

# Amendment to Scope Application Self-Assessment Tool

## Purpose and scope of the self-assessment

The purpose of completing the self-assessment is to identify and organise the evidence to support your application.

This is a first step in the process to demonstrate compliance against the [Standards for Registered Training Organisations \(RTOs\) 2015](#) (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 RTOs. However, it is a useful tool for you to monitor your progress towards compliance and to confirm that you are sufficiently prepared prior to lodging your application. Further evidence may be required to establish your RTO's compliance with the Standards relating to your application.

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 RTO must deliver training and assessment or manage your RTO
- identify all evidence required to demonstrate compliance with the Standards.

Any amendment to scope of registration that undergoes an audit will be audited against the following subset of the Standards:



Standard	Clauses	Description
Standard 5	5.1, 5.3	Learners are properly informed and protected
Standard 1	1.1, 1.2, 1.3, 1.5, 1.6, 1.7, 1.8, 1.9, 1.13, 1.14, 1.16	Training and Assessment: Learner Support Industry engagement Training and assessment strategies and practices Trainers and assessors Facilities, equipment and resources Assessment Validation

Where applicable, the following Clauses may also be audited:

Standard	Clauses	Description
Standard 1	1.15 1.17 – 1.20 1.22 – 1.25	Assessors conducting assessment only Trainers and Assessors Supervision Arrangements Delivery of TAE Training and Education Training Package
Standard 2	2.3, 2.4	Third party arrangements
Standard 7	7.3	Fees in advance
Standard 8	8.5	Legislation and regulatory requirements


## Before you begin

Ensure that there is a clear rationale for amending your scope of registration. Your long-term business planning may have included the training products to be added to scope or you may be responding to recently identified industry needs. Either way you must be able to provide evidence of industry engagement and sufficient resources to support the addition to your scope of registration.

Symbols used:  = attach evidence  = help information

## SECTION 1: 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](#)  
[TAC Users' Guide to the Standards](#)

### **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 5.3**

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.

SELF-ASSESSMENT: RECRUITMENT AND ENROLMENT	YES	NO	N/A
<p>The RTO 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 RTO 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> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pre-enrolment information contains the names and contact details of any third parties providing services on behalf of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evidence of the fee protection mechanism to be used (if applicable – eg Tuition Assurance Scheme membership)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>If fees are collected from individual students directly or through a third party, address the following:</b>			
Fees and refund information is accessible and in plain English	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Pre-enrolment information includes:</p> <ul style="list-style-type: none"> <li>all fees a student will need to pay over the term of their enrolment</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"/>



supporting evidence may include:

1. Pre-enrolment information such as course information, student handbooks
2. Fees and refunds information for students
3. Evidence of the fee protection mechanism to be used (if applicable – e.g. Tuition Assurance Scheme membership).

## SECTION 2: 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 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.

As an RTO you are 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, particularly the expected cohort for the training products in the amendment to scope application.

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 enrolling in the training products in your amendment to scope application and complete your self-assessment.



[TAC Fact Sheet on Amount of Training](#)

[TAC Fact Sheet on Developing Training and Assessment Strategies](#)

[TAC Fact Sheet on Identifying and Meeting Learner Needs](#)

[TAC Users' Guide to the Standards](#)

[AQF](#) volume of learning information for each qualification level

### ***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 1.3a, 1.3b

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

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

### 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.

## 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 course/s 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 amendment to scope	<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 RTO (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"/>

# SELF-ASSESSMENT: STRATEGIES FOR TRAINING AND ASSESSMENT

YES NO N/A

<p>Each training and assessment strategy sets out delivery arrangements such as:</p> <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 to provide</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"/>
<p>Each training and assessment strategy identifies the resources needed for delivery such as:</p> <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"/>
<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 the 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>Support services likely to be needed by students in the intended cohort have been identified and sourced</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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

YES NO N/A

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 additional 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 RTO is not equipped to provide that support) and up-to-date links to these services have been provided to all staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



supporting evidence may include:

1. Training and assessment strategies for all qualifications, units of competency or VET accredited courses (training products) included in your amendment to scope application
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. List of support services (and providers if applicable) that you have identified for your intended students (unless this will be included within your training and assessment strategies in Section 3)
4. 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.

### SECTION 3: INDUSTRY ENGAGEMENT

Engagement with the industry organisations/individuals connected to your intended amendment to scope 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 show 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](#)  
[TAC Users' Guide to the Standards](#)

For details of national industry organisations that support training, access the [Australian Industry and Skills Committee](#)

### **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 future industry needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



supporting evidence may include:

1. Contact details of industry organisations and/or individuals consulted in relation to each training product in your intended amendment to 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 if required, to support any claims made.)

## **SECTION 4: 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 Fact Sheet on Trainer and Assessor Requirements](#)

[TAC Users' Guide to the Standards](#)

[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, 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 1.16***

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 1.15***

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 1.17***

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.

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

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

<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 currently works for the RTO or has agreed to commence employment if the application for amendment to scope is successful	<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"/>
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><input type="checkbox"/> TAE40116 Certificate IV in Training and Assessment, or</li> <li><input type="checkbox"/> TAE40110 Certificate IV in Training and Assessment + TAE40111/401 + TAEASS502/A/B</li> </ul> <b>For those conducting assessment only</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> TAEASS00011 Assessor Skill Set or TAEASS00001 Assessor Skill Set + TAEASS502/A/B</li> </ul>	<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"/>

SELF-ASSESSMENT: TRAINERS AND ASSESSORS	YES	NO	N/A
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"/>
Evidence of Working with Children Check for trainers and assessors (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



supporting evidence may include:

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 currently working for the RTO or has agreed to commence employment if the amendment to scope application is successful
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)
8. Evidence of compliance with Working with Children legislation (if the RTO intends to deliver to students under 18), Police clearances, licences etc (if applicable)

## SECTION 5: FACILITIES, EQUIPMENT AND RESOURCES

Before you submit an application to amend your scope of 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 Standards require 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 approvals of your application. If you plan to conduct training at workplaces, you will need to have a written agreement with each of those employers describing the conditions for the RTO to use the workplace/s 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.

SELF-ASSESSMENT: FACILITIES, EQUIPMENT AND RESOURCES	YES	NO	N/A
For face-to-face delivery and assessment, delivery locations either: <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 approval of the amendment to scope application</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"/>
For new venues, Local Council or Shire approval has been obtained to enable premises to be used for educational purposes (if applicable) [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.]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
For face-to-face delivery and assessment, all delivery locations: <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"/>
If work placements are part of training and assessment, placement venues have been sourced that: <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/s</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"/>

SELF-ASSESSMENT: FACILITIES, EQUIPMENT AND RESOURCES	YES	NO	N/A
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"/>
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"/>



supporting evidence may include:

1. Workplace resource lists and agreements confirming access to facilities, equipment and the range of work directly related to Training Package requirements (for workplace delivery)
2. A list of learning resources for each training product with evidence that shows they address all requirements specified in the units of competency
3. Training materials for the same units of competency for which assessment materials are provided (See Section 6 below).
4. 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 it to be fit for purpose prior to use – evidence may be in any form such as photos, documents, agreements, etc

## SECTION 6: 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 of the additional training products. Then complete your self-assessment.



[TAC Fact Sheet on Assessment](#)

[TAC Fact Sheet on Assessment Validation](#)

[TAC Users' Guide to the Standards for RTOs](#)

Tables 1.8-1 and 1.8-2 in the Standards for the principles of assessment and the rules of evidence, the Glossary to the Standards for definitions related to assessment and validation, and Schedule 1 of the Standards regarding assessment 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 1.9**

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.

<b>SELF-ASSESSMENT: ASSESSMENT</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
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"/>




SELF-ASSESSMENT: ASSESSMENT	YES	NO	N/A
<p>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:</p> <p><input type="checkbox"/> Prerequisites (if any)</p> <p><input type="checkbox"/> Elements (as defined by their associated performance criteria)</p> <p><input type="checkbox"/> Performance evidence / Required Skills</p> <p><input type="checkbox"/> Knowledge Evidence / Required Knowledge</p> <p><input type="checkbox"/> Conditions of Assessment / Critical Aspects</p>	<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"/>
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"/>
<p>The RTO's validation plan shows:</p> <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"/>
<p>The RTO's validation plan shows:</p> <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"/>



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 on request
2. If your application includes qualifications: Assessment tools for at least two units of competency for each qualification in the application, 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)
4. RPL kit/tools 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. This may be in the form of an addition to your existing 5-year validation schedule.

If you plan to use third parties to provide services on your behalf in relation to your amendment to scope, 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.

- 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

 [TAC Fact Sheet on Third Party Arrangements](#)  
[TAC Users' Guide to the Standards for RTOs](#)

**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.

<b>SELF-ASSESSMENT: THIRD PARTY ARRANGEMENTS (if applicable)</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
A written agreement is in place with third parties that will provide services on behalf of the RTO	<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>the training products involved</li><li>compliance with the Standards</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/s</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A process has been developed for monitoring the behaviour of third parties and taking corrective action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

 supporting evidence may include:

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: ADDING TAE TRAINING PRODUCTS TO SCOPE (if applicable)

If you plan to include training products from the TAE Training and Education Training Package in your amendment to scope application, there are specific requirements in the *Standards for RTOs* that must be met for your trainers and assessors and for independent validation of your assessment system, tools, processes and outcomes. Your RTO must also have been registered and delivering other vocational qualifications and/or units of competency for a period of two (2) years before you can add any qualification or assessor skill set from the TAE Training and Education Training Package to your scope of registration. Review your TAE preparations and complete your self-assessment.



[TAC Fact Sheet on Delivery of TAE](#)  
[TAC Users' Guide to the Standards for RTOs](#)

### ***Standards for RTOs: Clause 1.22***

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

### ***Standards for RTOs: Clause 1.23***

To deliver the training and assessment credential specified in Item 1 or Item 2\* of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:

- a) hold the training and assessment credential specified in Item 7\*\* of Schedule 1; or
- b) work under the supervision of a trainer that meets the requirement set out in a) above

\*

\*\*TAE50111, or TAE50116, or TAE50211, or TAE50216 or a higher-level qualification in adult education

### ***Standards for RTOs: Clause 1.24***

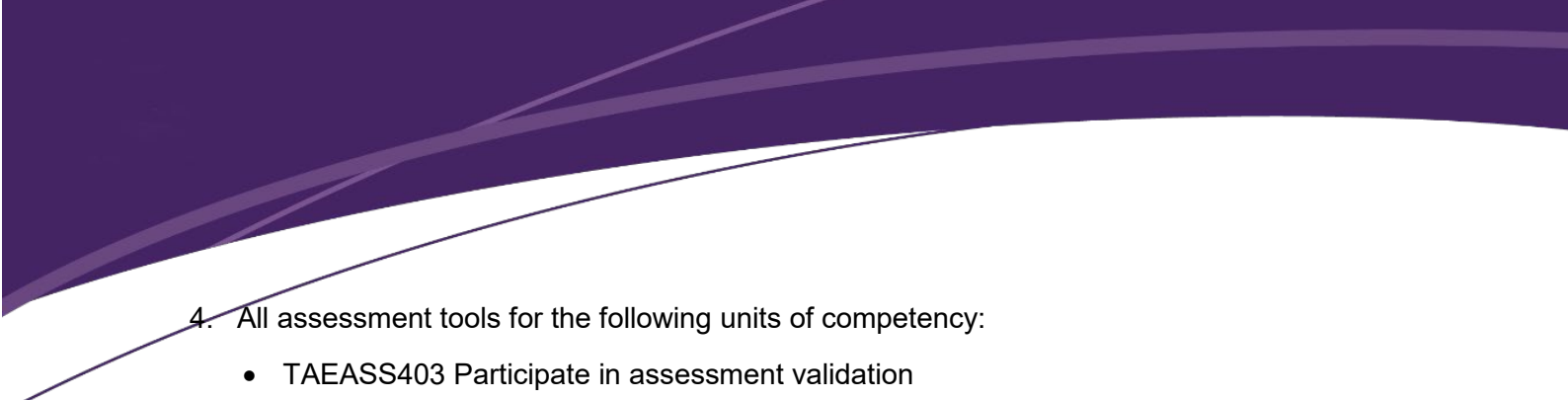
The RTO must ensure that any person working under supervision for the purposes of Standard 1.23 b):

- a) does not determine assessment outcomes; and
  - i. holds the training and assessment credential specified in Item 2 of Schedule 1.

### ***Standards for RTOs: Clause 1.25***

To deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of **independent validation** and **validation**).



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4. All assessment tools for the following units of competency:
    - TAEASS403 Participate in assessment validation
    - TAEASS502 Design and develop assessment tools
    - TAEDEL401 Plan, organise and deliver group-based learning
    - TAEELN411 Address adult language, literacy and numeracy skills
  5. Evidence of the conduct and outcomes of independent validations undertaken, including details about the independent validator/s, their credentials and experience.