|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Phases of the student experience | Practices/Behaviours | Standards | Policies, procedures and documents | Evidence |
| Marketing and recruitment | The RTO’s marketing practices provide accurate and factual information to allow prospective students to make informed decisions | 4.1; 2.3; 2.4 |  |  |
| Enrolment | The RTO ensures students have the existing kills, knowledge and experience required to successfully undertake the course | 5.1; 5.2; 5.3; 7.3 |  |  |
| Support and progression | Student’s needs are assessed by the RTO and the RTO provided appropriate support services to enable student progression | 1.7 |  |  |
| Training and assessment | Trainers assigned to deliver training are qualified.  The amount of training and mode of training is consistent with requirements. | 1.1, 1.2, 1.3, 1.8, 1.13-1.18, 1.20. 8.2 |  |  |
| Completion | Only students assessed as meeting course or Training Package requirements are issued with AQF certificates. |  |  |  |

The above is a summary of the risk register below that relates to individual standards, with the additional notation of specific controls applied to ameliorate risk and with notations in the Evidence column to show how those controls are applied and the documentary and other evidence that supports this.

Note that more in-depth compliance with individual standards is recorded on the SRTO 15 Risk Register. A post audit action checklist must also be used to follow up on non-compliances.

The internal auditor should also refer to the separate student survey reports (see attached form) which also follows the same process as the audit.

Audited by: Date: Signature:

# registration standards RISK MATRIX

Instructions: *Assign a risk hierarchy (degree of risk) to both the Incidence of Risk and the Adverse Consequences columns. Then edit the Consequences and Control Measures column to highlight the main areas of risk of non-compliance and the control measures to be implemented to eliminate or manage the reduction of degree of risk. Examples of what might occur are given in the RH column. Please remember to delete these instructions when printing the Matrix for inclusion in your RMS folder.*

*Note: This matrix is to be used in conjunction with The Standards for RTOs in order to clarify risks associated with sub paragraphs. RMS-FOR-007 Internal Audit for compliance and form RMS-FOR-020 Non-compliance action checklist should also be used when auditing against this risk matrix.*

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Standards | | Incidence of risk | | | | Adverse Consequences | | |  |  |
|  |  | Low | Med | High | Low | | Med | High | Consequences and control measures | Related documentation |
| 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 |  |  |  |  | |  |  |  |  |
| 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. | X |  |  |  | | X |  |  |  |
| 1.2 | For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:   1. the existing skills, knowledge and the experience of the learner; 2. the mode of delivery; and 3. where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification. | X |  |  | X | |  |  |  |  |
| 1.3 | The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:   1. trainers and assessors to deliver the training and assessment; 2. educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment; 3. 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 4. facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment. |  |  |  |  | |  |  |  |  |
| 1.4 | The RTO meets all requirements specified in the relevant training package or VET accredited course. |  |  |  |  | |  |  |  |  |
| 1.5 | The RTO’s training and assessment practices are relevant to the needs of industry and informed by industry engagement. |  |  |  |  | |  |  |  |  |
| 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:   * + 1. its training and assessment strategies, practices and resources; and     2. the current industry skills of its trainers and assessors. |  |  |  |  | |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Standards | | Incidence of risk | | | | Adverse Consequences | | |  |  |
|  |  | Low | Med | High | Low | | Med | High | Consequences and control measures | Related documentation |
| 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. |  |  |  |  | |  |  |  |  |
| 1.8 | The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):   1. complies with the assessment requirements of the relevant training package or VET accredited course; and 2. 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. |  |  |  |  | |  |  |  |  |
| 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:   1. when assessment validation will occur; 2. which training products will be the focus of the validation; 3. who will lead and participate in validation activities; and 4. how the outcomes of these activities will be documented and acted upon. |  |  |  |  | |  |  |  |  |
| 1.10 | For the purposes of Clause 1.9, each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle, taking into account the relative risks of all of the training products on the RTO’s scope of registration, including those risks identified by the VET Regulator. |  |  |  |  | |  |  |  |  |
| 1.11 | For the purposes of Clause 1.9, systematic validation of an RTO’s assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:   1. on or prior to 31 March 2019: 2. vocational competencies and current industry skills relevant to the assessment being validated; 3. current knowledge and skills in vocational teaching and learning; and 4. the training and assessment credential specified in Item 1, or Item 2, or Item 4, or Item 5 of Schedule 1. 5. on or after 1 April 2019: 6. vocational competencies and current industry skills relevant to the assessment being validated; 7. current knowledge and skills in vocational teaching and learning; and 8. the training and assessment credential specified in Item 2 or Item 5 of Schedule 1.   Industry experts may be involved in validation to ensure there is the combination of expertise set out in a) or b) above. |  |  |  |  | |  |  |  |  |
| 1.12 | The RTO offers recognition of prior learning to individual learners. |  |  |  |  | |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Standards | | Incidence of risk | | | | Adverse Consequences | | |  |  |
| 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:   1. vocational competencies at least to the level being delivered and assessed; 2. current industry skills directly relevant to the training and assessment being provided; and 3. current knowledge and skills in vocational training and learning that informs their training and assessment.    1. Industry experts may also be involved in the assessment judgment, working alongside the trainer and/or assessor to conduct the assessment. |  |  |  |  | |  |  |  |  |
| 1.14 | The RTO’s training and assessment:   1. if delivered on or prior to 31 March 2019, is delivered only by persons who have the training and assessment credential specified in Item 1 or Item 2 or Item 3 of Schedule 1. 2. if delivered on or after 1 April 2019, is delivered only by persons who have the training and assessment credential specified in Item 2 or Item 3 of Schedule 1. |  |  |  |  | |  |  |  |  |
| 1.15 | Where a person conducts assessment only, the RTO ensures that the person has:   1. on or prior to 31 March 2019, the person has the training and assessment credential specified in Item 1, or Item 2, or Item 3, or Item 4, or Item 5 of Schedule 1; or 2. on or after 1 April 2019, the person has the training and assessment credential specified in Item 2, or Item 3, or Item 5 of Schedule 1. |  |  |  |  | |  |  |  |  |
| 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. |  |  |  |  | |  |  |  |  |
| 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. |  |  |  |  | |  |  |  |  |
| 1.18 | The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:   1. holds the training and assessment credential specified in Item 6 of Schedule 1. 2. has vocational competencies at least to the level being delivered and assessed; and 3. has current industry skills directly relevant to the training and assessment being provided. |  |  |  |  | |  |  |  |  |
| 1.19 | Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1. |  |  |  |  | |  |  |  |  |
| 1.20 | Without limiting Clauses 1.17 - 1.19, the RTO:   1. determines and puts in place: 2. the level of the supervision required; and 3. any requirements, conditions or restrictions considered necessary on the individual’s involvement in the provision of training and collection of assessment evidence; and 4. ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision. |  |  |  |  | |  |  |  |  |
| 1.21 | Deleted |  |  |  |  | |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Standards | | Incidence of risk | | | | Adverse Consequences | | |  |  |
|  |  | Low | Med | High | Low | | Med | High | Consequences and control measures | Related documentation |
| 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. |  |  |  |  | |  |  |  |  |
| 1.23 | To deliver the training and assessment qualification 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:   * + 1. hold the qualification specified in Item 7 of Schedule 1; or     2. work under the supervision of a trainer that meets the requirement set out in (a) above. |  |  |  |  | |  |  |  |  |
| 1.24 | The RTO must ensure that any person working under supervision for the purposes of Standard 1.23 b):   1. does not determine assessment outcomes; and 2. holds the following: 3. on or prior to 31 March 2019, the training and assessment credential specified in Item 1 or Item 2 of Schedule 1; or 4. on or after 1 April 2019, the training and assessment credential specified in Item 2 of Schedule 1. |  |  |  |  | |  |  |  |  |
| 1.25 | From 1 January 2016, 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**). |  |  |  |  | |  |  |  |  |
| 1.26 | Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:   1. where a training product on its scope of registration is superseded, all learners’ training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register; 2. where an AQF qualification is no longer current and has not been superseded, all learners’ training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register; 3. where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners’ training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and 4. a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register. |  |  |  |  | |  |  |  |  |
| 1.27 | The requirements specified in Clause 1.26 (a) do not apply where a training package requires the delivery of a superseded unit of competency. |  |  |  |  | |  |  |  |  |

| Item | Standard | Training and assessment credentials |
| --- | --- | --- |
| 1 | 1.11  1.14  1.15  1.24 | The following credential:  *TAE40110 Certificate IV in Training and Assessment.* |
| 2 | 1.11  1.14  1.15  1.24 | One of the following credentials:  Credential:  *TAE40116 Certificate IV in Training and Assessment or its successor*  or  Credential:  *TAE40110 Certificate IV in Training and Assessment,*  *and one of the following:*   1. *TAELLN411 Address adult language, literacy and numeracy skills or its successor or* 2. *TAELLN401A Address adult language, literacy and numeracy skills*   *and one of the following:*   1. *TAEASS502 Design and develop assessment tools or its successor or* 2. *TAEASS502A Design and develop assessment tools or* 3. *TAEASS502B Design and develop assessment tools.* |
| 3 | 1.14  1.15 | The following credential:  *A diploma or higher level qualification in adult education.* |
| 4 | 1.11  1.15 | The following credential:  *TAESS00001 Assessor Skill Set* |
| 5 | 1.11  1.15 | One of the following credentials:  Credential:  *TAESS00011 Assessor Skill Set or its successor*  or  Credential:  *TAESS00001 Assessor Skill Set,*  *and one of the following:*   1. *TAEASS502 Design and develop assessment tools or its successor or* 2. *TAEASS502A Design and develop assessment tools or* 3. *TAEASS502B Design and develop assessment tools.* |
| 6 | 1.18 | One of the following credentials:  Credential:  *TAESS00007 Enterprise Trainer – Presenting Skill Set*  or  Credential:  *TAESS00014 Enterprise Trainer – Presenting Skill Set or its successor*  or  Credential:  *TAESS00008 Enterprise Trainer – Mentoring Skill Set*  or  Credential:  *TAESS00013 - Enterprise Trainer - Mentoring Skill Set or its successor*  or  Credential:  *TAESS00003 Enterprise Trainer and Assessor Skill Set*  or  Credential:  *TAESS00015 - Enterprise Trainer and Assessor Skill Set or its successor.* |
| 7 | 1.23 | One of the following credentials:  Credential:  *TAE50111 Diploma of Vocational Education and Training*  or  Credential:  *TAE50116 Diploma of Vocational Education and Training or its successor*  or  Credential:  *TAE50211 Diploma of Training Design and Development*  or  Credential:  *TAE50216 Diploma of Training Design and Development or its successor*  or  Credential:  *A higher level qualification in adult education.* |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Standard | | Incidence of risk | | | Adverse Consequences | | | |  |  |
|  |  | Low | Med | High | | Low | Med | High | Consequences and control measures | Related documentation |
| 2 | The operations of the RTO are quality assured. |  |  |  | |  |  |  |  |  |
| 2.1 | The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration. |  |  |  | |  |  |  |  |  |
| 2.2 | The RTO:   1. systematically monitors the RTO’s training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and 2. systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO’s training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals. |  |  |  | |  |  |  |  |  |
| 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. |  |  |  | |  |  |  |  |  |
| 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 |  |  |  | |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Standard | | Incidence of risk | | | Adverse Consequences | | |  |  |
| **3** | The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records. | Low | Med | High | Low | Med | High | Consequences and control measures | Related documentation |
| 3.1 | A systematic and continuous improvement approach to the management of operations is used |  |  |  |  |  |  |  |  |
| 3.2 | Training and assessment services provided on behalf of the RTO are monitored to ensure they comply with all aspects of the Essential Standards for Registration |  |  |  |  |  |  |  |  |
| 3.3 | AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete, and providing all agreed fees the learner owes to the RTO have been paid. |  |  |  |  |  |  |  |  |
| 3.4 | Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners. |  |  |  |  |  |  |  |  |
| 3.5 | The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:   1. AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or 2. authenticated VET transcripts issued by the Registrar. |  |  |  |  |  |  |  |  |
| 3.6 | The RTO meets the requirements of the Student Identifier scheme, including:   1. verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose; 2. ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the *Student Identifiers Act 2014*; 3. ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar; and 4. ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems. |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Standard | | | Incidence of risk | | | | | Adverse Consequences | | |  | |  |
|  |  | | Low | Med | High | | | Low | Med | High | Consequences and control measures | | Related documentation |
| 4 | | Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients. |  |  | |  |  | |  |  | |  |  |
| 4.1 | | Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:   1. accurately represents the services it provides and the training products on its scope of registration; 2. includes its RTO Code; 3. refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained; 4. uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4; 5. makes clear where a third party is recruiting prospective learners for the RTO on its behalf; 6. 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; 7. 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; 8. includes the code and title of any training product, as published on the National Register, referred to in that information; 9. only advertises or markets a non-current training product while it remains on the RTO’s scope of registration; 10. 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; 11. 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 12. does not guarantee that: 13. a learner will successfully complete a training product on its scope of registration; or 14. a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or 15. a learner will obtain a particular employment outcome where this is outside the control of the RTO. |  |  | |  |  | |  |  | |  |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Standard** | | | Incidence of risk | | | Adverse Consequences | | |  |  |
|  | |  | Low | Med | High | Low | Med | High | Consequences and control measures | Related documentation |
| 5 | Each learner is properly informed and protected. | |  |  |  |  |  |  |  |  |
| 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. | |  |  |  |  |  |  |  |  |
| 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:   1. the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register; 2. the training and assessment, and related educational and support services the RTO will provide to the learner including the: 3. estimated duration; 4. expected locations at which it will be provided; 5. expected modes of delivery; 6. 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 7. any work placement arrangements. 8. 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. 9. the learner’s rights, including: 10. details of the RTO’s complaints and appeals process required by Standard 6; and 11. 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; 12. the learner’s obligations: 13. in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services; 14. any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and 15. any materials and equipment that the learner must provide; and 16. information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services. | |  |  |  |  |  |  |  |  |
| 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:   1. all relevant fee information including: 2. fees that must be paid to the RTO; and 3. payment terms and conditions including deposits and refunds; 4. the learner’s rights as a consumer, including but not limited to any statutory cooling-off period, if one applies; 5. the learner’s right to obtain a refund for services not provided by the RTO in the event the: 6. arrangement is terminated early; or 7. the RTO fails to provide the agreed services. | |  |  |  |  |  |  |  |  |
| 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. | |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Standard** | | | Incidence of risk | | | Adverse Consequences | | |  |  |
|  | |  | Low | Med | High | Low | Med | High | Consequences and control measures | Related documentation |
| 6. | Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively. | |  |  |  |  |  |  |  |  |
| 6.1 | The RTO has a complaints policy to manage and respond to allegations involving the conduct of:   1. the RTO, its trainers*,* assessors or other staff; 2. a third party providing services on the RTO’s behalf, its trainers, assessors or other staff; or 3. a learner of the RTO. | |  |  |  |  |  |  |  |  |
| 6.2 | The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO’s behalf. | |  |  |  |  |  |  |  |  |
| 6.3 | The RTO’s complaints policy and appeals policy:   1. ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process; 2. are publicly available; 3. set out the procedure for making a complaint or requesting an appeal; 4. ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and 5. provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal. | |  |  |  |  |  |  |  |  |
| 6.4 | Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:   1. informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and 2. regularly updates the complainant or appellant on the progress of the matter. | |  |  |  |  |  |  |  |  |
| 6.5 | The RTO:   1. securely maintains records of all complaints and appeals and their outcomes; and 2. identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence. | |  |  |  |  |  |  |  |  |
| 6.6 | Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO. | |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Standard** | | Incidence of risk | | | | Adverse Consequences | | | |  |  | |
|  |  | Low | Med | | High | Low | Med | | High | Consequences and control measures | Related documentation | |
| 7. | The RTO has effective governance and administration arrangements in place. |  | |  |  |  |  |  | |  |  |
| 7.1 | The RTO ensures that its executive officers or high managerial agent:   1. are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and 2. meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3. |  | |  |  |  |  |  | |  |  |
| 7.2 | The RTO satisfies the Financial Viability Risk Assessment Requirements. |  | |  |  |  |  |  | |  |  |
| 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. |  | |  |  |  |  |  | |  |  |
| 7.4 | The RTO holds public liability insurance that covers the scope of its operations throughout its registration period. |  | |  |  |  |  |  | |  |  |
| 7.5 | The RTO provides accurate and current information as required by the Data Provision Requirements as updated from time to time. |  | |  |  |  |  |  | |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Standard** | | Incidence of risk | | | | Adverse Consequences | | | |  |  | |
|  |  | Low | Med | | High | Low | Med | | High | Consequences and control measures | Related documentation | |
| 8. | The RTO cooperates with the VET Regulator and is legally compliant at all times. |  | |  |  |  |  |  | |  |  |
| 8.1 | The RTO cooperates with the VET Regulator:   1. by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO’s registration; 2. in the conduct of audits and the monitoring of its operations; 3. by providing quality/performance indicator data; 4. by providing information about substantial changes to its operations or any event that would significantly affect the RTO’s ability to comply with these standards within 90 calendar days of the change occurring; 5. by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and 6. in the retention, archiving, retrieval and transfer of records. |  | |  |  |  |  |  | |  |  |
| 8.2 | The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:   1. by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and 2. in the conduct of audits and the monitoring of its operations. |  | |  |  |  |  |  | |  |  |
| 8.3 | The RTO notifies the Regulator:   1. of any written agreement entered into under Clause for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and 2. within 30 calendar days of the agreement coming to an end. |  | |  |  |  |  |  | |  |  |
| 8.4 | The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:   1. currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and 2. has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards. |  | |  |  |  |  |  | |  |  |
| 8.5 | The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations. |  | |  |  |  |  |  | |  |  |
| 8.6 | The RTO ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered. |  | |  |  |  |  |  | |  |  |