisation have completed their training and assessment and (ii) by a person who is independent, not employed or subcontracted by the organisation to provide training and assessment, and has no other involvement or interest in the organisation's operations.	Not Demonstrated
1.5 (e) The RTO demonstrates: validation is undertaken by one or more people who collectively have: (i) industry competencies, skills and knowledge relevant to the training product (ii) a practical understanding of current industry practices relevant to the training product and (iii) one of the credentials for validation specified in the Credential Policy.	Not Demonstrated
1.5 (f) The RTO demonstrates: the outcome of an assessment validation is not solely determined by a person who has designed or delivered the training or assessment	Not Demonstrated
1.5 (g) The RTO demonstrates: how outcomes of an assessment validation are used to inform changes to the assessment system.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 2

Outcome Standard

1.5. Assessment system is quality assured by appropriately skilled and credentialed persons through a regular process of validating assessment practices and judgements.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators

1.5 (a) The RTO demonstrates: validation of assessment practices and judgements ensure the assessment system produces assessment judgements that are consistent with the training product and comply with the requirements set out in this instrument	Not Demonstrated
1.5 (b) The RTO demonstrates: every training product on the organisation's scope of registration is validated at least once every five years and on a more frequent basis where the organisation becomes aware of risks to training outcomes, any changes to the training product or receives relevant feedback from VET students, trainers, assessors, and industry	Not Demonstrated
1.5 (c) The RTO demonstrates: it utilises a risk-based approach – informed by any risks to training outcomes, any changes to the training product or any feedback from VET students, trainers, assessors, and industry – to determine: (i) the components of the assessment system for a training product which are to be validated and (ii) the sample size of assessments that are to be validated in respect of a particular training product.	Not Demonstrated
1.5 (d) The RTO demonstrates: in addition to the requirements in paragraph (b), the assessment system for an AQF qualification or skill set from the Training and Education Training Package that enables individuals to make assessment judgements (as specified in the Credential Policy) has been or will be validated: (i) once the first cohort of VET students with the organisation have completed their training and assessment and (ii) by a person who is independent, not employed or subcontracted by the organisation to provide training and assessment, and has no other involvement or interest in the organisation's operations.	Not Demonstrated
1.5 (e) The RTO demonstrates: validation is undertaken by one or more people who collectively have: (i) industry competencies, skills and knowledge relevant to the training product (ii) a practical understanding of current industry practices relevant to the training product and (iii) one of the credentials for validation specified in the Credential Policy.	Not Demonstrated

1.5 (f) The RTO demonstrates: the outcome of an assessment validation is not solely determined by a person who has designed or delivered the training or assessment	Not Demonstrated
1.5 (g) The RTO demonstrates: how outcomes of an assessment validation are used to inform changes to the assessment system.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 1

Outcome Standard

1.6 VET students with prior skills, knowledge and competencies are supported to seek recognition of prior learning to progress through the relevant training product.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators NOT DEMONSTRATED

1.6 (a) The RTO demonstrates: VET students are offered opportunities to seek recognition of prior learning and are made aware of the organisation's policies for seeking recognition of prior learning	Not Demonstrated
1.6 (b) The RTO demonstrates: decisions relating to recognition of prior learning are based on evidence of prior skills, learning and experience, and are undertaken in accordance with the organisation's assessment system	Not Demonstrated
1.6 (c) The RTO demonstrates: decisions relating to recognition of prior learning are documented and decided in a way that is fair, transparent, consistent amongst VET students, and maintains the integrity of the training product.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of

rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 2

Outcome Standard

1.6 VET students with prior skills, knowledge and competencies are supported to seek recognition of prior learning to progress through the relevant training product.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators

1.6 (a) The RTO demonstrates: VET students are offered opportunities to seek recognition of prior learning and are made aware of the organisation's policies for seeking recognition of prior learning	Not Demonstrated
1.6 (b) The RTO demonstrates: decisions relating to recognition of prior learning are based on evidence of prior skills, learning and experience, and are undertaken in accordance with the organisation's assessment system	Not Demonstrated
1.6 (c) The RTO demonstrates: decisions relating to recognition of prior learning are documented and decided in a way that is fair, transparent, consistent amongst VET students, and maintains the integrity of the training product.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 1

Outcome Standard

1.7 VET students who have completed an equivalent training product are supported to obtain a credit transfer.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators

1.7 (a) The RTO demonstrates: VET students are offered opportunities to seek credit transfer and are made aware of the organisation's policies for seeking credit transfer	Not Demonstrated
1.7 (b) The RTO demonstrates: decisions relating to credit transfer are based on evidence of prior completion of an equivalent training product demonstrated by AQF certification documentation or an authenticated VET transcript (unless prevented by licensing or regulatory requirements of the training product) and	Not Demonstrated
1.7 (c) The RTO demonstrates: decisions relating to credit transfer are documented and decided in a way that is fair, transparent, consistent amongst VET students, and maintains the integrity of the training product.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 2

Outcome Standard

1.7 VET students who have completed an equivalent training product are supported to obtain a credit transfer.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators

1.7 (a) The RTO demonstrates: VET students are offered opportunities to seek credit transfer and are made aware of the organisation's policies for seeking credit transfer	Not Demonstrated
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1.7 (b) The RTO demonstrates: decisions relating to credit transfer are based on evidence of prior completion of an equivalent training product demonstrated by AQF certification documentation or an authenticated VET transcript (unless prevented by licensing or regulatory requirements of the training product) and	Not Demonstrated
1.7 (c) The RTO demonstrates: decisions relating to credit transfer are documented and decided in a way that is fair, transparent, consistent amongst VET students, and maintains the integrity of the training product.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 1

Outcome Standard

1.8 Facilities, resources and equipment for each training product are fit-for-purpose, safe, accessible and sufficient.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators

1.8 (a) The RTO demonstrates: how it identifies the facilities, resources and equipment required to deliver the training product, including how it identifies which facilities, resources and equipment will be provided by third parties, instead of the organisation	Not Demonstrated
1.8 (b) The RTO demonstrates: where facilities, resources and equipment are provided by the organisation or third parties – how the organisation ensures: (i) that the facilities, resources and equipment are, and will continue to be suitable and safe for use by VET students and (ii) that VET students have access to the facilities, resources and equipment they need to participate in the training and assessment relevant to the training product.	Not Demonstrated
1.8 (c) The RTO demonstrates: it has documented strategies and procedures in place to identify and manage risks associated with VET students using facilities, resources and equipment when undertaking work-integrated learning, work placements, or other community-based learning as part of their training.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 2**Outcome Standard**

1.8 Facilities, resources and equipment for each training product are fit-for-purpose, safe, accessible and sufficient.	[Compliant/ Non Compliant/ Not Audited]
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Performance Indicators

1.8 (a) The RTO demonstrates: how it identifies the facilities, resources and equipment required to deliver the training product, including how it identifies which facilities, resources and equipment will be provided by third parties, instead of the organisation	Not Demonstrated
1.8 (b) The RTO demonstrates: where facilities, resources and equipment are provided by the organisation or third parties – how the organisation ensures: (i) that the facilities, resources and equipment are, and will continue to be suitable and safe for use by VET students and (ii) that VET students have access to the facilities, resources and equipment they need to participate in the training and assessment relevant to the training product.	Not Demonstrated
1.8 (c) The RTO demonstrates: it has documented strategies and procedures in place to identify and manage risks associated with VET students using facilities, resources and equipment when undertaking work-integrated learning, work placements, or other community-based learning as part of their training.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Quality Area 2 – VET student support

This part addresses Outcome 2: VET students are treated fairly and properly informed, supported and protected.

Overall comment on Quality Area 1	[Short summary on how the RTO has contextualised this Standard within their operation] – Guided by RTO summary from application form
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Outcome Standard

2.1 VET students have access to clear and accurate information concerning the organisation, the relevant training product, and students are made aware of any changes that may affect them.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

2.1 (a) The RTO demonstrates: all information provided to VET students by the organisation or any third parties is clear, accurate and current	Not Demonstrated
2.1 (b) The RTO demonstrates: how it identifies which information VET students require prior to their enrolment and how that information is communicated to VET students prior to their enrolment	Not Demonstrated
2.1 (c) The RTO demonstrates: the following information is easily accessible by VET students: (i) the training product code and title, duration, modes of delivery, training delivery location, training commencement dates, scheduling, any requirements to commence or complete the training product including assessment requirements, whether any licencing or occupational licence requirements apply, and details of any third party arrangements that apply to the delivery of the training (ii) the training support services and wellbeing support services that are available to the VET student, and how the student can access those services (iii) all fees, costs and charges associated with the provision of the training product which VET students may incur, including payment terms and conditions, any applicable refund policies and the availability of any relevant government training entitlements and subsidies (iv) any obligations or liabilities which may be imposed on VET students undertaking the training product, including any obligations requiring VET students to acquire any materials, equipment or IT, any costs and processes associated with withdrawing from training, any costs and processes associated with obtaining a Student Identifier, and any requirements for VET students to undertake work placements	Not Demonstrated
2.1 (d) The RTO demonstrates: the organisation provides all VET students with documentation prior to their enrolment or before any fees are required to be paid which sets out: (i) the training which the organisation or third parties will provide the VET student (ii) all fees, costs and charges which the VET student will be required to pay and	Not Demonstrated

(iii) any obligations or liabilities which may be imposed by the organisation or third parties on the VET student and	
2.1 (e) The RTO demonstrates: that it informs VET students, as soon as practicable, of any changes to training products or the organisation's operations that may affect VET students, including any changes relating to the transition of superseded, deleted, or expired training products.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Outcome Standard

2.2 VET students are advised, prior to enrolment, about the suitability of the training product for them, taking into account the student's skills and competencies.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

2.2 (a) The RTO demonstrates: taking into account the requirements of the training product – it has procedures in place to review, prior to enrolment, the skills and competencies of prospective VET students, including their language, literacy and numeracy proficiency and digital literacy and	Not Demonstrated
2.2 (b) The RTO demonstrates: based upon the outcome of the review – it provides advice to each prospective VET student about whether the training product is suitable for them.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Outcome Standard

2.3 VET students have access to support services, trainers and assessors and other staff to support their progress throughout the training product.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

2.3 (a) The RTO demonstrates: how it determines the training support services to be provided to each VET student and how it makes these training support services available to each VET student	Not Demonstrated
2.3 (b) The RTO demonstrates: VET students have access to trainers, assessors and other staff who are responsible for supporting the VET student	Not Demonstrated
2.3 (c) The RTO demonstrates: VET students are informed by the organisation about how and when they can access trainers, assessors and other staff who are responsible for supporting the VET student and	Not Demonstrated
2.3 (d) The RTO demonstrates: queries from VET students are responded to in a timely manner.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Outcome Standard

2.4 Reasonable adjustments are made to support VET students with disability to access and participate in training and assessment on an equal basis.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

2.4 (a) The RTO demonstrates: VET students are supported to disclose their disability, if the VET student wishes to do so	Not Demonstrated
2.4 (b) The RTO demonstrates: reasonable adjustments are made for VET students with disability where appropriate and	Not Demonstrated
2.4 (c) The RTO demonstrates: where reasonable adjustments are not appropriate or possible, the reasons why are communicated to the VET student as soon as reasonably practicable.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Outcome Standard

2.5 The learning environment promotes and supports the diversity of VET students.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

2.5 (a) The RTO demonstrates: it fosters a safe and inclusive learning environment for VET students and	Not Demonstrated
2.5 (b) The RTO demonstrates: it fosters a culturally safe learning environment for First Nations people.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Outcome Standard

2.6 The wellbeing needs of the VET student cohort are identified and strategies are put in place to support these needs.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

2.6 (a) The RTO demonstrates: it identifies, by reference to the training product content, the wellbeing needs of the VET student cohort and appropriate wellbeing support services and	Not Demonstrated
2.6 (b) The RTO demonstrates: it advises the VET student cohort of the availability of wellbeing support services, and any organisation students can contact, or additional action students can take to support their wellbeing.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Outcome Standard

2.7 Feedback and complaints management addresses concerns and informs continuous improvement of the RTO.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

2.7 (a) The RTO demonstrates: it operates a complaints management system that: (i) allows feedback and complaints about the organisation, any third parties, and any person employed or contracted by the organisation (ii) ensures all parties are afforded procedural fairness (iii) identifies reasonable timeframes for responding to and resolving complaints and (iv) provides avenues for further action where complaints are not resolved.	Not Demonstrated
2.7 (b) The RTO demonstrates: information about how to provide feedback and make complaints through the complaints management system is publicly available and easily accessible by VET students	Not Demonstrated
2.7 (c) The RTO demonstrates: VET students are supported to provide feedback and make complaints	Not Demonstrated
2.7 (d) The RTO demonstrates: outcomes of complaints are documented by the organisation and communicated to all parties to the complaint and	Not Demonstrated
2.7 (e) The RTO demonstrates: feedback and complaints are used by the organisation to inform continuous improvement.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Outcome Standard

2.8 Effective appeal processes are available to VET students where decisions of the RTO or a third party adversely affect the student.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

2.8 (a) The RTO demonstrates: it operates an appeals management system that: (i) allows VET students to appeal decisions of the organisation, any third parties, and any person employed or contracted by the organisation, where those decisions adversely affect the student (ii) ensures all parties to the appeal are afforded procedural fairness; (iii) specifies reasonable timeframes for actioning appeals; and (iv) provides avenues for review by an independent party if requested by the appellant (at no or low cost to the appellant).	Not Demonstrated
2.8 (b) The RTO demonstrates: information about how to appeal an adverse decision through the appeals management system is publicly available and easily accessible by VET students	Not Demonstrated
2.8 (c) The RTO demonstrates: outcomes of appeals are documented by the organisation and communicated to the appellant and	Not Demonstrated
2.8 (d) The RTO demonstrates: the outcomes of appeals are used by the organisation to inform continuous improvement.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Quality Area 3 – VET workforce

This part addresses Outcome 3: VET students are trained, assessed and supported by people who are qualified, skilled and committed to professional development

Overall comment on Quality Area 3	<i>[Short summary on how the RTO has contextualised this Standard within their operation] – Guided by RTO summary from application form</i>
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Outcome Standard

3.1 The workforce is effectively managed to ensure appropriate staffing to deliver services.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

3.1 (a) The RTO demonstrates: how it ensures the number of trainers, assessors and other staff are appropriate for the delivery of the services it offers and	Not Demonstrated
3.1 (b) The RTO demonstrates: it facilitates access to continuing professional development opportunities to enable staff of the organisation to effectively perform their role.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 1

Outcome Standard

3.2 Training and assessment is delivered to VET students by credentialled people with current skills and knowledge in training and assessment.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

3.2 (a) The RTO demonstrates: training and assessment is only delivered by persons who hold the appropriate credentials for the delivery of training and assessment as specified in the Credential Policy;	Not Demonstrated
3.2 (b) The RTO demonstrates: where the Credential Policy permits a person to deliver any training or assessment under direction – the organisation has systems in place that ensure the person does not make assessment judgements and is delivering quality training and assessment	Not Demonstrated

3.2 (c) The RTO demonstrates: how it ensures all trainers and assessors undertake continuing professional development to maintain current skills and knowledge in training and assessment, including skills and knowledge relating to engaging and supporting VET students.	Not Demonstrated
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Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 2

Outcome Standard

3.2 Training and assessment is delivered to VET students by credentialed people with current skills and knowledge in training and assessment.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

3.2 (a) The RTO demonstrates: training and assessment is only delivered by persons who hold the appropriate credentials for the delivery of training and assessment as specified in the Credential Policy;	Not Demonstrated
3.2 (b) The RTO demonstrates: where the Credential Policy permits a person to deliver any training or assessment under direction – the organisation has systems in place that ensure the person does not make assessment judgements and is delivering quality training and assessment	Not Demonstrated
3.2 (c) The RTO demonstrates: how it ensures all trainers and assessors undertake continuing professional development to maintain current skills and knowledge in training and assessment, including skills and knowledge relating to engaging and supporting VET students.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 1

Outcome Standard

3.3 Training and assessment is delivered by persons with current industry skills and knowledge relevant to the training product.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

3.3 (a) The RTO demonstrates: all persons delivering training or assessment for, or on behalf of the organisation: (i) have industry competencies, skills and knowledge that are relevant to, and at least to the level of, the training product being delivered or assessed by the person and (ii) maintain an understanding of current industry practices relevant to the training or assessment being delivered by the person.	Not Demonstrated
3.3 (b) The RTO demonstrates: where it engages experts for the purposes of delivering training, it does so: (i) by reference to the requirements of the training product or the specific VET student cohort (ii) in response to a specific need for the expert to be engaged	Not Demonstrated
3.3 (c) The RTO demonstrates: it has a system in place for ensuring: (i) experts have industry competencies, skills, knowledge and specialised industry or subject matter expertise that is directly relevant to the training product they are delivering (ii) experts are only authorised to work under the direction of a person with the appropriate credentials to provide direction on the delivery of training and assessment, as specified in the Credential Policy (iii) where the expert is involved in assessment judgement – they conduct the assessment alongside the trainer or assessor and (iv) the training or assessment the expert is involved in delivering is subject to oversight by the organisation.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

TRAINING PRODUCT 2

Outcome Standard

3.3 Training and assessment is delivered by persons with current industry skills and knowledge relevant to the training product.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

3.3 (a) The RTO demonstrates: all persons delivering training or assessment for, or on behalf of the organisation: (i) have industry competencies, skills and knowledge that are relevant to, and at least to the level of, the training product being delivered or assessed by the person and (ii) maintain an understanding of current industry practices relevant to the training or assessment being delivered by the person.	Not Demonstrated
3.3 (b) The RTO demonstrates: where it engages experts for the purposes of delivering training, it does so: (i) by reference to the requirements of the training product or the specific VET student cohort (ii) in response to a specific need for the expert to be engaged	Not Demonstrated
3.3 (c) The RTO demonstrates: it has a system in place for ensuring: (i) experts have industry competencies, skills, knowledge and specialised industry or subject matter expertise that is directly relevant to the training product they are delivering (ii) experts are only authorised to work under the direction of a person with the appropriate credentials to provide direction on the delivery of training and assessment, as specified in the Credential Policy (iii) where the expert is involved in assessment judgement – they conduct the assessment alongside the trainer or assessor and (iv) the training or assessment the expert is involved in delivering is subject to oversight by the organisation.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Quality Area 4 – Governance

This part addresses Outcome 4: effective governance and a commitment to continuous improvement supports the quality and integrity of VET delivery.

Overall comment on Quality Area 4	<i>[Short summary on how the RTO has contextualised this Standard within their operation] – Guided by RTO summary from application form</i>
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Outcome Standard

4.1 An RTO operates with integrity and maintains accountability for the delivery of quality services.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

4.1 (a) The RTO demonstrates: the organisation and its governing persons are fit and proper persons, having regard to the Fit and Proper Person Requirements made under section 186 of the Act, as in force from time to time	Not Demonstrated
4.1 (b) The RTO demonstrates: its governing persons are suitable persons to oversee the operation of the organisation	Not Demonstrated
4.1 (c) The RTO demonstrates: its governing persons act diligently and make informed decisions which facilitate compliance with this instrument and any other instrument made under section 185 of the Act, as in force from time to time and	Not Demonstrated
4.1 (d) The RTO demonstrates: its governing persons lead a culture of integrity, fairness and transparency in the organisation's delivery of services.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Outcome Standard

4.2 Roles and responsibilities of RTO staff and third parties are clearly defined and understood.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

4.2 (a) The RTO demonstrates: it supports staff members to understand the components of this instrument which are relevant to each staff members' role as an employee of the organisation	Not Demonstrated
4.2 (b) The RTO demonstrates: it informs staff members of any changes to regulatory or legislative requirements that may affect the organisation's delivery of services	Not Demonstrated
4.2 (c) The RTO demonstrates: it has a system in place for ensuring any third parties meet the requirements of this instrument and any other instrument made under section 185 of the Act, as in force from time to time, and are aware of their obligations under these instruments and	Not Demonstrated
4.2 (d) The RTO demonstrates: the roles and responsibilities of persons engaged by the organisation are well-understood and documented, ensuring accountable decision-making.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Outcome Standard

4.3 Any risks to VET students, staff and the organisation itself are identified and managed.	[Compliant/Non Compliant/Not Audited]
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Performance Indicators

4.3 The RTO demonstrates: it identifies, manages and reviews risks to VET students, staff and the organisation;	Not Demonstrated
4.3 (b) The RTO demonstrates: how the financial position, financial performance and cashflows of the organisation are managed, monitored and understood by governing persons	Not Demonstrated
Note: In accordance with section 24 of the Act, NVR registered training organisations must also comply with the Financial Viability Risk Assessment Requirements made under section 158 of the Act.	

4.3 (c) The RTO demonstrates: it has a system for identifying, managing and disclosing any real or apparent conflicts of interest; and	Not Demonstrated
4.3 (d) The RTO demonstrates: where it offers training or assessment to VET students aged under 18 – risks to their safety and wellbeing associated with the organisation's delivery of the training or assessment are identified and managed: (i) by having regard to the training content and modes of delivery; and (ii) in accordance with the National Principles for Child Safe Organisations, as in force from time to time. Note: Section 191A of the Act permits this instrument to make provision in relation to a matter by applying, adopting or incorporating any matter contained in another instrument or other writing as in force or existing from time to time.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Outcome Standard

4.4 An RTO undertakes systematic monitoring and evaluation of the organisation to support quality delivery and the continuous improvement of services.	[Compliant/Non Compliant/Not Audited]
--	--

Performance Indicators

4.4 (a) The RTO demonstrates: it has a system in place for monitoring and evaluating its performance with the requirements set out in this instrument and any other instrument made under section 185 of the Act, as in force from time to time;	Not Demonstrated
4.4 (b) The RTO demonstrates: how outcomes derived from monitoring and evaluating its performance are used to inform continuous improvement and	Not Demonstrated
4.4 (c) The RTO demonstrates: it has mechanisms in place to lawfully collect and analyse data including any feedback received from VET students, staff, industry, VET regulators, State and Territory training authorities and employers of current or former VET students.	Not Demonstrated

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Compliance Standards

Information and Transparency

7. Marketing and Advertising

7.1 An RTO must ensure any advertisements or marketing materials published or disseminated by the organisation, a third party or an expert engaged by the organisation:	[Compliant/Non Compliant/Not Audited]
7.1 (a) include the organisation's registration code or a link to the part of the National Register where the organisation's registration code is located	[Compliant/Non Compliant/Not Audited]
7.1 (b) where the advertisements or marketing materials refer to the organisation's services – accurately represent those services, including by distinguishing the types of training and assessment that will result in the issuance of AQF certification documentation from any other training and assessment delivered by the organisation or a third party	[Compliant/Non Compliant/Not Audited]
7.1 (c) include accurate information regarding any financial support arrangements available in respect of the services referred to in the advertisements or marketing materials	[Compliant/Non Compliant/Not Audited]
7.1 (d) do not refer to or imply a connection with another person unless the consent of that person has been obtained. Note: Section 2C of the <i>Acts Interpretation Act 1901</i> provides that the term "person" includes a body politic or corporate as well as an individual.	[Compliant/Non Compliant/Not Audited]
7.2 Where the advertisements or marketing materials refer to a training product, an RTO must ensure the advertisements or marketing materials:	[Compliant/Non Compliant/Not Audited]
7.2 (a) include the code and title of the training product as published on the National Register	[Compliant/Non Compliant/Not Audited]
7.2 (b) accurately represent the training products on the organisation's scope of registration	[Compliant/Non Compliant/Not Audited]
7.2 (c) only refer to a training product that is no longer current while it remains on the organisation's scope of registration and new enrolments are permitted and	[Compliant/Non Compliant/Not Audited]
7.2 (d) only represent that completion of a training product will lead to a licensed or regulated outcome where this has been confirmed by the relevant industry regulator.	[Compliant/Non Compliant/Not Audited]
7.3 Where advertisements or marketing materials refer to services that an RTO has engaged an expert or third party to deliver – the organisation must ensure the advertisements or marketing materials identify which services will be delivered by the expert or third party, including where an expert or third party is:	[Compliant/Non Compliant/Not Audited]

7.3 (a) recruiting prospective VET students on behalf of the organisation	[Compliant/Non Compliant/Not Audited]
7.3 (b) delivering training and assessment on behalf of the organisation	[Compliant/Non Compliant/Not Audited]

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

8. Guarantees and inducements

8.1 An RTO must not make any verbal or written guarantees that a VET student:	[Compliant/Non Compliant/Not Audited]
8.1 (a) will successfully complete a training product	[Compliant/Non Compliant/Not Audited]
8.1 (b) can complete a training product in a manner which is inconsistent with any of the requirements set out in an instrument made under section 185 of the Act, as in force from time to time	[Compliant/Non Compliant/Not Audited]
8.1 (c) will obtain a particular employment outcome, where obtaining such an employment outcome is not within the organisation's control	[Compliant/Non Compliant/Not Audited]

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

Integrity of Nationally Recognised Training Products

9. Issuance of AQF certification documentation

9.1 An RTO must not issue AQF certification documentation to any person unless the person is a VET student who the organisation has assessed as meeting the requirements of the training product.	[Compliant/Non Compliant/Not Audited]
9.2 Where an RTO has assessed a VET student as meeting the requirements of the training product in accordance with subsection (1), the organisation must ensure the AQF certification documentation is issued to the VET student within 30 calendar days from the completion of the assessment, provided the VET student	[Compliant/Non Compliant/Not Audited]
9.2 (a) has completed the AQF qualification or completed one or more units of an AQF qualification which they have subsequently withdrawn from and	[Compliant/Non Compliant/Not Audited]
9.2 (b) has paid to the organisation all agreed fees associated with the training product.	[Compliant/Non Compliant/Not Audited]

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

*[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC
e.g. wrong training product code on website]*

10. Records of AQF certification documentation and assessments

10.1 An RTO must	[Compliant/Non Compliant/Not Audited]
10.1 (a) maintain a register in accordance with the AQF Qualifications Register Policy of all:	[Compliant/Non Compliant/Not Audited]
(i) AQF qualifications it is authorised to issue and	
(ii) AQF qualifications and VET statements of attainment the organisation has issued to VET students	
10.1 (b) retain records, in accordance with the AQF Qualifications Register Policy, of all AQF certification documentation issued to VET students for a period of thirty years	[Compliant/Non Compliant/Not Audited]

10.1 (c) retain records of all assessments submitted by a VET student to the organisation or a third party for a period of 2 years after the student has completed the training product	[Compliant/Non Compliant/Not Audited]
10.1 (d) ensure VET students – including those previously enrolled with the organisation – are able to access copies of their AQF certification documentation retained under paragraph (b)	[Compliant/Non Compliant/Not Audited]
10.1 (e) upon request from the VET Regulator, provide a report of all AQF qualifications and VET statements of attainment the organisation has issued during the period specified in the Regulator's request.	[Compliant/Non Compliant/Not Audited]

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

11. Issue of VET qualifications and VET statements of attainment

11.1 All VET qualifications issued by an RTO must comply with the AQF Qualifications Issuance Policy and must include:	[Compliant/Non Compliant/Not Audited]
11.1 (a) the name, registration code and logo of the organisation	[Compliant/Non Compliant/Not Audited]
11.1 (b) the code and title of the AQF qualification	[Compliant/Non Compliant/Not Audited]
11.1 (c) the NRT logo – in accordance with the requirements of the NRT Logo Conditions of Use policy	[Compliant/Non Compliant/Not Audited]
11.1 (d) the signature of an individual who the organisation has authorised to sign the AQF qualification	[Compliant/Non Compliant/Not Audited]
11.1 (e) the organisation's seal, corporate identifier or unique watermark	[Compliant/Non Compliant/Not Audited]
11.1 (f) the following statement: "The qualification is recognised within the Australian Qualifications Framework", or any Australian Qualifications Framework logo authorised by the Conditions for the use of the Australian Qualifications Framework Logo policy	[Compliant/Non Compliant/Not Audited]

11.1 (g) where the AQF qualification has an industry descriptor as listed on the National Register in the corresponding training product – the industry descriptor	[Compliant/Non Compliant/Not Audited]
11.1 (h) where the AQF qualification has an occupational or functional stream listed on the National Register under the corresponding training product – the title of the stream in brackets after the code and title of the AQF qualification	[Compliant/Non Compliant/Not Audited]
11.1 (i) where the AQF qualification has been obtained by a VET student in the course of undertaking an Australian apprenticeship – the statement: “Achieved through Australian Apprenticeship arrangements”	[Compliant/Non Compliant/Not Audited]
11.1 (j) where any part of the AQF qualification has been delivered in another language – the statement: “these units of competency/modules have been delivered and assessed in [insert relevant language]” followed by a list of all units of competency or modules that have been delivered in the relevant language.	[Compliant/Non Compliant/Not Audited]
11.2 All VET statements of attainment issued by an RTO must comply with the AQF Qualifications Issuance Policy and must include:	[Compliant/Non Compliant/Not Audited]
11.2 (a) the name, registration code and logo of the organisation	[Compliant/Non Compliant/Not Audited]
11.2 (b) the full title and national code, as set out on the National Register, of: (i) each unit of competency to which the statement relates or (ii) if no units of competency exist – each module to which the statement relates;	[Compliant/Non Compliant/Not Audited]
11.2 (c) the NRT logo – in accordance with the requirements of the NRT Logo Conditions of Use policy	[Compliant/Non Compliant/Not Audited]
11.2 (d) the signature of an individual who the organisation has authorised to sign the statement	[Compliant/Non Compliant/Not Audited]
11.2 (e) the organisation’s seal, corporate identifier or unique watermark	[Compliant/Non Compliant/Not Audited]
11.2 (f) the statement: “A VET statement of attainment is issued by an RTO when an individual has completed one or more accredited units or modules”	[Compliant/Non Compliant/Not Audited]

11.2 (g) where the units of competency form part of a VET course or qualification – the following statement: “These competencies form part of [code and full title of the relevant VET course or qualification]”	[Compliant/Non Compliant/Not Audited]
11.2 (h) where the units of competency have been attained in the course of completing a VET course – the following statement: “These competencies were attained in completion of [VET course code] course in [full title of the VET course]” and	[Compliant/Non Compliant/Not Audited]
11.2 (i) where any of the units of competency or modules listed on the statement have been delivered in another language – the statement: “these units of competency/modules have been delivered and assessed in [insert relevant language]” followed by a list of all units of competency or modules that have been delivered in the relevant language.	[Compliant/Non Compliant/Not Audited]

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

12. Student identifier requirements

12.1 An RTO must:	[Compliant/Non Compliant/Not Audited]
12.1 (a) not include any individual’s student identifier on a VET qualification or VET statement of attainment	[Compliant/Non Compliant/Not Audited]
12.1 (b) request the Registrar to verify that any student identifier provided to it by an individual belongs to that individual before the organisation uses the identifier for any purpose	[Compliant/Non Compliant/Not Audited]
12.2 Subject to subsections (3) and (5), an RTO must not issue a VET qualification or a VET statement of attainment to a VET student unless the student has been assigned a student identifier	[Compliant/Non Compliant/Not Audited]

12.3 The Minister may, in writing and as agreed by the Ministerial Council, specify an issue to which the requirement in subsection (2) does not apply, by reference to one or more of the following:	[Compliant/Non Compliant/Not Audited]
12.3 (a) the organisation doing the issuing	[Compliant/Non Compliant/Not Audited]
12.3 (b) the VET qualification, or VET statement of attainment, being issued	[Compliant/Non Compliant/Not Audited]
12.3 (c) the VET student to whom the VET qualification, or VET statement of attainment, is being issued	[Compliant/Non Compliant/Not Audited]
12.4 Where an exemption described in subsection (3) or subsection 53(3) of the Student Identifiers Act 2014 applies – an RTO must inform the VET student prior to the completion of enrolment or commencement of training and assessment, whichever occurs first, that the results of the training	[Compliant/Non Compliant/Not Audited]
12.4 (a) will not be accessible through the Commonwealth	[Compliant/Non Compliant/Not Audited]
12.4 (b) will not appear on any authenticated VET transcript prepared by the Registrar	[Compliant/Non Compliant/Not Audited]
12.5 Subsections (2) and (3) only apply to RTOs that are not constitutional corporations.	[Compliant/Non Compliant/Not Audited]
Note: Similar requirements to those set out in subsections (2) and (3), that apply to RTOs that are constitutional corporations, are set out in section 53 of the Student Identifiers Act 2014.	

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

13. Nationally Recognised Training logo

13.1 An RTO must ensure that it uses the NRT logo in accordance with the requirements specified in the NRT Logo Conditions of Use policy. **[Compliant/Non Compliant/Not Audited]**

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

14. Transition of training products

14.1 Unless otherwise approved by the VET Regulator an RTO must ensure: **[Compliant/Non Compliant/Not Audited]**

14.1 (a) where a training product is superseded:

(i) no individuals are enrolled in the superseded training product from the period commencing one year from the date the replacement training product was included on the National Register

(ii) all VET students enrolled in the superseded training product have completed the training product and been issued the relevant AQF certification documentation or have been transferred into the replacement training product in a timely manner

14.1 (b) where an AQF qualification is no longer current and has not been superseded – all VET students enrolled in the training and assessment leading to the qualification have, within a period of two years from the date the qualification was removed or deleted from the National Register:

(i) completed the qualification and

(ii) received all AQF certification documentation relating to the qualification

14.1 (c) where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded – all VET students enrolled in the training and assessment have, within one year from the date the training and assessment is deleted from the National Register:

[Compliant/Non Compliant/Not Audited]

[Compliant/Non Compliant/Not Audited]

[Compliant/Non Compliant/Not Audited]

- (i) completed the training and assessment and
- (ii) have received all AQF certification documentation relating to the training and assessment.

14.2 An RTO must ensure the organisation does not allow individuals to commence training and assessment in a training product that has expired, been removed or deleted from the National Register.

**[Compliant/Non
Compliant/Not
Audited]**

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[During the course of the audit, some deficiencies were noted. They were discussed with the provider and the provider remedied these during the audit. This included :]

15. Annual declaration on compliance

15.1 An RTO must submit an annual declaration on compliance with its obligations under the Act for each annual reporting period in which the organisation is registered.

**[Compliant/Non
Compliant/Not
Audited]**

15.2 An RTO's annual reporting period is the period of 12 months that is specified by the VET Regulator as the organisation's annual reporting period.

**[Compliant/Non
Compliant/Not
Audited]**

15.3 An annual declaration on compliance submitted by an RTO must be in the approved form as published on the National Register by the VET Regulator from time to time.

**[Compliant/Non
Compliant/Not
Audited]**

Note: Section 191A of the Act permits this instrument to make provision in relation to a matter by applying, adopting or incorporating any matter contained in another instrument or other writing as in force or existing from time to time.

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

*[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC
e.g. wrong training product code on website]*

16. Notification of material changes

16.1 An RTO must notify the VET Regulator of the occurrence of an event that would significantly affect the organisation's ability to comply with any of its obligations under the Act.

**[Compliant/Non
Compliant/Not
Audited]**

16.2 A notice under subsection (1) must be given within 10 business days after the event occurs.

**[Compliant/Non
Compliant/Not
Audited]**

16.3 An RTO must notify the VET Regulator of:

**[Compliant/Non
Compliant/Not
Audited]**

16.3 (a) any prospective changes to the ownership of the organisation as soon as practicable before the change takes effect

**[Compliant/Non
Compliant/Not
Audited]**

16.3 (b) any prospective or actual change in relation to a governing person of the organisation:

**[Compliant/Non
Compliant/Not
Audited]**

(i) if the change cannot be determined until it takes effect – within 10 business days of the change taking effect or

(ii) otherwise – as soon as practicable before the change takes effect.

16.4 A notice under subsection (1) or (3) must be provided to the VET Regulator in writing or electronically.

**[Compliant/Non
Compliant/Not
Audited]**

16.5 After giving notice under subsection (1) or (3) an RTO must provide any further information relating to the notice as soon as practicable, if requested by the VET Regulator.

**[Compliant/Non
Compliant/Not
Audited]**

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

*[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC
e.g. wrong training product code on website]*

17. Third party arrangements

17.1 An RTO must ensure that where services are delivered by a third party on the organisation's behalf, the provision of the services is governed by a written agreement that:	[Compliant/Non Compliant/Not Audited]
17.1 (a) is entered into by the organisation and third party as soon as reasonably practicable prior to the third party delivering any of the services set out in the agreement	[Compliant/Non Compliant/Not Audited]
17.1 (b) requires the third party to cooperate with the VET Regulator where the Regulator conducts any audit of the RTO's operations	[Compliant/Non Compliant/Not Audited]
17.1 (c) requires the third party to provide accurate responses to requests for information from the Regulator relevant to the third party's delivery of the services	[Compliant/Non Compliant/Not Audited]
17.1 (d) prohibits the third party from: (i) using the NRT logo (ii) using the organisation's branding (iii) issuing any AQF certification documentation and	[Compliant/Non Compliant/Not Audited]
17.1 (e) contains the following particulars: (i) the business or trading names of the parties to the agreement (ii) the dates on which the agreement will commence and end (iii) all the parties' obligations concerning the delivery of the services and (iv) an entitlement for the organisation to regularly monitor the quality of the services being delivered by the third party.	[Compliant/Non Compliant/Not Audited]
17.2 An RTO must notify the VET Regulator of any written agreement made pursuant to subsection (1) within:	[Compliant/Non Compliant/Not Audited]
17.2 (a) 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first	[Compliant/Non Compliant/Not Audited]
17.2 (b) 30 calendar days of the agreement ending.	[Compliant/Non Compliant/Not Audited]

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC e.g. wrong training product code on website]

18. Prepaid fee protection measures

18.1 Where an RTO or third party receives prepaid fees from or on behalf of an individual in excess of \$1500 in relation to the same VET course (the threshold prepaid fee amount), the organisation must:	[Compliant/Non Compliant/Not Audited]
18.1 (a) where the organisation is a government entity or an Australian university – comply with the requirements set out in subsections (2) and (3)	[Compliant/Non Compliant/Not Audited]
18.1 (b) where the organisation is any other RTO – implement one or more of the arrangements set out in subsection (4).	[Compliant/Non Compliant/Not Audited]
18.2 The RTO must have a policy in place for circumstances where the organisation is unable to provide the services to which the threshold prepaid fee amount relates (prepaid fee policy).	[Compliant/Non Compliant/Not Audited]
18.3 An RTO's prepaid fee policy must specify how an individual who has prepaid will:	[Compliant/Non Compliant/Not Audited]
18.3 (a) be placed into an equivalent course at a location suitable to the individual and receive all services for which the individual has prepaid at no additional cost to the individual	[Compliant/Non Compliant/Not Audited]
18.3 (b) be refunded the prepaid fees for services yet to be delivered which are in excess of the threshold prepaid fee amount.	[Compliant/Non Compliant/Not Audited]
18.4 The RTO must implement one or more of the following arrangements:	[Compliant/Non Compliant/Not Audited]
18.4 (a) an unconditional financial guarantee from a bank operating in Australia, provided: (i) at all times, the guarantee is at least equal to the total amount of prepaid fees held by the organisation in excess of the threshold prepaid fee amount; and (ii) the costs of establishing and maintaining the guarantee are met by the organisation. Note: For example, where an RTO receives prepaid fees of \$2000 from three individuals (totalling \$6000), the guarantee must be at least equal to \$1500 (i.e. \$500 multiplied by three).	[Compliant/Non Compliant/Not Audited]
18.4 (b) a current membership with a tuition assurance scheme operator which, if the organisation is unable to provide services for which the individual has prepaid, must ensure: (i) the individual will be placed into an equivalent course at a location suitable to the individual and receive all services for which the individual has prepaid at no additional cost to the individual; or	[Compliant/Non Compliant/Not Audited]

(ii) if an equivalent course cannot be found – the individual will be refunded the prepaid fees which are in excess of the threshold prepaid fee amount.

18.4 (c) any other fee protection measure approved by the VET Regulator.

**[Compliant/Non
Compliant/Not
Audited]**

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

*[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC
e.g. wrong training product code on website]*

19. Public liability insurance

19.1 An RTO must hold public liability insurance that covers all the organisation's operations for the entire period in which the organisation is registered under the Act.

**[Compliant/Non
Compliant/Not
Audited]**

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

*[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC
e.g. wrong training product code on website]*

20. Compliance with laws

20.1 An RTO must comply with all applicable Commonwealth, State and Territory laws, including, for example, by ensuring:

**[Compliant/Non
Compliant/Not
Audited]**

20.1 (a) personal information is collected, used and disclosed by the organisation in accordance with all applicable privacy laws and

**[Compliant/Non
Compliant/Not
Audited]**

20.1 (b) the organisation complies with all applicable requirements under the *Student Identifiers Act 2014*.

**[Compliant/Non
Compliant/Not
Audited]**

Note: There are a range of laws that may be applicable under this section. The examples provided in paragraphs (a) and (b) are for illustrative purposes.

Evidence Analysis

[Incorporate the evidence analysis and the findings in this section]

Rectification Requirements (if Non Compliant)

[Outline the actions and evidence that the RTO should present]

Minor Deficiencies

*[Minor deficiency is a minor non-compliance that can be rectified during the audit process and the evidence of rectification provided to the auditor prior to the submission of the audit report to TAC
e.g. wrong training product code on website]*