

## Initial/Renewal of Registration Application Self-Assessment Tool

<b>Type of application:</b>	Initial registration: <input type="checkbox"/>	Renewal of registration: <input type="checkbox"/>
-----------------------------	--	---

DETAILS OF YOUR ORGANISATION	
<b>Legal name:</b>	
<b>Trading name:</b>	
<b>RTO code (if applicable):</b>	
<b>Legally responsible person:</b>	
<b>Email address:</b>	
<b>Telephone number:</b>	

DETAILS OF PERSON COMPLETING THE SELF-ASSESSMENT	
<b>Name:</b>	
<b>Role within the organisation:</b>	
<b>Date completed:</b>	
<b>Signature:</b>	

## Introduction

You must complete and submit this self-assessment, with all required evidence attached, with your application for registration or renewal of registration as a registered training organisation (RTO) with the Training Accreditation Council Western Australia (TAC or Council). The tool could also be used for ongoing quality assurance and to support your annual declaration on compliance with the *Standards for Registered Training Organisations (RTOs) 2015* (the Standards).

## Purpose and scope of the self-assessment

The purpose of completing the self-assessment is to confirm your organisation's readiness for audit and to identify and organise the evidence you propose to present, if and when a site audit is scheduled.

You will be asked to attach evidence for some of the Standards to support your application. This is only your first step in the process to demonstrate compliance against the Standards, as the questions in the self-assessment tool are neither prescriptive nor comprehensive enough to cover all requirements of the Standards or to cater for differences between organisations. However, it is a useful tool for you to monitor your compliance and to confirm that you are sufficiently prepared for audit prior to lodging your application. Evidence to establish your organisation's compliance with the Standards will be reviewed at audit.

To summarise, the self-assessment tool provides **guidance only** and **does not**:

- cover every requirement in the Standards, including the Glossary and Schedules, the legislation or the Australian Qualifications Framework (AQF)
- refer to industry specific legislation or other legislative or regulatory requirements that may apply to your context
- prescribe how your organisation must deliver training and assessment or manage your RTO
- identify all evidence required to demonstrate compliance with the Standards.

## Before you begin

Check your eligibility. You may submit a registration application to TAC if your principal place of business is in Western Australia (WA) or Victoria and you will be delivering nationally recognised training to domestic students in WA only, or in both WA and Victoria

Thoroughly familiarise yourself with the current regulatory environment in which RTOs operate. This requires you to be fully conversant with the requirements of the current legislation and standards for vocational education and training. You can use the Guides and Fact Sheets available on the TAC website to help you with this task.

Other applicable documents include:

- *Standards for Registered Training Organisations (RTOs) 2015*
- *Vocational Education and Training Act 1996 (WA) (VET Act)*
- *Vocational Education and Training (General) Regulations 2009*
- VET Act Ministerial Guideline: Financial Viability Assessment Guidelines for the Registration of Training Providers 2017
- Australian Qualifications Framework (AQF)

Symbols used:  = attach evidence  = help information

## SECTION 1: SETTING UP

(Renewal of Registration Applications are not required to address Clause 7.2)

Business viability is critical to the ongoing sustainability of the RTO. Setting up your RTO in line with business, financial and operating standards, and staffing your business with people of integrity will be key to successfully running your vocational education and training (VET) organisation. Some of the legislative requirements and Clauses in the Standards focus on business planning, management, financial viability and governance. In order to be registered you will need to demonstrate your financial viability in accordance with TAC's Financial Viability Assessment Guidelines which require your financial arrangements to be reviewed by a qualified accountant with an independent audit report or compilation report and financial statements, prepared for inclusion with your application. Consider these and any other business decisions you have made and complete your self-assessment.

 TAC Users' Guide to the Standards. The following link is provided to the Financial Viability Assessment Guidelines which could be useful for your accountant.

<http://www.tac.wa.gov.au/about-us/Pages/Policies-and-procedures.aspx>

### ***Standards for RTOs: Clause 7.1***

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

- a) are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and
- b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

### ***Standards for RTOs: Clause 7.2***

The RTO satisfies the Financial Viability Risk Assessment Requirements

### ***Standards for RTOs: Clause 7.4***

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

<b>Initial Registration and Renewal of Registration Applications</b>			
Fit and Proper Person Declarations have been completed and validated for each person			
Public Liability Insurance cover has been obtained in line with the size and intended scope of operations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Renewal of Registration Applications Only</b>			
Organisational structure that shows the size and internal structure of your RTO.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Initial Registration Applications Only</b>			
A comprehensive business plan has been developed that includes as a minimum, the organisation's: <ul style="list-style-type: none"> <li>▪ reasons for applying for registration as an RTO</li> <li>▪ objectives as an RTO</li> <li>▪ size and structure (eg ownership, directors, organisational chart, financial and management delegations, market analysis, terms of reference, proposed student numbers)</li> <li>▪ proposed outcomes across all operations</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Documentary evidence of the organisation's name/s and legal status have been obtained e.g: <ul style="list-style-type: none"> <li>▪ Australian Company Number (ACN)</li> <li>▪ Australian Business Number (ABN)</li> <li>▪ Certificate of the Registration of a Company (ASIC) – for companies</li> <li>▪ Certificate of Incorporation (ASIC) – for incorporated bodies</li> <li>▪ Trust Deed with details of the corporate trustee and beneficiaries – for Trusts</li> <li>▪ Business Name Registration Certificate</li> <li>▪ Proof of identity – for sole traders and partnerships</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial and AVETMISS compliant VET student records management systems have been obtained or developed and configured for use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A financial viability risk assessment has been prepared in accordance with the TAC Financial Viability Assessment Guidelines and signed off by a qualified accountant. <ul style="list-style-type: none"> <li>▪ Financial documents (as per the following list) are ready to be attached to the application</li> <li>▪ A statement of review has been signed and dated by a qualified accountant</li> <li>▪ The qualified accountant is a member of either: <ul style="list-style-type: none"> <li>○ CPA Australia – designation CPA (Certified Practising Accountant); <u>or</u></li> <li>○ Chartered Accountants Australia and New Zealand – CA ANZ – previously the Institute of Chartered Accountants Australia ICAA until 2013 – designation CA or FCA (Chartered Accountant or Fellow Chartered Accountant); <u>or</u></li> <li>○ Institute of Public Accountants – designation MIPA or FIPA (Member/Fellow of IPA).</li> </ul> </li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



attach the following evidence:

### **Initial Registration and Renewal of Registration Applications**

1. Public liability insurance Certificate of Currency or equivalent
2. Fit and Proper Person Declarations for executive officers, high managerial agents and any person which exercises a degree of control or influence over the management or direction of the organisation.

### **Renewal of Registration Applications Only**

1. Organisational structure that shows the size and internal structure of your RTO.

### **Initial Registration Applications Only**

1. Business plan
2. Documentary evidence of the organisation's name/s and legal status (as above)
3. The name/s of the software to be used for financial management, and for AVETMISS data, and for commercial software – proof of purchase
4. Public liability insurance Certificate of Currency or equivalent.
5. Evidence of financial viability:
 

Financial projections for the first two years of operation:

  - a. Profit and loss statements (2 years)
  - b. Balance sheets (2 years)
  - c. Cash flow statements (2 years)
  - d. Statement of review prepared and signed by a qualified accountant, indicating that:
    - Financial projections have been reviewed in accordance with Australian Auditing and Assurance Standards, including an opinion as to whether the projections represent a true and fair view of the applicant's future operation;
    - The operations are sustainable during the intended period of registration; and
    - Nothing has come to the accountant's attention that causes them to believe that the assumptions used do not provide a reasonable basis for the preparation of the projections (statement of negative assurance).
  - e. Membership credentials of qualified accountant who prepared the statement of review

Additional financial evidence required for existing businesses:

- f. Most recent financial statements, specifically:
  - Profit and Loss Statement (Statement of Comprehensive Income)
  - Balance Sheet (Statement of Financial Position)
  - Cash Flow Statement (Statement of Cash Flows – if available)
  - Directors'/Owners' Declaration, signed and dated
- g. Independent audit report that is signed, dated and certified by a registered auditor in accordance with Australian Auditing Standards; OR
- h. Compilation report that is signed, dated and certified by a qualified accountant in accordance with Australian Accounting Standards.

*Note regarding evidence of financial viability:*

- The information requested is a minimum. The more information you are able to provide, the more confidence the Council will have in assessing your organisation's future financial viability.
- As a minimum, the accountant should be degree-qualified with membership of one of the three legally recognised accounting bodies, CPA Australia (CPA), Chartered Accountants Australia and New Zealand (CA) or Institute of Public Accountants (MIPA).

## SECTION 2: MARKETING

Review your intended marketing and advertising materials (digital eg website, and hard copy), including any to be used by third parties, and the processes you will use to ensure marketing materials are always compliant with the Standards. Then complete your self-assessment.

 TAC Fact Sheet on Marketing and the TAC Users' Guide to the Standards for RTOs.

### *Standards for RTOs: Clause 4.1*

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

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



## SECTION 3: RECRUITMENT AND ENROLMENT

Recruitment of students requires you to ensure they have access to accurate and comprehensive information (in print, online or orally) that will assist them to make informed decisions about when and how you will provide training and assessment, your fees, and the terms and conditions of enrolment in your RTO. They should be able to make an informed judgement about whether the course is right for them. This includes its level of difficulty compared with their current knowledge and skills, and whether you are the right RTO for them. Students want a good fit in terms of their learning style, any specific needs they might have, and your approach to training as reflected in your course/program information. Review your course information and complete the self-assessment.



TAC Fact Sheet on Identifying and Meeting Learner Needs, the TAC Users' Guide to the Standards, and NCVET Fact Sheets for AVETMISS enrolment requirements and privacy declarations available through the following link.

[https://www.ncver.edu.au/data/assets/file/0016/9160/CS\\_3\\_Fact\\_Sheet\\_Collect\\_client\\_data.pdf](https://www.ncver.edu.au/data/assets/file/0016/9160/CS_3_Fact_Sheet_Collect_client_data.pdf)

### ***Standards for RTOs: Clause 5.1***

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

### **Standards for RTOs: Clause 5.2**

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

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

### **Standards for RTOs: Clause 5.3**

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

- a) all relevant fee information including:
  - i. fees that must be paid to the RTO; and
  - ii. payment terms and conditions including deposits and refunds;
- b) the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;
- c) the learner's right to obtain a refund for services not provided by the RTO in the event the:
  - i. arrangement is terminated early; or
  - ii. the RTO fails to provide the agreed services.

### ***Standards for RTOs: Clause 7.3***

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

### ***Standards for RTOs: Clause 5.4***

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

### ***Standards for RTOs: Clause 3.5***

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

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

### ***Standards for RTOs: Clause 3.6a and 3.6c***

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

- a) verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;
- c) ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar

### ***Standards for RTOs: Clause 7.5***

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

### ***Standards for RTOs: Clause 1.26d***

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

- d) a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.

SELF-ASSESSMENT: RECRUITMENT AND ENROLMENT	YES	NO	N/A
<p>The organisation has a process for assessing whether a course is appropriate for potential students. This includes considering whether:</p> <ul style="list-style-type: none"> <li>▪ the level of the course is appropriate for each student's existing skills and abilities</li> <li>▪ the mode of delivery is suitable for each student's needs</li> <li>▪ each student has the required experience, knowledge or language, literacy and numeracy level needed to complete the course</li> <li>▪ students may be eligible for RPL or credit transfer</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>The organisation has an enrolment process that:</p> <ul style="list-style-type: none"> <li>▪ confirms each student's skills and abilities in relation to course demands</li> <li>▪ identifies or confirms any learning needs that may require support</li> <li>▪ validates each student's USI or assists them to obtain a USI</li> <li>▪ collects and records required personal data from students, and informs them of the way data will be used and their right to privacy</li> <li>▪ does not allow new students to enrol in units or qualifications that have been superseded or deleted from training.gov.au</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Pre-enrolment information for units of competency, qualifications and VET accredited courses includes the:</p> <ul style="list-style-type: none"> <li>▪ code and title as published on training.gov.au</li> <li>▪ currency</li> <li>▪ expected duration</li> <li>▪ delivery location/s</li> <li>▪ delivery mode/s</li> <li>▪ work placement arrangements</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Pre-enrolment information contains the names and contact details of any third parties providing services on behalf of the organisation</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Pre-enrolment information includes information about the educational and support services available to students</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Pre-enrolment information clearly explains the organisation's responsibilities to students including that it must:</p> <ul style="list-style-type: none"> <li>▪ provide quality training and assessment</li> <li>▪ comply with the Standards</li> <li>▪ issue AQF certification documentation</li> <li>▪ notify students of any changes to agreed services</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Pre-enrolment information includes information on the rights of students, including:</p> <ul style="list-style-type: none"> <li>▪ the complaints and appeals process</li> <li>▪ what happens if your organisation or a third party is unable to deliver the training and assessment as agreed</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Pre-enrolment information includes information on student obligations, including:</p> <ul style="list-style-type: none"> <li>▪ the requirement to obtain a unique Student Identifier (USI)</li> <li>▪ any requirements they must meet to be eligible to enrol or to successfully complete their course</li> <li>▪ any materials, equipment or apparel they must provide</li> <li>▪ whether they must organise their own work placements</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SELF-ASSESSMENT: RECRUITMENT AND ENROLMENT**

YES NO N/A

**If fees are collected from individual students directly or through a third party, address the following:**

Fees and refund information is accessible and in plain English	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pre-enrolment information includes: <ul style="list-style-type: none"> <li>▪ all fees a student will need to pay over the term of their enrolment</li> <li>▪ the implications for students of accepting VET student loans</li> <li>▪ payment terms and conditions, including deposits, non-refundable items and timeframes for payments</li> <li>▪ refund terms and conditions including when the student initiates termination of enrolment, or if the RTO is unable to provide the agreed services</li> <li>▪ students' rights as consumers including cooling off periods</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If students are required to pre-pay more than \$1500 at a time in fees: <ul style="list-style-type: none"> <li>▪ a fee protection mechanism has been arranged (as required by Schedule 6 of the Standards: <ul style="list-style-type: none"> <li>○ an unconditional financial guarantee from a bank operating in Australia</li> <li>○ membership of a Tuition Assurance Scheme (TAS)</li> <li>○ any other fee protection measure approved by TAC</li> </ul> </li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other evidence unique to your organisation (please specify in Section 9 evidence list)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



attach the following evidence:

1. Pre-enrolment information such as course information, student handbooks
2. Student enrolment form/documentation that captures all required information
3. Fees and refunds information for students
4. Evidence of the fee protection mechanism to be used (if applicable – eg Tuition Assurance Scheme membership).

**SECTION 4: SUPPORT SERVICES**

As an RTO you will be responsible for supporting your students throughout their entire involvement with the course, from enrolment to completion. You must be able to demonstrate that you have strategies and resources in place to identify any support needs and have the arrangements and capacity to make support available to your students.

If you have dedicated support staff, you will need to provide their details and the services for which they will be responsible. If you have engaged any external organisations to provide student support services, you will also need to provide their details and the services for which they will be responsible.

Review the support services you will make available to students and complete your self-assessment.



TAC Fact Sheet on Identifying and Meeting Learner Needs, TAC Fact Sheet on Complaints and Appeals, TAC Users' Guide to the Standards and the Glossary to the Standards (Educational and support services).

### **Standards for RTOs: Clause 1.3b**

The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

- b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment

### **Standards for RTOs: Clause 1.7**

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

### **Standards for RTOs: Standard 6**

Subject to Clause 6.6, to be compliant with Standard 6 the RTO must meet the following:

- 6.1 The RTO has a complaints policy to manage and respond to allegations involving the conduct of:
  - a) the RTO, its trainers, assessors or other staff;
  - b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or
  - c) a learner of the RTO.
- 6.2 The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO's behalf.
- 6.3 The RTO's complaints policy and appeals policy:
  - a) ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
  - b) are publicly available;
  - c) set out the procedure for making a complaint or requesting an appeal;
  - d) ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and
  - e) provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.
- 6.4 Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:
  - a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
  - b) regularly updates the complainant or appellant on the progress of the matter.
- 6.5 The RTO:
  - a) securely maintains records of all complaints and appeals and their outcomes; and
  - b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.
- 6.6 Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

<b>SELF-ASSESSMENT: SUPPORT SERVICES</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
Support services likely to be needed by students in the intended cohort have been identified and sourced	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Processes are in place to identify and provide for individual student support needs: <ul style="list-style-type: none"> <li>▪ at the time of enrolment</li> <li>▪ during training and assessment</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Access to sufficient educational and support services to support the intended number of students has been confirmed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Educational and support services for the student cohort are accessible for all modes of delivery offered	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Internal staff have been appointed as points of contact for student support	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Arrangements with external support services have been established (where the organisation is not equipped to provide that support)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A system is in place to provide staff with up-to-date links to internal and/or external support services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Student support includes access to a complaints and appeals process that is openly available and administered in accordance with the principles of natural justice and procedural fairness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other evidence unique to your organisation (please specify in Section 9 evidence list)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



attach the following evidence:

1. List of support services you have identified for your intended students (unless this has already been included within your training and assessment strategies in Section 5 of the tool)
2. List of staff members, if any, nominated as contact persons for students seeking support, with details of their position in the organisation and the support role they will undertake
3. Complaints and appeals policy/policies.

## SECTION 5: DELIVERY OF TRAINING AND ASSESSMENT

### A) INDUSTRY ENGAGEMENT

Engagement with the industry organisations/individuals connected to your intended scope of registration is essential for student outcomes to be industry relevant and current. It is important that you record what you learn from your interactions with industry and how you use this information. Review the ways you engage with industry and the evidence you capture. Then complete your self-assessment.



TAC Fact Sheet on Industry Engagement and the TAC Users' Guide to the Standards. For details of national industry organisations that support training, access the Australian Industry and Skills Committee website: <https://www.aisc.net.au/content/skills-service-organisations>

### **Standards for RTOs: Clause 1.5**

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

### **Standards for RTOs: Clause 1.6**

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

- a) its training and assessment strategies, practices and resources; and
- b) the current industry skills of its trainers and assessors

<b>SELF-ASSESSMENT: INDUSTRY ENGAGEMENT</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
A range of strategies has been employed to engage with industry about intended scope and practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Feedback from a range of industry representatives has been incorporated into the development of training and assessment strategies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evidence from engagement with industry shows that decisions about training and assessment and intended trainers and assessors have been informed by industry engagement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Industry feedback confirms that training and assessment strategies and intended practices will address current and (if possible) future industry needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other evidence unique to your organisation (please specify in Section 9 evidence list)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



attach the following evidence:

1. Contact details of industry organisations / individuals consulted in relation to each training product in your intended scope of registration, their input and how/if this was used to ensure the industry relevance of your training and assessment strategies and the current industry skills of your trainers and assessors.  
(If this information has been included in your training and assessment strategies, a note to that effect will suffice. However, it is important to maintain and be able to present evidence at audit that supports any claims made.)

## B) STRATEGIES FOR TRAINING AND ASSESSMENT

As an RTO, you are required to have effective training and assessment strategies that reflect your decisions about how delivery and assessment will occur. Your strategies should optimise student engagement and outcomes while addressing all requirements in the units of competency and qualifications. Your intended practices may be reflected in a single document or multiple documents that address the different aspects of delivery and assessment. A process for monitoring and improving your strategies and practices is also required. Review all decisions about delivery and assessment to ensure you have covered all requirements and complete your self-assessment.

-  TAC Fact Sheet on Amount of Training, the TAC Users' Guide to the Standards and the AQF volume of learning information for each qualification level. <https://www.aqf.edu.au>

### ***Standards for RTOs: Clause 1.1***

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

### ***Standards for RTOs: Clause 1.2***

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

- a) the existing skills, knowledge and the experience of the learner;
- b) the mode of delivery; and
- c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

### ***Standards for RTOs: Clause 2.2***

The RTO:

- a) systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and
- b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

**SELF-ASSESSMENT: STRATEGIES FOR TRAINING AND ASSESSMENT**

YES NO N/A

**Note:** The Standards do not prescribe what should be addressed by RTO strategies and practices and the following items in the self-assessment should be used for guidance only. You may need to address different requirements depending on your courses and your intended students, so you should add to the following, to suit your various context/s.

Strategies for training and assessment have been prepared for each mode of delivery and/or student cohort for each training product included in your application for registration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Each training and assessment strategy includes training product/s with correct codes and titles	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Each training and assessment strategy identifies entry requirements (if applicable) including: <ul style="list-style-type: none"> <li>▪ requirements set by the Training Package or VET accredited course</li> <li>▪ requirements set by your organisation (if aiming at a particular student cohort e.g. job-seekers, or experienced existing workers)</li> <li>▪ requirements to meet regulatory requirements (e.g. over 18 years of age)</li> <li>▪ attributes that may affect a student’s ability to successfully complete the course (e.g. English language proficiency, physical ability to lift loads)</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Each training and assessment strategy defines the student cohort targeted, including: <ul style="list-style-type: none"> <li>▪ who they are</li> <li>▪ what experience they will have</li> <li>▪ what learning needs they may have</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Each training and assessment strategy sets out delivery arrangements such as: <ul style="list-style-type: none"> <li>▪ units being offered – core and elective (for qualifications)</li> <li>▪ prerequisite units of competency</li> <li>▪ sequencing of delivery and assessment</li> <li>▪ delivery mode (such as face-to-face at RTO, face-to-face at workplace, work-based, online, distance, mixed or blended delivery, no delivery – for RPL or assessment only)</li> <li>▪ amount of training, <u>including</u> the rationale used to determine the hours of training required</li> <li>▪ variations possible for students with different learning needs</li> <li>▪ mandatory work placement requirements (if applicable)</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Each training and assessment strategy identifies the resources needed for delivery such as: <ul style="list-style-type: none"> <li>▪ learning resources</li> <li>▪ human resources, such as trainers and assessors, support staff, other</li> <li>▪ physical, such as access to specialist facilities, equipment, vehicles, plant and machinery etc</li> <li>▪ sufficient resources for the intended number of students in each course</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SELF-ASSESSMENT: STRATEGIES FOR TRAINING AND ASSESSMENT**

YES NO N/A

<p>Each training and assessment strategy identifies the assessment approach to be used, including:</p> <ul style="list-style-type: none"> <li>▪ how assessment is to be conducted, including assessment in the workplace, if applicable</li> <li>▪ timing of assessment</li> <li>▪ unit-by-unit or clustered assessment</li> <li>▪ evidence gathering methods</li> <li>▪ assessment resources</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Each training and assessment strategy and related practice is consistent with the requirements of the related Training Package or VET accredited course</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>The amount of training for each training product:</p> <ul style="list-style-type: none"> <li>▪ will enable each student to meet the requirements of each unit of competency or module in which they are enrolled</li> <li>▪ considers the existing skills, knowledge and experience of students and the mode of delivery</li> <li>▪ considers the typical volume of learning identified in the AQF for qualifications (if applicable)</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>A process has been developed to systematically monitor and evaluate training and assessment strategies, so they can be continually improved in response to feedback and changes in the Training Package/s or in the industry</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If the application includes VET accredited course/s:</p> <ul style="list-style-type: none"> <li>▪ approval to deliver and assess the course/s has been obtained from the Copyright owner/s</li> <li>▪ a copy of the accredited course document/s and all units of competency developed for the course have been obtained</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Other evidence unique to your organisation (please specify in Section 9 evidence list)</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



attach the following evidence:

1. Training and assessment strategies for all qualifications, units of competency or VET accredited courses (training products) included in your application for registration
2. If not included in your strategies, your rationale for the amount of training you will provide for the student cohort/s for each training product
3. For accredited courses: written approval from the Copyright owner to deliver the course and a copy of the accredited course document which will include all units of competency or modules developed for the course.

## C) TRAINERS AND ASSESSORS

As an RTO, you are required to employ competent, qualified trainers and assessors to deliver nationally recognised training products. You must ensure supervision of persons delivering training who are not fully qualified. In addition, you are required to ensure all your trainers and assessors undertake ongoing professional development. Review the qualifications, experience and industry currency of the trainers and assessors you have sourced for each training product included in your application. Then complete your self-assessment.

 TAC Fact Sheet on Vocational Competency and Industry Currency, TAC Users' Guide to the Standards, the Glossary to the Standards for a definition of 'industry currency' and Schedule 1 of the Standards relating to trainer and assessor competency and currency requirements.

### ***Standards for RTOs: Clause 1.3a***

The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

- a) trainers and assessors to deliver the training and assessment

### ***Standards for RTOs: Clause 1.13***

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

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

### ***Standards for RTOs: Clause 1.14***

The RTO's training and assessment

- a) is delivered only by persons who have the training and assessment credential specified in Item 2 or Item 3 of Schedule 1.

### ***Standards for RTOs: Clause 1.15***

Where a person conducts assessments only, the RTO ensures that the person has the training and assessment credential specified in Item 2, or Item 3, or Item 5 of Schedule 1.

**Standards for RTOs: Clause 1.16**

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

**Standards for RTOs: Clause 1.17**

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

**Standards for RTOs: Clause 1.18**

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

- a) holds the training and assessment credential specified in Item 6 of Schedule 1.
- b) has vocational competencies at least to the level being delivered and assessed; and
- c) has current industry skills directly relevant to the training and assessment being provided.

**Standards for RTOs: Clause 1.19**

Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.

**Standards for RTOs: Clause 1.20**

Without limiting Clauses 1.17 – 1.19, the RTO:

- a) determines and puts in place:
  - i. the level of the supervision required; and
  - ii. any requirements, conditions or restrictions considered necessary on the individual’s involvement in the provision of training and collection of assessment evidence; and
- b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

<b>SELF-ASSESSMENT: TRAINERS AND ASSESSORS</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
Sufficient competent, qualified staff have been sourced for the initial cohort of students and the proposed delivery schedule	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evidence is on hand to show that each trainer and assessor has agreed to commence employment after registration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evidence is on hand and has been authenticated to confirm that all trainers and assessors: <ul style="list-style-type: none"><li>▪ have vocational (industry specific) competencies at least to the level being delivered and assessed</li><li>▪ meet any specific assessor requirements, including details related to qualifications, experience and industry currency, listed in the units of competency they will deliver (if applicable)</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>SELF-ASSESSMENT: TRAINERS AND ASSESSORS</b>	YES	NO	N/A
Evidence is on hand to confirm that all trainers and assessors have current industry skills that are directly related to the units of competency they will deliver and assess	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evidence confirms that all trainers and assessors have current knowledge and skills in vocational training and learning that informs their training and assessment practices and judgements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evidence is on hand and has been authenticated to confirm that all trainers and assessors have the required training and assessment credential/s: <ul style="list-style-type: none"> <li>▪ TAE40116 Certificate IV in Training and Assessment,</li> <li>▪ or TAE40110 Certificate IV in Training and Assessment + TAE LLN411/401 + TAE ASS502/A/B</li> </ul> <b><u>For those conducting assessment only</u></b> TAESS00011 Assessor Skill Set	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supervision arrangements that meet the requirements of Clauses 1.17 through 1.20, are in place for persons who are not fully qualified as trainers and assessors to deliver training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Arrangements are in place to ensure that trainers and assessors undertake regular professional development in the knowledge and practice of vocational training, learning and competency-based assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other evidence unique to your organisation (please specify in Section 9 evidence list)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



attach the following evidence:

1. A list of trainers and assessors for each of the training products included in your application, and their availability to be contacted during an audit either in person or via telephone
2. Evidence that each trainer and assessor has agreed to commence employment after registration
3. Evidence that trainers and assessors have the required training and assessment credentials
4. Evidence that trainers and assessors have the required vocational competencies
5. Evidence that trainers and assessors have current industry skills, with the evidence also showing how the skills directly relate to the units of competency they will deliver and assess
6. Evidence of professional development in VET undertaken by and/or planned for trainers and assessors
7. Evidence of the arrangements in place for individuals working under the supervision of a trainer, including evidence of the supervisor's credentials, industry experience and currency (if applicable).

## D) FACILITIES, EQUIPMENT AND RESOURCES

Before you submit an application for registration you must have organised access to required facilities and equipment and have sufficient learning resources for your intended initial cohort of students to complete their course. Learning resources must have been sourced, configured and ready for delivery for all training products requested in your application – not just for a limited number of units. Invoices or quotes for learning resources will not provide sufficient evidence for compliance. The Standard requires that you have these resources. For training facilities or large plant and equipment, you will need to show that you own, have a current lease arrangement, or a written agreement to lease these pending registrations. If you plan to conduct training at particular workplaces, you will need to have a written agreement with each of those employers describing the conditions for RTO use of the workplace for the purpose of training and assessment. Review your facilities, equipment and resources against the requirements of the Training Package and what you identified in your training and assessment strategies and complete your self-assessment.

 TAC Users' Guide to the Standards for RTOs.

### ***Standards for RTOs: Clauses 1.3c, 1.3d***

The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

- c) learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
- d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

### ***Standards for RTOs: Clause 1.4***

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

<b>SELF-ASSESSMENT: FACILITIES, EQUIPMENT AND RESOURCES</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
<p>For face-to-face delivery and assessment, delivery locations either:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> are owned by the applicant</li> <li><input type="checkbox"/> have a current lease/hire arrangement or access agreement in place</li> <li><input type="checkbox"/> are the subject of a written agreement to be leased or hired pending registration</li> <li><input type="checkbox"/> will be leased or hired as required (only for locations where training products have no specific site/resource requirements)</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
For training and assessment conducted at particular workplaces, this is recorded in a written agreement with each of those employers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Local Council or Shire approval has been obtained to enable premises to be used for educational purposes (if applicable)</p> <p>[The National Construction Code classifies buildings, where members of the public attend for educational purposes, as Class 9B buildings. These require specific building approval to construct or approval under the Health (Public Building) Regulations 1992 for a change of use to 'educational purposes'. A Certificate of Approval may be required from your Local Government Authority.]</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>For face-to-face delivery and assessment, all delivery locations:</p> <ul style="list-style-type: none"> <li>▪ are large enough for the intended number of students per course</li> <li>▪ contain suitable facilities such as breakrooms or toilets (considering other organisations that use the same venue)</li> <li>▪ are safe and hygienic</li> <li>▪ are set up to be ready for the commencement of training and assessment</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If work placements are part of training and assessment, placement venues have been sourced that:</p> <ul style="list-style-type: none"> <li>▪ are safe and able to accommodate the intended number of students</li> <li>▪ will allow students to access all necessary experiences/scenarios to achieve the requirements of the training product</li> <li>▪ have a sufficient number of skilled or qualified staff to supervise, train or provide assessment advice, for the number and type of students</li> <li>▪ have a process for providing guidance to workplace or work placement supervisors of students undertaking training on the job</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If students will be required to source their own work placements, students are informed of this and provided with guidance on the requirements of the work placement venue	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
For simulated assessment, there is a process to ensure that the simulated environment replicates the workplace and meets Training Package requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learning resources are available for all training products included in the application for registration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learning resources have been developed and/or contextualised for each student cohort	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>SELF-ASSESSMENT: FACILITIES, EQUIPMENT AND RESOURCES</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
Learning resources have been confirmed as meeting the requirements of each unit of competency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Machinery, plant, equipment and PPE necessary for practical training have been sourced	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learning resources and support systems for students undertaking distance or online learning will be accessible during their enrolment eg access to software, Wi-Fi and/or password details	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All plant and equipment has been confirmed as fit for purpose or a process is in place to show how this will occur prior to use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other evidence unique to your organisation (please specify in Section 9 evidence list)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



attach the following evidence:

1. Lease agreements, hire agreements or ownership documents for training facilities or venue/s
2. Local Government Authority approval for educational premises (if applicable)
3. Workplace resource lists and agreements confirming access to facilities, equipment and the range of work directly related to Training Package requirements (for workplace delivery)
4. Delivery schedule for each delivery location (if not already included in training and assessment strategies)
5. A list of learning resources that have been purchased or developed for each training product with evidence that shows they address all requirements specified in the units of competency
6. A sample of learning resources for the highest qualification applied for in each industry area (include high risk units if applicable). Do not include copies of commercial resources – provide proof of purchase instead.
7. Evidence that you have access to all the required plant and/or equipment or PPE for all training products, and evidence to show how you confirm this will be fit for purpose prior to use – evidence may be in any form such as photos, documents, agreements, etc.

## **E) ASSESSMENT**

As an RTO you are responsible for the conduct of effective assessment that addresses Training Package requirements, meets industry needs and is conducted in accordance with the principles of assessment and the rules of evidence. You will be issuing credentials that attest to the competencies achieved by your students and this responsibility cannot be taken lightly. The consequences of invalid or unreliable assessments could be dire for the student and their current or future workplace and could also affect the credibility of student qualifications within the industry. Validation of your assessment practices, judgements and outcomes will be key to ongoing monitoring and the maintenance of quality. You must have in place an assessment system that will enable the requirements of the Standards to be met.

Review your assessment policies and procedures, the responsibilities you have delegated to your proposed trainers and assessors (as applicable), your approach to assessment for each training product included in your application, your assessment materials and tools and your plans for assessment validation. Then complete your self-assessment.

-  TAC Fact Sheets on Assessment and Assessment Validation, TAC Users' Guide to the Standards, Tables 1.8-1 and 1.8-2 in the Standards for the principles of assessment and rules of evidence, the Glossary to the Standards for definitions related to assessment and validation, and Schedule 1 of the Standards regarding validator credentials.

#### ***Standards for RTOs: Clause 1.8***

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

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

#### ***Standards for RTOs: Clause 1.12***

The RTO offers recognition of prior learning to individual learners.

#### ***Standards for RTOs: Clause 1.4***

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

#### ***Standards for RTOs: Clause 3.1***

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

#### ***Standards for RTOs: Clause 1.9***

The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO's scope of registration:

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

#### ***Standards for RTOs: Clause 1.10***

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

### Standards for RTOs: Clause 1.11

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

- i. vocational competencies and current industry skills relevant to the assessment being validated;
- ii. current knowledge and skills in vocational teaching and learning; and
- iii. the training and assessment credential specified in Item 2 or Item 5 of Schedule 1.

Industry experts may be involved in validation to ensure there is the combination of

SELF-ASSESSMENT: ASSESSMENT	YES	NO	N/A
Assessment tools have been developed/sourced (and contextualised where necessary) to cover all units of competency or modules included in the application	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RPL procedure and assessment process has been sourced/developed to cover all units of competency or modules included in the application	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Assessment tools, policies and procedures have been coordinated into an assessment system that is ready for implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Assessment addresses all mandatory requirements in the units of competency or modules and there is evidence to show how this has been confirmed. Mandatory requirements include: <input type="checkbox"/> Prerequisites (if any) <input type="checkbox"/> Elements (as defined by their associated performance criteria) <input type="checkbox"/> Performance evidence / Required Skills <input type="checkbox"/> Knowledge Evidence / Required Knowledge <input type="checkbox"/> Conditions of Assessment / Critical Aspects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The assessment system ensures that student needs are taken into consideration and opportunities for reasonable adjustment to assessment are implemented where possible to meet specific needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The assessment system ensures that students receive clear, accurate and consistent information about the assessment processes and the right to appeal decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The assessment system requires a range of assessment methods to determine achievement of competency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The assessment system collects a sufficient range of evidence from multiple sources to assess student knowledge and performance against the assessment requirements of the training products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The assessment tools, for example: instructions, benchmark answers and guides for required performance enable assessors to make comparable and consistent assessment decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The assessment system ensures that students submit their own work for assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>SELF-ASSESSMENT: ASSESSMENT</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
The assessment system ensures that assessments are designed to judge students' current competency in relation to the requirements of the training product	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A validation plan and schedule has been developed that includes all units of competency included in the application	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organisation's validation plan shows: <ul style="list-style-type: none"> <li>▪ when assessment validation will occur</li> <li>▪ which training products will be the focus of the validation</li> <li>▪ who will lead and participate in validation activities</li> <li>▪ how the outcomes of validation activities will be documented and acted upon</li> <li>▪ that each training product is validated at least once every five years</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organisation's validation plan shows: <ul style="list-style-type: none"> <li>▪ that 50% of training products are validated within the first three years of each five-year cycle</li> <li>▪ the relative risk of all training products on scope have been taken into account in the scheduling of validations, including risks identified by the regulator</li> <li>▪ that validation of assessment practices and judgements is undertaken by person/s not directly involved in the particular instance of delivery and assessment of the training product being validated</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organisation's validation plan shows that validation is undertaken by persons who collectively have: <ul style="list-style-type: none"> <li>▪ vocational competencies and current industry skills relevant to the assessment being validated</li> <li>▪ current knowledge and skills in vocational teaching and learning; and</li> </ul> TAE40116 Certificate IV in Training and Assessment, or TAE40110 Certificate IV in Training and Assessment + TAE LLN411/401A + TAE ASS502/A/B, or <ul style="list-style-type: none"> <li>▪ o TAESS00011</li> </ul> Industry experts may be involved to ensure there is the required combination of expertise	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other evidence unique to your organisation (please specify in Section 9 evidence list)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



attach the following evidence:

1. A complete list of assessment tools to be used for each unit of competency/module/cluster of units included in the application, with all these tools available to be viewed at audit
2. If your application includes qualifications: Assessment tools for at least two units of competency for the highest-level qualification in each industry area, including high risk units if applicable
3. If your application includes individual units of competency: Assessment tools for at least two units in each industry area, including high risk units if applicable (if mandatory assessments must be used, evidence that these have been obtained from the regulator should be attached)
4. RPL kit/tools (may include the same assessment tools with different guidelines) for one qualification or two units of competency
5. A validation plan and schedule that includes all qualifications and units of competency or VET accredited courses included in the application.

## SECTION 6: COMPLETION

As an RTO, you will be responsible for ensuring that you only issue certification documents to students who have met all assessment requirements. You will require a record keeping system and processes, so the correct awards can be issued in a timely manner. Certification must meet prescribed requirements set down by the AQF and Schedule 5 of the Standards. This ensures that your certification documents will be immediately identifiable as Australian nationally recognised training. Review your issuance and record keeping arrangements and your designs for qualifications, records of results, and Statements of Attainment against the requirements in the Standards. Then complete your self-assessment.



TAC Fact Sheet on Using the TAC, NRT and AQF Logos, TAC Fact Sheet on Transition and Teach Out, the AQF, USI requirements and the TAC Users' Guide to the Standards.

### ***Standards for RTOs: Clause 3.1***

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

### ***Standards for RTOs: Clause 3.2***

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

### ***Standards for RTOs: Clause 3.3***

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

### **Standards for RTOs: Clause 3.6**

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

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

### **Standards for RTOs: Clause 3.5**

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

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

### **Standards for RTOs: Clause 1.26 (1.27)**

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

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

#### **Clause 1.27**

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

SELF-ASSESSMENT: COMPLETION	YES	NO	N/A
An AVETMISS-compliant student records management system has been acquired/developed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>The organisation will, through its student records management system or otherwise:</p> <ul style="list-style-type: none"> <li>▪ retain registers of AQF qualifications it is authorised to issue, and of all qualifications and Statements of Attainment issued</li> <li>▪ retain records of AQF qualifications and Statements of Attainment issued, for a period of 30 years</li> <li>▪ issue qualifications and Statements of Attainment within 30 calendar days but only if student assessments show that all competencies have been achieved and provided all fees have been paid</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>The organisation will, through its student records management system or otherwise:</p> <ul style="list-style-type: none"> <li>▪ <u>NOT</u> issue AQF certification documentation without being in receipt of a verified Student Identifier for each student</li> <li>▪ ensure the security of Student Identifiers and any related documentation</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A procedure is in place to ensure that required timeframes for student completion will be met when qualifications or units of competency are superseded or deleted from training.gov.au	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A national recognition/credit transfer process is in place to recognise and record credit provided to students for any units /modules already achieved, provided they are evidenced by an authenticated VET transcript or certification issued by another RTO or one of the VET regulators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Templates have been designed for qualifications, records of results and Statements of Attainment OR Statements of Attainment only, as applicable to the training products in the application	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Templates for AQF qualifications and Statements of Attainment include:</p> <ul style="list-style-type: none"> <li>▪ the name (and logo) of your organisation</li> <li>▪ your RTO code or a placeholder if one is yet to be assigned</li> <li>▪ TAC logo and NRT logo – placeholders or ‘SAMPLE’ if actual logos are used prior to registration</li> <li>▪ authorised signatory</li> <li>▪ date of issue</li> <li>▪ code and title (as published on training.gov.au) of the training product/s awarded</li> <li>▪ a mechanism to prevent fraudulent copying such as the organisation’s seal, corporate identifier or unique watermark</li> <li>▪ if training and assessment has been delivered in a language <u>other than English</u>, the words ‘these units have been delivered and assessed in [language]’ with a list of the units/modules to which this applies</li> <li>▪ if required by the state training authority (eg for government funded delivery), the state training authority logo</li> </ul> <p>Templates must <u>NOT</u> include the student’s USI (consistent with the <i>Student Identifiers Act 2014</i>)</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SELF-ASSESSMENT: COMPLETION	YES	NO	N/A
<p>Qualifications include:</p> <ul style="list-style-type: none"> <li>▪ <u>either</u> the statement 'The qualification is recognised within the Australian Qualifications Framework' <u>OR</u> the AQF logo (but not both)</li> <li>▪ if delivered through an apprenticeship program, the words 'achieved through Australian Apprenticeship arrangements'</li> </ul> <p>and <u>may</u> include:</p> <ul style="list-style-type: none"> <li>▪ an occupational or functional stream (in brackets) <u>only</u> if this is authorised in the Training Package qualification packaging rules or is already in the qualification title on training.gov.au</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Statements of Attainment include:</p> <ul style="list-style-type: none"> <li>▪ a design that clearly differentiates the Statement of Attainment from a qualification, for example by: <ul style="list-style-type: none"> <li>▪ using a prominent title 'Statement of Attainment'</li> <li>▪ providing any reference to a related qualification as a sentence without making the qualification code and title prominent</li> </ul> </li> <li>▪ the explanatory statement 'A Statement of Attainment is issued by a registered training organisation when an individual has completed one or more accredited units'</li> <li>▪ if the Statement of Attainment relates to part of an incomplete qualification rather than standalone unit/s, the words 'These competencies form part of [code and title of qualification or VET accredited short course]'</li> <li>▪ if the Statement of Attainment relates to completion of a VET accredited short course with a title commencing with 'Course in ...' the words 'These competencies were attained in completion of [Code] Course in [title]'</li> </ul>			
<p>All logos comply with their conditions of use relating to designated colours, orientation and sizing</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>The NRT logo is used only in accordance with Schedule 4 of the Standards</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Records of results:</p> <ul style="list-style-type: none"> <li>▪ are documents issued with every qualification</li> <li>▪ may use any format, however they should be sufficiently different so as not to be mistaken for a Statement of Attainment</li> <li>▪ do <u>not</u> use the TAC logo, the AQF logo, or the NRT logo</li> <li>▪ should probably (not mandated) use the same abbreviations for unit outcomes as those used by the USI registrar in an authenticated VET transcript ie <ul style="list-style-type: none"> <li>▪ CA Competency achieved</li> <li>▪ RPL Recognition of prior learning granted</li> <li>▪ CT Credit transfer/national recognition</li> </ul> </li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Where students are provided with documentation acknowledging their participation in non-accredited training, this documentation is designed so that it will not be mistaken for a Statement of Attainment or qualification</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Other evidence unique to your organisation (please specify in Section 9 evidence list)</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



attach the following evidence:

1. Copy of templates for issuing Statements of Attainment, qualifications (if applicable) and records of results (if applicable)
2. Process for issuing certification documents.

## SECTION 7: THIRD PARTIES

If you plan to use third parties to provide any services on your behalf you are ultimately responsible for their actions so processes for the set-up, monitoring, recording and reporting arrangements are essential for your continued compliance with the Standards.

Services provided by third parties may include:

- recruitment services including marketing, enrolment and/or collection of fees
- student support services where a contract is in place for this, but excluding counselling, mediation, ICT support, and arrangements where government service providers such as Centrelink refer students, and do not receive payment from the RTO
- training and/or assessment (NB: contract trainers and workplace assessors are not considered to be third parties)
- other

Review your third-party arrangements (if any) and complete your self-assessment.



TAC Fact Sheet on Third Party Arrangements and the TAC Users' Guide to the Standards for RTOs.

### ***Standards for RTOs: Clause 2.1***

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

### ***Standards for RTOs: Clause 2.3***

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

### ***Standards for RTOs: Clause 2.4***

The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf and uses these to ensure that the services delivered comply with these Standards at all times.

### ***Standards for RTOs: Clause 8.2***

The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:

- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- b) in the conduct of audits and the monitoring of its operations.

### Standards for RTOs: Clause 8.3

The RTO notifies the Regulator:

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

SELF-ASSESSMENT: THIRD PARTY ARRANGEMENTS	YES	NO	N/A
A written agreement is in place with every third party that will provide services on behalf of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Each written agreement with a third party specifies: <ul style="list-style-type: none"> <li>▪ the rights and responsibilities of both organisations, in relation to:               <ul style="list-style-type: none"> <li>▪ the specific services to be provided</li> <li>▪ compliance with the Standards for RTOs 2015</li> <li>▪ marketing</li> <li>▪ enrolments</li> <li>▪ managing payments and refunds</li> <li>▪ record keeping and data provision</li> <li>▪ dealing with complaints and appeals</li> <li>▪ participating in RTO-initiated audits</li> </ul> </li> <li>▪ the requirement for third parties to cooperate with any requests from TAC such as:               <ul style="list-style-type: none"> <li>▪ providing factual and accurate data within requested timelines</li> <li>▪ participating in audit and monitoring activities</li> </ul> </li> <li>▪ the process for performance/behaviour monitoring of third parties, including identifying corrective action that may be taken against them in the event the third parties are not complying with the Standards</li> <li>▪ notice periods for renewal, conflict resolution or closure of the agreement</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A process had been developed for monitoring the behaviour of third parties and taking corrective action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other evidence unique to your organisation (please specify in Section 9 evidence list)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



attach the following evidence:

1. List of all third parties, with contact names, positions, phone numbers and the service/s they provide
2. Copies of agreements with all third parties
3. Strategies to monitor third parties
4. Completed forms for each third party: TAC Form RTO3 – Notification of Third Party Agreement form.

## SECTION 8: LEGAL COMPLIANCE AND REPORTING

### LEGAL COMPLIANCE

As an RTO you are required to be legally compliant at all times – not once a year when you are asked to complete a declaration of compliance with the Standards, not just prior to a scheduled audit, but at all times. This requires not just compliance with the Standards, but with all Commonwealth and State legislation that impacts your RTO, the industry served by the units of competency and qualifications you have included in your application, and even your potential students. Good governance is critical if you are to deliver training and assessment that have integrity and fulfil your obligations to your students and industry/ies. Review your preparedness to meet your obligation to be legally compliant at all times and complete your self-assessment.

-  TAC Users' Guide to the Standards for RTOs, the *VET Act 1996* and *VET (General) Regulations 2009*, Working with Children requirements for organisations and staff, industry specific legislation for licensed or regulated work, etc.

#### **Standards for RTOs: Clause 8.5**

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

#### **Standards for RTOs: Clause 8.6**

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

Data Provision Requirements: DPR5 Information required upon request

- 5.1 The following information must be provided to the VET Regulator if requested for the purpose of initial registration, renewal of registration or audits:
- (u) whether or not the applicant/RTO delivers, or intends to deliver, training to students under the age of 18, and if so
    - i. Working with Children Checks for all relevant persons; and
    - ii. policies and procedures for managing these students.

#### **Standards for RTOs: Clause 2.1**

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

#### **Standards for RTOs: Clause 2.2**

The RTO:

- a) systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and
- b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

### Standards for RTOs: Clause 8.4

The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:

- a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and
- b) has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

SELF-ASSESSMENT: LEGAL COMPLIANCE	YES	NO	N/A
All aspects of the day-to-day running of the organisation are compliant with the Standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legislative and regulatory requirements related to registration and operation as an RTO have been determined and addressed in organisational procedures and documents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legislative and regulatory requirements have been identified in relation to the scope of delivery in the operating locations sought, and this has been addressed in the development of policies and practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A process for systematic monitoring and evaluation of the organisation's practices and outcomes in relation to legislative and regulatory requirements and the Standards has been developed and implemented (in the case of existing RTOs)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff members whose roles require licences, Police clearances, Working with Children Checks etc have provided the necessary evidence, which has been checked and recorded	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Information for staff and students identifies legislative and regulatory requirements with which they must comply, and a process is in place to notify any changes as they occur	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other evidence unique to your organisation (please specify in Section 9 evidence list)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



attach the following evidence:

Include the following with staff credentials provided for Section 5: Trainers and Assessors (if applicable):

1. Working with Children checks
2. Police clearances
3. Licences or evidence of meeting regulatory requirements specific to the industry.

## **REPORTING**

The collection, analysis and reporting of student data will assist you with forward planning in your organisation, and to predict and react to industry trends and skill needs. AVETMISS data that you report is collated at a national level, which provides the big picture trends, while quality indicator surveys and other student and employer feedback lets you know how well you are perceived and how satisfied your customers are (ie your students and industry clients). The software you have developed or acquired will assist with uploading and validating data and running reports essential for most RTOs. Review your arrangements for gathering, analysing and reporting data and complete your self-assessment.

-  TAC Fact Sheet on Reporting Requirements, TAC Guideline on Records Management and the TAC Users' Guide to the Standards for RTOs.

### ***Standards for RTOs: Clause 3.4***

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

### ***Standards for RTOs: Clause 7.5***

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

### ***Standards for RTOs: Clause 8.1***

The RTO cooperates with the VET Regulator

- a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;
- b) in the conduct of audits and the monitoring of its operations;
- c) by providing quality/performance indicator data;
- d) by providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring;
- e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring;
- f) in the retention, archiving, retrieval and transfer of records

SELF-ASSESSMENT: REPORTING	YES	NO	N/A
Processes are in place to ensure ongoing cooperation with TAC in relation to audits, monitoring and reporting requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A records management system and processes have been developed/acquired to enable records to be retained, archived and retrieved in response to requests from students or TAC, subject to privacy requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Enrolment data fields have been compared to AVETMISS reporting requirements and adjusted to suit if required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A process is in place for the collection, analysis and reporting on learner and employer quality indicator survey results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A reporting schedule has been developed or digital alerts programmed to ensure timely submission of reports due in February, June and September each year	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other evidence unique to your organisation (please specify in Section 9 evidence list)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



No specific evidence is requested.

### SECTION 9: LIST OF SUPPORTING EVIDENCE TO BE PROVIDED WITH THE APPLICATION

Please check that you have included the following evidence (ZIP) files with your application. Please keep your file names and the pathways to their storage locations short to facilitate upload.

CHECKLIST OF ATTACHED EVIDENCE	YES	File or Document Names
<b>1. SETTING UP</b>	<input type="checkbox"/>	Clauses 7.1,7.2 & 7.4
<b>Initial &amp; Renewal of Registration Applications</b>		Clause 7.4
<input type="checkbox"/> Public liability insurance Certificate of Currency or equivalent <input type="checkbox"/> Fit and Proper Person Declarations for owners, CEOs and any other persons	<input type="checkbox"/>	
<b>Renewal of Registration Applications Only</b>		Clause 7.1
Organisational structure that shows the size and internal structure of your RTO.		
<b>Initial Registration Applications Only</b>		Clauses 7.1 & 7.2
<input type="checkbox"/> Documentary evidence of the organisation's name/s and legal status <input type="checkbox"/> Business plan <input type="checkbox"/> The name/s of the software to be used for financial management, and for AVETMISS data <input type="checkbox"/> For commercial software – proof of purchase	<input type="checkbox"/>	

CHECKLIST OF ATTACHED EVIDENCE	YES	File or Document Names
<p>Evidence of financial viability for all applicants</p> <p>Financial projections for the first two years of operation:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Profit and loss statements (2 years)</li> <li><input type="checkbox"/> Balance sheets (2 years)</li> <li><input type="checkbox"/> Cash flow statements (2 years)</li> <li><input type="checkbox"/> Statement of review prepared and signed by a qualified accountant, indicating that: <ul style="list-style-type: none"> <li>▪ Financial projections have been reviewed in accordance with Australian Auditing and Assurance Standards, including an opinion as to whether the projections represent a true and fair view of the applicant's future operation;</li> <li>▪ The operations are sustainable during the intended period of registration; and</li> <li>▪ Nothing has come to the accountant's attention that causes them to believe that the assumptions used do not provide a reasonable basis for the preparation of the projections (statement of negative assurance).</li> </ul> </li> <li><input type="checkbox"/> Membership credentials of qualified accountant who prepared the statement of review.</li> </ul>	<input type="checkbox"/>	
<p>Additional financial evidence required for existing businesses:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Most recent financial statements, specifically: <ul style="list-style-type: none"> <li>▪ Profit and Loss Statement (Statement of Comprehensive Income)</li> <li>▪ Balance Sheet (Statement of Financial Position)</li> <li>▪ Cash Flow Statement (Statement of Cash Flows – if available)</li> <li>▪ Directors'/Owners' Declaration, signed and dated.</li> </ul> </li> <li><input type="checkbox"/> Independent audit report that is signed, dated and certified by a registered auditor in accordance with Australian Auditing Standards; <u>OR</u></li> <li><input type="checkbox"/> Compilation report that is signed, dated and certified by a qualified accountant in accordance with Australian Accounting Standards.</li> </ul>	<input type="checkbox"/>	

<b>2. MARKETING</b>	<input type="checkbox"/>	Clause 4.1
<input type="checkbox"/> Sample/s of current or intended marketing material either printed or online to market the organisation and/or its courses to potential students <input type="checkbox"/> Link to online marketing information, if applicable.		
<b>3. RECRUITMENT AND ENROLMENT</b>	<input type="checkbox"/>	Clauses 1.26d, 3.5, 3.6a, 3.6c, 5.1 – 5.4, 7.3 & 7.5
<input type="checkbox"/> Pre-enrolment information such as course information, student handbooks <input type="checkbox"/> Student enrolment form/documentation that captures all required information <input type="checkbox"/> Fees and refunds information for students <input type="checkbox"/> Evidence of the fee protection mechanism to be used (if applicable – eg Tuition Assurance Scheme membership)		
<b>4. SUPPORT SERVICES</b>	<input type="checkbox"/>	Clauses 1.3b, 1.7 & Standard 6
<input type="checkbox"/> List of support services you have identified for your intended students (unless this has already been included in your training and assessment strategies in the following Section 5) <input type="checkbox"/> List of staff members, if any, nominated as contact persons for students seeking support, with details of their position in the organisation and the support role they will undertake <input type="checkbox"/> Complaints and appeals policy/policies.		
<b>5. DELIVERY OF TRAINING AND ASSESSMENT</b>		
<b>A) INDUSTRY ENGAGEMENT</b>	<input type="checkbox"/>	Clauses 1.5 & 1.6
<input type="checkbox"/> Contact details of industry organisations and/or individuals consulted in relation to each training product in your intended scope of registration, their input and how/if this was used to ensure the industry relevance of your training and assessment strategies and the current industry skills of your trainers and assessors. (If this information has been included in your training and assessment strategies, a note to that effect will suffice. However, it is important to maintain and be able to present evidence at audit that supports any claims made.)		

<b>B) STRATEGIES - TRAINING AND ASSESSMENT</b>	<input type="checkbox"/>	Clauses 1.1,1.2 & 2.2
<ul style="list-style-type: none"> <li><input type="checkbox"/> Training and assessment strategies for all qualifications, units of competency or VET accredited courses (training products) included in your application for registration</li> <li><input type="checkbox"/> If not included in your strategies, your rationale for the amount of training you will provide for the student cohort/s for each training product</li> <li><input type="checkbox"/> For accredited courses: written approval from the Copyright owner to deliver the course and a copy of the accredited course document which will include all units of competency or modules developed for the course.</li> </ul>		
<b>C) TRAINERS AND ASSESSORS</b>	<input type="checkbox"/>	Clauses 1.3a, 1.13 – 1.20
<ul style="list-style-type: none"> <li><input type="checkbox"/> A list of trainers and assessors for each of the training products included in your application, and their availability to be contacted during an audit either in person or via telephone</li> <li><input type="checkbox"/> Evidence that each trainer and assessor has agreed to commence employment after registration</li> <li><input type="checkbox"/> Evidence that trainers and assessors have the required training and assessment credentials</li> <li><input type="checkbox"/> Evidence that trainers and assessors have the required vocational competencies</li> <li><input type="checkbox"/> Evidence that trainers and assessors have current industry skills, with the evidence also showing how the skills directly relate to the units of competency they will deliver and assess</li> <li><input type="checkbox"/> Evidence of professional development in VET undertaken by and/or planned for trainers and assessors</li> <li><input type="checkbox"/> Evidence of the arrangements in place for individuals working under the supervision of a trainer, including evidence of the supervisor's credentials, industry experience and currency (if applicable).</li> </ul>		

<b>D) FACILITIES, EQUIPMENT AND RESOURCES</b>	<input type="checkbox"/>	Clauses 1.3c, 1.3d & 1.4
<ul style="list-style-type: none"> <li><input type="checkbox"/> Lease agreements, hire agreements or ownership documents for training facilities or venue/s</li> <li><input type="checkbox"/> Local Government Authority approval for educational premises (if applicable)</li> <li><input type="checkbox"/> Workplace resource lists and agreements confirming access to facilities, equipment and the range of work directly related to Training Package requirements (for workplace delivery)</li> <li><input type="checkbox"/> Delivery schedule for each delivery location (if not already included in the training and assessment strategies)</li> <li><input type="checkbox"/> A <u>list</u> of learning resources that have been purchased or developed for each training product with <u>evidence</u> that shows they address all requirements specified in the units of competency</li> <li><input type="checkbox"/> A sample of learning resources for the highest qualification applied for in each industry area (include high risk units if applicable). Do not include copies of commercial resources – provide proof of purchase instead.</li> <li><input type="checkbox"/> Evidence that you have the required plant, equipment or PPE for all training products, and evidence to show how you confirm this will be fit for purpose prior to use – evidence may be in any form such as photos, documents, agreements, etc.</li> </ul>		
<b>E) ASSESSMENT</b>	<input type="checkbox"/>	Clauses 1.4, 1.8 – 1.12 & 3.1
<ul style="list-style-type: none"> <li><input type="checkbox"/> A complete list of assessment tools to be used for each unit of competency/module/cluster of units included in the application, with all these tools available at audit</li> <li><input type="checkbox"/> If your application includes qualifications: Assessment tools for at least <u>two</u> units of competency for the highest-level qualification in each industry area, including high risk units if applicable</li> <li><input type="checkbox"/> If your application includes individual units of competency: Assessment tools for at least <u>two</u> units in each industry area, including high risk units if applicable</li> <li><input type="checkbox"/> For mandatory assessments, evidence that these have been obtained from the regulator</li> <li><input type="checkbox"/> RPL kit/tools for one qualification or two units of competency</li> </ul>		

<input type="checkbox"/> A validation plan and schedule that includes all qualifications and units of competency or VET accredited courses included in the application.		
<b>6. COMPLETION</b>	<input type="checkbox"/>	Clauses 3.1, 3.2, 3.3, 3.5, 3.6 & 1.26 (1.27)
<input type="checkbox"/> Copy of templates for issuing Statements of Attainment, qualifications (if applicable) and records of results (if applicable) <input type="checkbox"/> Process for issuing certification documents.		
<b>7. THIRD PARTIES</b>	<input type="checkbox"/>	Clauses 2.1, 2.3, 2.4, 8.2 & 8.3
<input type="checkbox"/> List of all third parties, with contact names, positions, phone numbers and the service/s they provide <input type="checkbox"/> Copies of agreements with all third parties <input type="checkbox"/> Strategies to monitor third parties <input type="checkbox"/> Completed forms for each third party: TAC Form RTO3 – Notification of Third Party Agreement form.		
<b>8. LEGAL COMPLIANCE AND REPORTING</b>	<input type="checkbox"/>	Clauses 2.1, 2.2, 8.4, 8.5 & 8.6
Licences, Police clearances, Working with Children checks etc have been included with the staff credentials provided for Section 5: Trainers and Assessors (if applicable)		
<b>9. EVIDENCE UNIQUE TO YOUR ORGANISATION</b>	<input type="checkbox"/>	
Please specify any other evidence provided:		

**DECLARATION BY THE ORGANISATION'S (INITIAL APPLICATION) OR RTO'S (RENEWAL APPLICATION) CHIEF EXECUTIVE/LEGALLY RESPONSIBLE PERSON**

I, \_\_\_\_\_, confirm that this self-assessment and the evidence compiled represents a true and accurate reflection of the organisation's/RTO's operations and associated resources to meet the requirements of the *Standards for Registered Training Organisations 2015*, in relation to the training products in the initial/renewal (*please circle*) application.

Signature:

Date: