



Audit report – RTO Delegation

ORGANISATION DETAILS

Organisation's legal name:	Training Professionals Pty Ltd
Trading name/s:	NA
RTO number:	31955
CRICOS number:	NA

AUDIT TEAM

Lead auditor:	Kerry Russell
Assistant/s:	NA
Technical advisor/s:	NA

AUDIT DETAILS

Audit reason:	Delegation Audit		
Activity type:	Site visit		
Address of site/s visited:	145 Government Rd, Richlands QLD		
Date/s of audit:	30 March 2016		
Organisation's contact for audit:	Stephen Harding	Director	
	steve@trainingprofessionals.com.au	0407 779 843	
Delegation requirements audited:	All		
Standards / Clauses audited:	1.1, 1.2, 1.3, 1.8, 1.13, 1.14, 1.16, 2.4, 4.1, 5.1-5.4		

BACKGROUND

- On 24 & 29 March 2016, the RTO exercised its delegation to significantly reduce its scope – the following 41 qualifications were removed as they are not currently being used (leaving only 19 qualifications and 10 units on scope):
 - AHC20310- Certificate II in Production Horticulture
 - ICA30111- Certificate III in Information, Digital Media and Technology
 - AHC20610- Certificate II in Parks and Gardens
 - AHC20710- Certificate II in Production Nursery
 - AHC20910- Certificate II in Sports Turf Management
 - AHC21210- Certificate II in Rural Operations
 - AHC30610- Certificate III in Production Horticulture
 - AHC30810- Certificate III in Arboriculture
 - AHC31110- Certificate III in Production Nursery
 - AHC31310- Certificate III in Sports Turf Management



11. CPC10111- Certificate I in Construction
 12. CPC20211- Certificate II in Construction Pathways
 13. CPC30111- Certificate III in Bricklaying/Blocklaying
 14. CPC30211- Certificate III in Carpentry
 15. CPC31111- Certificate III in Steelfixing
 16. CPC40110- Certificate IV in Building and Construction (Building)
 17. CUA31015- Certificate III in Screen and Media
 18. CUF30107- Certificate III in Media
 19. CUF50107- Diploma of Screen and Media
 20. ICT50215- Diploma of Digital and Interactive Games
 21. MSA30107- Certificate III in Process Manufacturing
 22. RII20513- Certificate II in Resource Processing
 23. RII20515- Certificate II in Resource Processing
 24. RII30413- Certificate III in Resource Processing
 25. RII30415- Certificate III in Resource Processing
 26. RII30613- Certificate III in Small Mining Operations
 27. RII30615- Certificate III in Small Mining Operations
 28. RII40513- Certificate IV in Resource Processing
 29. RII40515- Certificate IV in Resource Processing
 30. TLI11210- Certificate I in Warehousing Operations
 31. TLI11215- Certificate I in Warehousing Operations
 32. TLI21210- Certificate II in Driving Operations
 33. TLI21311- Certificate II in Rail Infrastructure
 34. TLI21315- Certificate II in Rail Infrastructure
 35. TLI21610- Certificate II in Warehousing Operations
 36. TLI21710- Certificate II in Road Transport Yard Operations (Freight Handler)
 37. TLI22213- Certificate II in Tram or Light Rail Infrastructure
 38. TLI22215- Certificate II in Tram or Light Rail Infrastructure
 39. TLI31610- Certificate III in Warehousing Operations
 40. TLI32511- Certificate III in Rail Infrastructure
 41. TLI32515- Certificate III in Rail Infrastructure
- The RTO has 5 third party agreements in place – in relation to landscaping and mining (none are in place in respect of the qualifications sampled for this audit).
 - The RTO had an association with Face-to-Face in the past but no longer has any business dealings with that organisation.
 - The RTO employs trainers and assessors via contract on as needs, per student-per unit basis
 - Most training and assessment occurs in the workplace and uses equipment and facilities of those workplaces (confirmation of access to the physical resources required by each training package area is obtained prior to the commencement of training and assessment)

Total number of current enrolments in RTO as at audit date:

- There are no past, currently or pending enrolments in either of the two (2) qualifications sampled for this audit.



AUDIT SAMPLE

Code	Training products	Mode/s of delivery / assessment*	Current enrolments (If not yet on scope, record N/A)
CPC30611	Certificate III in Painting and Decorating	Face to face at workplace	0
HLT47815	Certificate IV in Optical Dispensing	Face to face at workplace	0

*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES

Name	Position	Training products
Mr Stephen Harding	Director	NA
Mr David Harding	Various roles	NA

ORIGINAL FINDING AT TIME OF AUDIT

Audit finding as at 30/03/16 (audit report issued 31/03/16):

Delegation requirements: **Requirements not met**

Standards requirements: **Not compliant**

- If the requirements have not been met and/or non-compliance has been identified, this audit report describes evidence of the findings.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 29/04/2016:

Delegation requirements: **Requirements not met**

Standards requirements: **Not compliant**

AUDIT FINDING BY REQUIREMENT

Requirements for a delegate Quality Assurance System (Delegation requirements)

Section	Original finding	Finding following rectification
R1	Requirement not met	Requirement met
R2	Requirement not met	Requirement met
R3	Requirement met	n/a
R4	Requirement not met	Requirement not met
R5	Requirement met	n/a
R6	Requirement not met	Requirement met

Standards for Registered Training Organisations 2015 (the Standards)

Standard	Original finding	Finding following rectification
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Standard 1	Not compliant	Not compliant
Standard 2	Not audited	n/a
Standard 4	Not compliant	Compliant
Standard 5	Not compliant	Not compliant

RATING OF AUDIT FINDING

Performance of the delegated function:	Good
Effectiveness of the internal review:	Good

ABOUT THIS REPORT

This report details findings against the 'Requirements for a delegate Quality Assurance System', as described in Schedule 2 of the Delegation Agreement; and the *Standards for Registered Training Organisations 2015*.

Requirements for a delegate Quality Assurance System

- The evidence guidance included against each requirement is designed to guide the auditor and RTO on the requirements of the requirement. The evidence guidance is not designed to limit the audit findings and there may be other factors an auditor takes into consideration when determining whether the requirements have been met.
- The '*Reasons for finding of Met / Not Met*' section of the report will document all findings including any issues that were considered in the formulation of a finding.

Standards for Registered Training Organisations 2015

- The evidence guidance included against clause is designed to guide the auditor and RTO on the requirements of the clause. The evidence guidance is not designed to limit the audit findings and there may be other factors an auditor takes into consideration when determining whether compliance has been demonstrated.
- Where evidence of non-compliance is identified, the '*Reasons for finding of non-compliance*' section of the report will document the issues that were considered in the formulation of a finding of non-compliance.



REQUIREMENTS FOR A DELEGATE QUALITY ASSURANCE SYSTEM

R 1 GENERAL

To be compliant with R 1 the RTO must meet the following:

R 1.1

The quality assurance system is defined and documented, and ensures clear delineation and accountabilities of roles and responsibilities in relation to the delegated functions.

Original finding: Requirement met

Evidence guidance	Y	N
The quality assurance system is defined and documented	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The quality assurance system ensures clear delineation and accountabilities of roles and responsibilities in relation to the delegated functions	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met:

- Sighted *SOP 09 Exercising Delegate Status Procedure* – serves to explain processes, responsibilities required to effectively manage the exercising of delegate powers. Refer Requirement 1.2 for further commentary about content of SOP 09.

R 1.2

The quality assurance system includes processes related to the delegated functions that ensure the effective exercise of functions, including, but not limited to processes to guide the following activities:

- Designing, planning, implementing, monitoring and reviewing the Delegate's performance against the delegation relevant to the VET Regulator Standards and the NVETR Act
- Managing staff competence
- Ensuring accountability and transparency
- Reporting obligations
- Managing documents and records.

Original finding: Requirement not met

Following rectification: Requirement met

Evidence guidance	Y	N
The quality assurance system includes processes related to the delegated functions which ensures the effective exercise of functions	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Processes guide the following activities:		
<ul style="list-style-type: none">designing, planning, implementing, monitoring and reviewing the Delegate's performance against the delegation relevant to the VET Regulator Standards and the NVETR Act	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none">managing staff competence	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none">ensuring accountability and transparency	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none">reporting obligations	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none">managing documents and records	<input type="checkbox"/>	<input checked="" type="checkbox"/>



Reasons for finding of Not Met:

- Sighted SOP 09 Exercising Delegate Status Procedure – procedure includes:
 - Content that makes it clear that Director responsible for exercise of delegated functions
 - Includes section about assuring competence of staff – no staff other Director currently involved in activities to do with delegated functions; however, RTO considering sharing responsibility for some elements of the procedure in the future
 - Reporting obligations (very brief statement – sufficient when only Director involved in carrying out activities involved in exercise of delegated functions; however, will require more detail if some roles and responsibilities dispersed
 - Description of review activities
 - Very brief statement about managing documents and records – basically refers to another RTO procedure about document retention; however, no evidence was provided of processes in place to guide the management of documents and records related to the administration and exercise of delegated functions.

In order for the requirements to be Met, the organisation is required to:

- Provide evidence of the processes to guide managing documents and records related to the administration and exercise of delegated functions.

Analysis of rectification evidence:

- The RTO provided document: 4060-001 Version control Information Storage & Retention Procedure-1 doc which includes requirements about the creation, version control and retention of documentation related to exercising delegated functions.

R 2 MONITORING AND INTERNAL REVIEW

To be compliant with R 2 the RTO must meet the following:

R 2.1

Internal Review of the Quality Assurance System is undertaken at least annually to evaluate the system's continuing suitability and effectiveness, to ensure that the system is effectively and consistently implemented, and to ensure adherence to the delegation Agreement.

Original finding: Requirement not met

Following rectification: n/a

Evidence guidance	Y	N
An Internal Review of the Quality Assurance System has been undertaken at least annually	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Internal Review:		
• evaluated the system's continuing suitability and effectiveness	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• ensured that the system is effectively and consistently implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• ensured adherence to the delegation Agreement	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of Met / Not Met:

- Records of an *Internal Directors Compliance (IDC) Audit* conducted January 2016 was sighted. This activity occurs quarterly and reviews a number of things, including requirements related to exercise of delegation. The document includes items related to delegate status in the scope of the activity. There are checklist items that relate to the process for exercising delegated functions.



However, evidence of what the outcomes of the reviews mean to the suitability and effectiveness of the quality assurance system for managing the exercise of delegated functions is not currently being captured to indicate that the review confirmed (or otherwise) the effective and consistent implementation of the quality management system in place to guide the exercise of delegated functions and that the delegation agreement is being/is not being adhered to.

It was discussed that some sort of summary/overview/cover page may be added to the *Exercising Delegate Status* (document contained within *Internal Directors Compliance (IDC) Audit* template could help towards achieving this.

In order for the requirements to be Met, the organisation is required to:

- Provide evidence that internal review processes will lead to the recording of judgements about the suitability and effectiveness of the quality assurance system for managing the exercise of delegated functions and whether or not the delegation agreement is being adhered to. The process needs to ensure there is an obvious link drawn between the findings of the internal review and judgements about the quality assurance system.

Analysis of rectification evidence:

- The RTO provided a revised *Internal Directors Compliance (IDC) Audit* template. The template specifically contemplates the consideration and outcomes of 'audits' (quarterly) in relation to exercising delegate status. The document requires consideration as to whether or not the RTO's procedure for exercising delegated functions (SOP 09) has been undertaken and the relevant form (5450) has been completed. As both the procedure and form are based on aspects of the Delegation Agreement are components of the RTO's quality assurance system, it is reasonable to say that the system's continuing suitability and effectiveness is being evaluated each time one of these audits is conducted.

Opportunity for improvement: It may be beneficial to 'map'/'align' aspects of the *Internal Directors Compliance (IDC) Audit* template to relevant sections/requirements of the Delegation Agreement to confirm that all aspects of the agreement are considered in these audit activities. Doing so should make it clear how/where the suitability and effectiveness of the RTO's quality assurance system (in relation to its delegation) may be improved over time.

R 2.2

The Internal Review:

- a) Is sufficiently comprehensive and robust to identify strengths and weaknesses in the Quality Assurance System and its implementation.
- b) Includes consideration of evidence gained through monitoring activities.
- c) Takes into consideration a range of relevant data and sources, including internal and external stakeholder feedback.
- d) Fosters the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function.

Original finding: Requirement met

Evidence guidance	Y	N
The Internal Review:		
• was sufficiently comprehensive and robust to identify strengths and weaknesses in the Quality Assurance System and its implementation	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• included consideration of evidence gained through monitoring activities	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• took into consideration a range of relevant data and sources, including internal and external stakeholder feedback	<input checked="" type="checkbox"/>	<input type="checkbox"/>



- fostered the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function ☒ ☐

Reasons for finding of Met / Not Met:

- Refer Requirement 2.1 - Records of an *Internal Directors Compliance (IDC) Audit* conducted January 2016 was sighted. The activity includes consideration of items related to the implementation of processes for carrying out delegated functions.
- Refer Requirement 2.3 – Examples of the Delegate acting on improvement opportunities arising from the internal review have been noted.

Analysis of rectification evidence:

R 2.3 The Delegate systematically acts on, monitors and evaluates improvement opportunities arising from the Internal Review.

Original finding: Requirement met

Evidence guidance	Y	N
The Delegate has systematically acted on, monitored and evaluated improvement opportunities arising from the Internal Review	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met:

- Examples were provided:
 - It had already been identified that a summary/overview/cover page of some sort be part of the *Internal Directors Compliance (IDC) Audit* document template that would pull together the findings of the internal review as specifically related to delegated activities and the system in place to guide the exercise of delegated functions (refer comments against Requirement 2.2).
 - Review exercises identified that some changes needed to be made to *Delegate Status Exercise Form 5450* to more adequately cover off the checks and balances in place when the Director exercises his power to add training products to scope. Sighted new form ready for implementation (*Exercising Delegate status Audit*) that records that delegate has considered aspects (check listed items) of delivery material, marking guide, assessment materials, RPL materials, mapping documents prior to deciding to add a training product to scope.

R 3 MANAGING STAFF COMPETENCE

To be compliant with R 3 the RTO must meet the following:

- ### R 3.1
- The Delegate ensures competent personnel perform the delegated functions and decisions by:
- a) Determining and monitoring the necessary competence and performance of personnel.
 - b) Where applicable, providing training or taking other actions to achieve necessary competence and performance.
 - c) Ensuring personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate's obligations.

Original finding: Requirement met

Evidence guidance	Y	N	N/A
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The Delegate ensures competent personnel perform the delegated functions and decisions	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Delegate determines and monitors the necessary competency and performance of personnel	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Delegate provides training or other actions to achieve necessary competence and performance	<input type="checkbox"/>	<input type="checkbox"/>
The Delegate ensures personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate's obligations	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met:

- Currently, the Director performs all delegated functions and makes all decisions. However, the *SOP 09 Exercising Delegate Status Procedure* does include a 'Staff Competency' section that specifies requirements for ensuring that any staff that are involved in the process (which may be the case at some point in the future) understand the procedure prior to being appointed to exercise any functions.

R 4 ACCOUNTABILITY AND TRANSPARENCY

To be compliant with R 4 the RTO must meet the following:

R 4.1

The Delegate ensures accountability and transparency in relation to the delegated functions by:

- Demonstrating that quality assurance processes and decisions are consistently applied.
- Demonstrating that decisions made are evidence-based and are made in a manner consistent with the principles of natural justice and procedural fairness.
- Demonstrating that outcomes of the delegated functions and decisions lead to:
 - Quality training and assessment outcomes
 - Effectively managed transition arrangements, and
 - No disadvantage to students.
- Accurate and authorised information regarding the Delegation Agreement is made public.

Original finding: Requirement not met

Following rectification: Requirement not met

Evidence guidance	Y	N	N/A
Quality assurance processes and decisions are consistently applied	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Decisions made are evidence-based and are made in a manner consistent with the principles of natural justice and procedural fairness	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The outcomes of the delegated functions and decisions have led to:			
<ul style="list-style-type: none"> Quality training and assessment outcomes that demonstrate compliance with the <i>Standards for Registered Training Organisations 2015</i> 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
<ul style="list-style-type: none"> The effective management of transition arrangements as required by the <i>Standards for Registered Training Organisations 2015</i> and the General Direction – Learner Transition 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> No disadvantage to students 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accurate and authorised information regarding the Delegation Agreement is made public	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



Reasons for finding of Not Met:

- Evidence of same process/same documentation having been used to underpin decisions to add the two sampled qualifications to scope – references to specific documents included in overarching procedure to assure this is the case
- Documents (such as 'Delegate Status Exercise Form – currently and Exercising Delegate Status Audit – into the future document evidence considered in making decision to add products to scope
- SOP 05 Course Currency & Upgrade Procedure sighted which addresses requirements around considering transition requirements and what needs to be done in response to new product release
- However, as an audit of training and assessment strategies and some assessment material revealed non-compliances, although not yet implemented, it cannot be said that the outcomes of delegated functions will, as at the time of audit, lead to quality training outcomes that demonstrate compliance with the *Standards for Registered Training Organisations 2015*. Note that the implementation of the new form *Exercising Delegate status Audit* (referenced at Requirement 2.3) should be better suited to help ensure that intended delivery and materials will comply with the *Standards for Registered Training Organisations 2015*.

In order for the requirements to be Met, the organisation is required to:

- No specific action required against this Requirement. Instead, refer to commentary against Clauses 1.1 and 1.8.

Analysis of rectification evidence:

- Refer to Clauses 1.1 and 1.8 (**Clause 1.1 remains non-compliant following rectification**).

R 5 REPORTING OBLIGATIONS

To be compliant with R 5 the RTO must meet the following:

R 5.1

The Delegate reports regularly and within set timeframes to ensure the completeness, accuracy and currency of information on the National Register

Original finding: Requirement met

Evidence guidance	Y	N
The Delegate reports regularly and within set timeframes	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Information on www.training.gov.au is complete, accurate and current	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met:

- Delegate submitted annual report to ASQA as required and information on the national register is complete, current and accurate.

R 5.2

The Delegate reports regularly and within set timeframes to ASQA including:

- **Annually in relation to the exercise of the delegated function**
- **On request**

Original finding: Requirements met

Evidence guidance	Y	N	N/A
The Delegate has reported annually in relation to the exercise of the delegated function	<input checked="" type="checkbox"/>	<input type="checkbox"/>	



The Delegate has reported any information on request of ASQA



Reasons for finding of Met:

- Delegate submitted annual report to ASQA as required towards the beginning of 2016.

R 6 MANAGING DOCUMENTS AND RECORDS

To be compliant with R 6 the RTO must meet the following:

R 6.1

The Delegate ensures that documents and records relating to the delegated functions are effectively controlled and maintained.

Original finding: Requirement not met

Following rectification: Requirement met

Evidence guidance

Y

N

The Delegate ensures that documents and records relating to the delegated functions are effectively controlled and maintained



Reasons for finding of Not Met:

- Refer to commentary against Requirement 1.2 in terms of the *SOP 09 Exercising Delegate Status Procedure* not adequately detailing processes in place to guide the management of documents and records related to the administration and exercise of delegated functions.

In order for the requirements to be Met, the organisation is required to:

- Refer to requirement at 1.2.

Analysis of rectification evidence:

- Refer to requirement at 1.2.

R 6.2

The Delegate has a documented procedure that is consistently implemented that defines the controls for:

- Approval, review and updating, version status, distribution of and access to documents.**
- Identification, storage, protection, retrieval, retention and removal of records**

Original finding: Requirement not met

Following rectification: Requirement met

Evidence guidance

Y

N

The Delegate has a documented procedure that defines the controls for the approval, review and updating, version status, distribution of and access to documents



The Delegate a documented procedure that defines the controls for the Identification, storage, protection, retrieval, retention and removal of records



The Delegate implements these procedures consistently



Reasons for finding of Met / Not Met:



- No evidence of a documented procedure that defines the controls for the approval, review and updating, version status, distribution of and access to documents was provided.

In order for the requirements to be Met, the organisation is required to:

- Provide documented procedure/s that defines the controls for the approval, review and updating, version status, distribution of and access to documents

Analysis of rectification evidence:

- The RTO provided document: 4060-001 Version control Information Storage & Retention Procedure-1 doc which includes requirements about the creation, version control and retention of documentation related to exercising delegated functions.



STANDARDS FOR REGISTERED TRAINING ORGANISATIONS 2015

STANDARD 1 The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses.

To be compliant with Standard 1 the RTO must meet the following:

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.

Original finding: Not compliant

Following rectification: Not compliant

Evidence guidance	Y	N	N/A
A training and assessment strategy (or strategies) was provided for each training product sampled	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy is consistent with the requirements of the training product	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Each strategy provides a framework to guide the learning requirements and the training and assessment arrangements of each training product – the macro level requirements of the learning and assessment process	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy has been consistently implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

CPC30611 Certificate III in Painting and Decorating

- Title of CPC30611 Certificate III in Painting and Decorating on supplied *Delivery Strategy* includes '&' instead of 'and' as per the national register
- Information included in introductory para under 'Equipment required' is related to the optical dispensing qualification – refers to a dispensary and Shamir Australia
- List of units incomplete in some sections of strategy. As well as being an incorrect representation of the units comprising the qualification, the omission of some units affects the included calculations about nominal hours
- Some units comprising this qualification have pre-requisite units. Those pre-requisite units have not been identified to guide default order of delivery
- Information towards the back end of strategy irrelevant to this qualification – relevant to machinery operations/licensing requirements

HLT47815 Certificate IV in Optical Dispensing

- Qualification title is inaccurately depicted on the first page of supplied *Delivery Strategy*: "Certificate IV in Ophthalmic Dispensing" (should be "Optical").
- Information towards the back end of strategy irrelevant to this qualification – relevant to machinery operations/licensing requirements
- List of units incomplete in some sections of strategy (only includes the 23 core units; elective units are not included). As well as being an incorrect representation of the units comprising the qualification, the omission of some units affects the included calculations about nominal hours



In order to become compliant, the organisation is required to:

CPC30611 Certificate III in Painting and Decorating

- Provide a strategy for training and assessment for this qualification that includes:
 - correct qualification title
 - information about required equipment that is relevant to this qualification
 - all units of competency packaged in this qualification wherever lists of units are included in the document (and ensure that all units have been considered in the included calculations about nominal hours)
 - pre-requisite units to appropriately guide default order of delivery
 - only content that is directly relevant to this qualification

HLT47815 Certificate IV in Optical Dispensing

- Provide a strategy for training and assessment for this qualification that includes:
 - correct qualification title
 - all units of competency packaged in this qualification wherever lists of units are included in the document (and ensure that all units have been considered in the included calculations about nominal hours)
 - only content that is directly relevant to this qualification

Analysis of rectification evidence:

CPC30611 Certificate III in Painting and Decorating

- The RTO provided a strategy for training and assessment for this qualification that includes:
 - correct qualification title
 - information about required equipment that is relevant to this qualification
 - all units of competency packaged in this qualification wherever lists of units are included in the document (and ensure that all units have been considered in the included calculations about nominal hours)
 - advice about pre-requisite units to appropriately guide default order of delivery

However, some points under the heading “Book in:” still include content about assessment related to high risk work licensing and mandated/prescribed assessment documents, “final assessment”, “Log book hours” and submitting paperwork to the transport department. The packaging of this qualification (as per the strategy document, website content and flyer) does not include any high risk “Licence to...” units. As such, it is not relevant to include such information, or, if it is permissible within the packaging rules to include high risk work licensing units, then the context for inclusion of this information is required.

HLT47815 Certificate IV in Optical Dispensing

- The RTO provided a strategy for training and assessment for this qualification that includes:
 - correct qualification title
 - all units of competency packaged in this qualification wherever lists of units are included in the document (and ensure that all units have been considered in the included calculations about nominal hours)

However, as with the above qualification, some points under the heading “Book in:” still include content about assessment related to high risk work licensing and mandated/prescribed assessment documents, “final assessment”, “Log book hours” and submitting paperwork to the transport department. The packaging of this qualification (as per the strategy document, website content and flyer) does not include any high risk “Licence to...” units. As such, it is not relevant to include such information, or, if it is permissible within the packaging rules to include high risk work licensing units, then the context for inclusion of this information is required.



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.

Original finding: Compliant

Evidence guidance	Y	N
For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:		
• the existing skills, knowledge and experience of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the mode/s of delivery	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the number of units and/or modules being delivered	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.3

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;
- 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.

Original finding: Compliant

Evidence guidance	Y	N
For all training products sampled, there are sufficient:		
• trainers and assessors	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• educational and support services to meet the needs of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• learning resources that address the requirements of all components of the relevant training product and are accessible to all learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• facilities and equipment to accommodate the number of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Consistency is evident between each strategy and the above resources	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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.

Original finding: Not compliant

Following rectification: Compliant



Evidence guidance	Y	N	N/A
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CPC30611 Certificate III in Painting and Decorating

Assessment meets the assessment requirements of the training package or course. ☒ ☐

Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) ☒ ☐ ☐

CPCCPD3022A Apply paint to brush and roller

Assessment tools consist of:

- Theory assessment
- Practical activity

CPCCPD3027A Apply wallpaper

Assessment tools consist of:

- Theory assessment
- Practical activity

Principles of Assessment – fairness, flexibility, validity, reliability:

CPCCPD3022A		CPCCPD3027A		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

Rules of Evidence – validity, sufficiency, authenticity, currency:

CPCCPD3022A		CPCCPD3027A		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications



<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
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HLT47815 Certificate IV in Optical Dispensing

Assessment meets the assessment requirements of the training package or course. ☐ ☒

Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) ☒ ☐ ☐

HLTOPD001 Provide advice on optical appliances

Assessment tools consist of:

- Workbook activities
- Theory questions
- Practical tasks
- Employer statements

HLTOPD002 Dispense optical appliances

Assessment tools consist of:

- Workbook activities
- Theory questions
- Practical tasks
- Employer statements

Principles of Assessment – fairness, flexibility, validity, reliability:

HLTOPD001		HLTOPD002		Evidence guidance:
Y	N	Y	N	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Performance evidence/required skills addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)



<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability
Rules of Evidence – validity, sufficiency, authenticity, currency:				
HLTOPD001		HLTOPD002		
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Reasons for finding of non-compliance:

CPC30611 Certificate III in Painting and Decorating

CPCCPD3022A Apply paint to brush and roller

CPCCPD3027A Apply wallpaper

- Information about the activities that comprise assessment (and contribute to a judgement about competence) for BOTH of these units is not accurate. The information states that questions included in a workbook a component of assessment; however, there is no workbook for this unit – there are, however, theory questions included in another document that are used to determine competence

HLT47815 Certificate IV in Optical Dispensing

HLTOPD001 Provide advice on optical appliances

HLTOPD002 Dispense optical appliances

- In discussions with the RTO, it was made clear that questions in the combined workbook for these units (as well as other units) is a component of assessment; however, this is not made clear in the information about the activities that comprise assessment
- The RTO is using workplace supervisors to collect some assessment evidence of learner performance in the workplace over time. However, the validity of the evidence gathered is in doubt as the list of items supervisors are required to check off are essentially outcomes statements rather than evidence about what they saw a learner do or hear a learner says. Basically, the checklist items are not 'observable behaviours' – the behaviours which must be exhibited by the learner when carrying out tasks and which underpin a supervisor's opinion about whether or not the learner has satisfactorily met the checklist items. Further, there is no separate record of evidence gathered in each instance of performance – i.e. one of the units requires evidence of performance to be gathered on 5 different occasions; however, there is only one checkbox to indicate that the learner has performance a task 5 times.
- Dates and context of each occasion on which a learner performs a task are not recorded.
- Some instruction to supervisors is missing such as what should happen in certain circumstances such as the learner failing to exhibit some of the required behaviours while performing a task.

In order to become compliant, the organisation is required to:



CPC30611 Certificate III in Painting and Decorating

CPCCPD3022A Apply paint to brush and roller

CPCCPD3027A Apply wallpaper

- Provide evidence that the activities comprising the assessment for BOTH of these units are accurately described

HLT47815 Certificate IV in Optical Dispensing

HLTOPD001 Provide advice on optical appliances

HLTOPD002 Dispense optical appliances

- Provide evidence that:
 - the activities comprising the assessment for BOTH of these units are accurately described
 - supervisor checklist items have been amended to be 'observable behaviours' – the behaviours which must be exhibited by the learner when carrying out tasks and which underpin a supervisor's opinion about whether or not the learner has satisfactorily met the checklist items. The behaviours must be sufficient in detail and number for an assessors to take the supervisor's opinion about learner performance and factor it into a decision about learner competence
 - learner performance on each of the required number of occasions is being recorded, including date, context of each task and behaviours to be exhibited
 - provides additional to workplace supervisors about their role in the evidence gathering process

Analysis of rectification evidence:

CPC30611 Certificate III in Painting and Decorating

CPCCPD3022A Apply paint to brush and roller

CPCCPD3027A Apply wallpaper

- The RTO provided a learner guide and assessment booklet that accurately describes the activities comprising the assessment

HLT47815 Certificate IV in Optical Dispensing

HLTOPD001 Provide advice on optical appliances

HLTOPD002 Dispense optical appliances

- The RTO provided the learner workbook for these units that:
 - accurately describes the activities comprising the assessment
 - includes amended observation/workplace checklist items that better reflect 'observable behaviours'
 - better records learner performance on each of the required number of occasions, including date, context of each task and behaviours to be exhibited
 - sufficient information is provided to workplace supervisors about their role in the evidence gathering process and about contingency arrangements e.g. learner has performed well in 4 of the 5 required tasks – what is the appropriate course of action?

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.

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

Original finding: Compliant

Evidence guidance

Each trainer / assessor **must meet all** requirements for each training product being delivered:

Trainer / Assessor name	Training product code/s delivered	1.13 (a)		1.13 (b)		1.13 (c)	
		Y	N	Y	N	Y	N
Fern Worthington-Currie	HLT47815 Certificate IV in Optical Dispensing	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Ashlyn Dovey	CPC30166 Certificate III in Painting and Decorating	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.14

The RTO's training and assessment is delivered only by persons who have:

- a) ~~prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and~~
- b) from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.

Original finding: Compliant

Evidence guidance						Y	N
VET qualifications of trainers and assessors have been verified						<input checked="" type="checkbox"/>	<input type="checkbox"/>
Each trainer / assessor must meet at least one of the following requirements:							
Trainer / Assessor name	Schedule 1 Item 1		Schedule 1 Item 2		Demonstrated equivalence		
	Y	N	Y	N	Y	N	
Fern Worthington-Currie	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Ashlyn Dovey	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor

Schedule 1, Item 2: A Diploma or higher level qualification in adult education

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.

Original finding: Not complaint

Following rectification: Compliant



Evidence guidance	Y	N
Trainers and assessors undertake professional development in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

- Ashlyn Dovey – there was no evidence provided of this trainer/assessor's having recently undertaken professional development in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment

In order to become compliant, the organisation is required to:

- Provide evidence of the recent professional development Ashlyn Dovey has undertaken in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment. If such evidence cannot be provided, provide an agreed plan for undertaking such professional development, virtually immediately.

Analysis of rectification evidence:

- The RTO provided Ashlyn Dovey's Certificates of Completion of VET Educators Inclusive Practice (Parts 2 & 3) – professional development programs run by the Queensland Department of Education and Training.

STANDARD 2	The operations of the RTO are quality assured. To be compliant with Standard 2 the RTO must meet the following:
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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.

Original finding: Not audited

Evidence guidance	Y	N	N/A
Strategies have been developed to systematically monitor third party arrangements to ensure services comply with these Standards	<input type="checkbox"/>	<input type="checkbox"/>	
The above strategies have been implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

STANDARD 4	Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients. To be compliant with Standard 4 the RTO must meet the following:
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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.

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N	N/A
Advertising and marketing:			
• is accurate and factual	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• accurately represents the services provided	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• accurately represents the RTO scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• includes the RTO code	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• only refers to a person or organisation with their consent	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• identifies where a third party is recruiting prospective learners on behalf of the RTO	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• identifies where training and assessment is being provided on behalf of another RTO	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• identifies where training and assessment is being provided by a third party	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• distinguishes between national recognised training and other training	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• includes the code and title of each training product as per www.training.gov.au	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• includes accurate information about licensed or regulated outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• includes details about financial support provided, including VET FEE-HELP	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



• includes details about relevant government funding subsidies	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Does not guarantee that a learner:			
• will successfully complete a training product	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• can complete a training product in a manner not compliant with Clauses 1.1 or 1.2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• will obtain a particular employment outcome unless this is in the control of the RTO	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

Reasons for finding of non-compliance:

- HLT47815 Certificate IV in Optical Dispensing:
 - list of units included in website information and supplied advertising material only identifies 14/19 units to attain the qualification (only lists core units)
 - RPL information included on website references challenge testing at Rovera Scaffolding and information under the heading 'Full Face to Face' states that where the learner's workplace does not have the equipment necessary complete a particular unit, arrangements will be made for the learner to attend Rovera Scaffolding
- CPC30611 Certificate III in Painting and Decorating:
 - Title of CPC30611 Certificate III in Painting and Decorating on supplied advertising material includes '&' instead of 'and' as per the national register
 - Information about RPL and total cost included on website references fees associated with optional High Risk Work Licences. This information is not directly relevant to this qualification.
 - Information under the heading 'Full Face to Face' states that where the learner's workplace does not have the equipment necessary complete a particular unit, arrangements will be made for the learner to attend Rovera Scaffolding

In order to become compliant, the organisation is required to:

- HLT47815 Certificate IV in Optical Dispensing – provide evidence that:
 - The list of units included in website information and supplied advertising material accurately represents the units comprising the qualification (core and elective units)
 - RPL information included on website and information under the heading 'Full Face to Face' accurately represents arrangements for this qualification
- CPC30611 Certificate III in Painting and Decorating – provide evidence that:
 - Title of CPC30611 Certificate III in Painting and Decorating on supplied advertising material is accurate as per the national register
 - Information about RPL and total cost included on website appropriate (more clearly) explains the references to references fees and arrangements associated with optional High Risk Work Licences, or provide evidence that all references to High Risk Work Licences in information about this qualification has been removed
 - Accurate information is provided about arrangements for training and assessment if a learner's workplace does not have the equipment necessary complete a particular unit

Analysis of rectification evidence:

- HLT47815 Certificate IV in Optical Dispensing – the RTO provided evidence that:
 - The list of units included in website information and supplied advertising material accurately represents the units comprising the qualification (core and elective units)
 - RPL information included on website and information under the heading 'Full Face to Face' accurately represents arrangements for this qualification



- CPC30611 Certificate III in Painting and Decorating – the RTO provided evidence that:
 - Title of CPC30611 Certificate III in Painting and Decorating on supplied advertising material is accurate as per the national register
 - All references to High Risk Work Licences in information about this qualification on the website has been removed
 - Accurate information is provided about arrangements for training and assessment if a learner's workplace does not have the equipment necessary complete a particular unit

STANDARD 5 Each learner is properly informed and protected.

To be compliant with Standard 5 the RTO must meet the following:

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.

Original finding: Compliant

Evidence guidance	Y	N
Information is provided to prospective learners, prior to enrolment or commencement of training or assessment whichever comes first, about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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.

Original finding: Not compliant

Following rectification: Not compliant

Evidence guidance	Y	N	N/A
Prior to enrolment or commencement, written information is provided on the following:			
• code and title of the training product as per www.training.gov.au	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• currency of the training product	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• estimated duration of training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• location/s where training and/or assessment will be provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• mode/s of delivery	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• name and contact details of any third party providing services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• work placement arrangements	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• confirmation that the RTO is responsible for compliance of training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• confirmation that the RTO is responsible for issuance of AQF certification documentation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• the learner's rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• the learner's obligation to repay any VET FEE-HELP debt	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• any entry requirements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• any materials and equipment the learner must provide	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

- Code and title of training products - Title of CPC30611 Certificate III in Painting and Decorating on supplied advertising material includes '&' instead of 'and' as per the national register
- Training product currency – Incorrect statements have been made on both the RTO's website and in supplied advertising about the currency of both qualifications sampled for audit. The information states that each qualification is expected to remain current until mid-2019. Mid 2019 is the end date of the RTO's current registration period and has no bearing on the 'life' of the qualifications.
- Complaints and appeals – Details of the RTO complaints and appeals processes are not provided prior to enrolment or commencement. The document sighted, about dispute resolution, as well as the Student Handbook, has not been updated to reflect the requirements of current standards. Further, there are links to complaints and appeals information on various pages of the RTO's website; however, the link simply takes users to an online form to be used to lodge a complaint or appeal.

In order to become compliant, the organisation is required to:



- Code and title of training products – provide evidence that title of CPC30611 Certificate III in Painting and Decorating on supplied advertising material matches exactly the title as included on the national register
- Training product currency – provide evidence that accurate statements are made in website information and advertising material about currency of the training products
- Complaints and appeals - provide evidence that learners are provided with details of the RTO's complaints and appeals processes and that those details meet the requirements of the Clause 6.1 – 6.5.

Analysis of rectification evidence:

- The RTO provided evidence that:
 - the title of CPC30611 Certificate III in Painting and Decorating on supplied advertising material matches exactly the title as included on the national register
 - accurate statements are made in website information and advertising material about the currency of the training products

However, while the RTO provided complaints and appeals information for the website (website also reviewed by the auditor), the provisions for independent review if the RTO processes fail to resolve the complaint or appeal are not appropriate as it refers complainants/appellants to ASQA; the Users' Guide to the Standards for Registered Training Organisations (RTOs) 2015 states that ASQA is not able to act as the independent third party for reviewing complaints.

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.

Original finding: Compliant

Evidence guidance	Y	N	N/A
Fees are collected from individual learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
If no, clause is not audited. If yes:			
Written information is provided on the following, prior to enrolment or commencement:			
• all fees that must be paid	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• payment terms and conditions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• refund terms and conditions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• the learner's statutory right to a cooling-off period	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



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.

Original finding: Not audited

Evidence guidance	Y	N	N/A
Learners are advised of any changes to agreed services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>