

AUDIT REPORT - Extension to Scope

Organisation Details			
Legal Name	JSW Australia Pty Ltd	RTO Number	52503
Trading Name	JSW Australia Pty Ltd		
Size of RTO	small	No of Students	Nil - extension to scope
Website	www.jswaustralia.com		
Main Address	5 Corokia Way, Bibra Lake, WA, 6163		
Legally Responsible	Mr Michael Kostarelas	Position	Technical Services Manager
Email	michael.kostarelas@jswaustralia.com	Phone Number	9494 1352
Registration Contact	Mr Peter Milne	Position	RTO & Quality Manager
Email	peter.milne@jswaustralia.com	Phone Number	08 9494 1352
Audit Team			
Lead Auditor	Claire Werner	Contact Details	Mobile No: 0407 690 499 Email: claire@themeyvngroup.com.au
Registering Body Details			
Case Manager	Fiona Butler-Smith	Contact Details	Telephone No: 9441 1930 Email: Fiona.Butler-Smith@des.wa.gov.au

SUMMARY OF AUDIT OUTCOMES

Audit Method	External Desk Top Audit	Audit Type	Extension to Scope
Date of Audit	30/03/2016	Date Report Submitted	31/03/2016
<input checked="" type="checkbox"/> Compliant with the Standards for Registered Training Organisations 2015. <input type="checkbox"/> Not Compliant with the Standards for Registered Training Organisations 2015.			

Organisation Overview

JSW is a large organisation incorporating a small Enterprise RTO which was established to support their operation in the drilling resource and mining sector. The staff have vast experience in the drilling industry. The RTO wishes to add the qualification Certificate IV in Work Health and Safety to their scope of registration to enable them to deliver inhouse training to JSW employees in an effort to further focus on safety in the workplace.

AUDIT REPORT**Opportunities for Improvement Identified Across Standards for Registration****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**

It is suggested that the RTO consider a way to better demonstrate that the range of professional development required by each of the trainers and assessors is demonstrated. In addition the RTO should also consider how to demonstrate that a process has been followed to establish the vocational competence at a unit level when trainers and assessors hold superseded units.

It is suggested that the RTO review their policies and processes to ensure they are up to date with the current standards. For example, the validation procedure makes reference to the AQTF.

Standard 5 - Each learner is properly informed and protected.

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It is suggested that where required, the employee is informed during the interview of any pre-requisites. It may be of benefit to include this information in writing in the student handbook.

INDUSTRY REPORT - Business Services

Qualification(s)/Unit(s)/Accredited Course(s) Audited		
Code	Title	Delivery Site
BSB41415	Certificate IV in Work Health and Safety	

STANDARDS FOR REGISTERED TRAINING ORGANISATIONS 2015

Standards Audited	
	1.1, 1.2, 1.2a, 1.2b, 1.2c, 1.3, 1.3a, 1.3b, 1.3c, 1.3d, 1.4, 1.5, 1.6, 1.6a, 1.6b, 1.7, 1.8, 1.8a, 1.8b, 1.9, 1.9a, 1.9b, 1.9c, 1.9d, 1.10, 1.11, 1.11a, 1.11b, 1.11c, 1.12, 1.13, 1.13a, 1.13b, 1.13c, 1.14, 1.14a, 1.14b, 1.15, 1.15a, 1.15b, 1.16, 1.17, 1.18, 1.18a, 1.18b, 1.18c, 1.19, 1.20a i, 1.20a ii, 1.20b, 5.1, 5.3, 5.3a, 5.3a i, 5.3a ii, 5.3b, 5.3c, 5.3c i, 5.3c ii

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

Compliant Non-Compliant Not-Audited

Overall Comment Against Standard

The RTO has taken a clustered approach to training and assessment and is using a fully integrated tool. The RTO is utilising the expertise and facilities of the parent company to implement the training and its effectiveness will only be assured once implementation begins. As the model proposed is very much a distance based, self-paced and managed model it is recommended that the RTO be monitored within 12 months of the commencement of training.

Element 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.

Compliant Non-Compliant Not Audited

Evidence	<p>The RTO has supplied the following documents:</p> <ol style="list-style-type: none"> 1. Training and Assessment Strategy 2. Training Plan 3. RTO Policies Manual 4. RTO Procedure Manual <p>The units chosen for this qualification are correctly reflected in the Training and Assessment Strategy. The amount of training has been adequately justified and is flexible, taking into account the learners requirements and prior experience.</p>
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Findings	The RTO is compliant.
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Element 1.2 - For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:

Compliant Non-Compliant Not Audited

Evidence	<p>The RTO has supplied the following documents:</p> <ol style="list-style-type: none"> 1. Training and Assessment Strategy 2. Training Plan 3. RTO Policies Manual 4. RTO Procedure Manual <p>The units chosen for this qualification are correctly reflected in the Training and Assessment Strategy. The amount of training has been adequately justified and is flexible, taking into account the learners requirements and prior experience. Further the mode of delivery depends on and is flexible to the location and needs of the learner.</p>
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Findings	The RTO is compliant.	
Element 1.2a - the existing skills, knowledge and the experience of the learner;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 1.2b - the mode of delivery; and		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 1.2c - where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 1.3 - The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	<p>The RTO has supplied the following documents:</p> <ol style="list-style-type: none"> 1. Training and Assessment Strategy 2. Training Plan 3. Mapping Tool 4. Written Assessments and Answer Key 5. Assignments <p>The RTO has supplied the following evidence for the two trainers delivering and assessing this qualification:</p> <ol style="list-style-type: none"> 1. Christopher Webb: <ul style="list-style-type: none"> - Certificate IV in Training and Assessment TAE40110 - Certificate IV in Work Health and Safety BSB41412 - Graduate Certificate in Occupational Health and Safety - statement on currency of industry and vocational skills, including Personal Development. 2. Peter Milne <ul style="list-style-type: none"> - Certificate IV in Training and Assessment TAE40110 - Certificate IV in Work Health and Safety BSB41412 - Diploma of Work Health and Safety BSB51315 - statement on currency of industry and vocational skills, including Personal Development. <p>The RTO has access to the resources of the parent company for the conduct of training.</p> <p>The RTO has a training manual that is aligned to the units of competency in the qualification.</p>	
Findings	The RTO is compliant.	
Element 1.3a - trainers and assessors to deliver the training and assessment;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 1.3b - educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 1.3c - 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;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 1.3d - facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 1.4 - The RTO meets all requirements specified in the relevant training package or VET accredited course.		

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Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	<p>The RTO has supplied the following documents:</p> <ol style="list-style-type: none"> 1. Training and Assessment Strategy 2. Training Plan 3. Mapping Tool 4. Written Assessments and Answer Key 5. Assignments <p>The RTO has supplied the following evidence for the two trainers delivering and assessing this qualification:</p> <ol style="list-style-type: none"> 1. Christopher Webb: <ul style="list-style-type: none"> - Certificate IV in Training and Assessment TAE40110 - Certificate IV in Work Health and Safety BSB41412 - Graduate Certificate in Occupational Health and Safety - statement on currency of industry and vocational skills, including Personal Development. 2. Peter Milne <ul style="list-style-type: none"> - Certificate IV in Training and Assessment TAE40110 - Certificate IV in Work Health and Safety BSB41412 - Diploma of Work Health and Safety BSB51315 - statement on currency of industry and vocational skills, including Personal Development. <p>The RTO has access to the resources of the parent company for the conduct of training.</p> <p>The RTO has a training manual that is aligned to the units of competency in the qualification.</p>		
Findings	The RTO is compliant.		
Element 1.5 - The RTO's training and assessment practices are relevant to the needs of industry and informed by industry engagement.			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	<p>The RTO has provided the following documents:</p> <ol style="list-style-type: none"> 1. Training and Assessment Strategy 2. RTO Policies Manual <p>The RTO is an enterprise RTO and therefore is involved in industry dealings everyday with the trainer involved in regular staff meetings and have inter-departmental communications. Further, the RTO is a member of the Australian Drilling Industry Association and have a proactive working relationship with Skills DMC, the drilling industries ISC.</p>		
Findings	The RTO is compliant.		
Element 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:			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	<p>The RTO has provided the following documents:</p> <ol style="list-style-type: none"> 1. Training and Assessment Strategy 2. RTO Policies Manual <p>The RTO is an enterprise RTO and therefore is involved in industry dealings everyday with the trainer involved in regular staff meetings and have inter-departmental communications. Further, the RTO is a member of the Australian Drilling Industry Association and have a proactive working relationship with Skills DMC, the drilling industries ISC.</p> <p>The Training Manager for the RTO regularly visits mine sites with the intent of establishing the suitability of the training and assessment practice and the currency of the trainers and assessors.</p>		
Findings	The RTO is compliant.		
Element 1.6a - its training and assessment strategies, practices and resources; and			

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Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 1.6b - the current industry skills of its trainers and assessors.			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 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.			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	<p>The RTO has supplied the following documents:</p> <ol style="list-style-type: none"> 1. Training and Assessment Strategy 2. RTO Policies Manual 3. RTO Procedures Manual <p>The RTO conducts interview with all potential learners to assess their education and support needs. As the learners are all employees, through workings with the learner the organisation is aware of the learners LLN abilities. The learner is informed that any third-party support will need to be paid for by the learner before studies are commenced.</p>		
Findings	The RTO is compliant.		
Element 1.8 - The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	<p>The RTO has supplied the following documents:</p> <ol style="list-style-type: none"> 1. Training and Assessment Strategy 2. Mapping Tool 3. Written Assessments and Answer Key 4. Assignments <p>The RTO has established a fully clustered assessment tool for use with the qualification. The assessment tasks were checked using the mapping document and found to match the unit requirements.</p>		
Findings	The RTO is compliant		
Element 1.8a - complies with the assessment requirements of the relevant training package or VET accredited course; and			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 1.8b - 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.			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 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:			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	<p>The RTO has supplied the RTO Procedures Manual that includes the Validation Procedure. The procedures informs who organises and coordinated the validations meetings and what is to be performed during validation meetings. The Procedure makes reference to a validation schedule and the sample size. The RTO has also supplied the validation schedule that lays out what units will be scheduled in the 5 year period and assessors to be involved.</p>		
Findings	The RTO is compliant.		
Element 1.9a - when assessment validation will occur;			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>

Element 1.9b - which training products will be the focus of the validation;	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 1.9c - who will lead and participate in validation activities; and	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 1.9d - how the outcomes of these activities will be documented and acted upon.	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 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.	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	The RTO has supplied a validation schedule that includes all information required by this standard.
Findings	The RTO is compliant.
Element 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:	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	The RTO has supplied the RTO Procedures Manual which includes the Validation Procedure and specifically mentions that validation is to be undertaken by not directly involved in the assessment decision.
Findings	The RTO is compliant.
Element 1.11a - vocational competencies and current industry skills relevant to the assessment being validated;	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 1.11b - current knowledge and skills in vocational teaching and learning; and	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 1.11c - the training and assessment qualification or assessor skill set referred to in Item 1 or 3 of Schedule 1.	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 1.12 - The RTO offers recognition of prior learning to individual learners	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	The RTO has supplied the following documents: 1. Training and Assessment Strategy 2. RTO Policies Manual 3. RTO Procedures Manual The procedures demonstrate that RPL is offered to all potential students.
Findings	The RTO is compliant
Element 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:	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	The RTO has supplied the following evidence for the two trainers delivering and assessing this qualification: 1. Christopher Webb:

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	<ul style="list-style-type: none"> - Certificate IV in Training and Assessment TAE40110 - Certificate IV in Work Health and Safety BSB41412 - Graduate Certificate in Occupational Health and Safety - statement on currency of industry and vocational skills, including Personal Development. <p>2. Peter Milne</p> <ul style="list-style-type: none"> - Certificate IV in Training and Assessment TAE40110 - Certificate IV in Work Health and Safety BSB41412 - Diploma of Work Health and Safety BSB51315 - statement on currency of industry and vocational skills, including Personal Development.
Findings	The RTO is compliant
Element 1.13a - vocational competencies at least to the level being delivered and assessed;	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 1.13b - current industry skills directly relevant to the training and assessment being provided; and	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 1.13c - current knowledge and skills in vocational training and learning that informs their training and assessment.	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 1.14 - The RTO's training and assessment is delivered only by persons who have:	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	<p>The RTO has supplied the following evidence for the two trainers delivering and assessing this qualification:</p> <p>1. Christopher Webb:</p> <ul style="list-style-type: none"> - Certificate IV in Training and Assessment TAE40110 - Certificate IV in Work Health and Safety BSB41412 - Graduate Certificate in Occupational Health and Safety - statement on currency of industry and vocational skills, including Personal Development. <p>2. Peter Milne</p> <ul style="list-style-type: none"> - Certificate IV in Training and Assessment TAE40110 - Certificate IV in Work Health and Safety BSB41412 - Diploma of Work Health and Safety BSB51315 - statement on currency of industry and vocational skills, including Personal Development.
Findings	The RTO is compliant
Element 1.14a - 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	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 1.14b - from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 1.15 - Where a person conducts assessment only, the RTO ensures that the person has:	
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input checked="" type="checkbox"/>
Evidence	Both trainers conduct training and assessment.
Findings	Both trainers conduct training and assessment.
Element 1.15a - prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1, or demonstrated equivalence of competencies; and	

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Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.15b - from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 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.			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	<p>The RTO has supplied the RTO Procedure Manual which includes the Professional Development Procedure for both vocational and industry currency. The procedure provides the steps for gaining professional development for vocational currency and states that due to being an enterprise RTO and that trainers work full time in the industry, no professional development for industry currency is necessary.</p> <p>The RTO has supplied the following evidence for the two trainers delivering and assessing this qualification:</p> <p>1. Christopher Webb:</p> <ul style="list-style-type: none"> - Certificate IV in Training and Assessment TAE40110 - Certificate IV in Work Health and Safety BSB41412 - Graduate Certificate in Occupational Health and Safety - statement on currency of industry and vocational skills, including Professional Development. <p>2. Peter Milne</p> <ul style="list-style-type: none"> - Certificate IV in Training and Assessment TAE40110 - Certificate IV in Work Health and Safety BSB41412 - Diploma of Work Health and Safety BSB51315 - statement on currency of industry and vocational skills, including Professional Development. 		
Findings	The RTO is compliant.		
Element 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.			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Evidence	No supervision.		
Findings	No supervision.		
Element 1.18 - The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Evidence	No supervision		
Findings	No supervision.		
Element 1.18a - holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.18b - has vocational competencies at least to the level being delivered and assessed; and			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.18c - has current industry skills directly relevant to the training and assessment being provided.			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.19 - Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>

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Evidence	No supervision.	
Findings	No supervision.	
Element 1.20a i - Without limiting Clauses 1.17 - 1.19, the RTO: determines and puts in place: the level of the supervision required; and		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Evidence	No supervision	
Findings	No supervision.	
Element 1.20a ii - Without limiting Clauses 1.17 - 1.19, the RTO: determines and puts in place: any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.20b - Without limiting Clauses 1.17 - 1.19, the RTO: ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>

ORGANISATION REPORT		
Standard 2 - The operations of the RTO are quality assured		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not-Audited <input checked="" type="checkbox"/>
Overall Comment Against Standard		
Standard 3 - The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not-Audited <input checked="" type="checkbox"/>
Overall Comment Against Standard		
Standard 4 - Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not-Audited <input checked="" type="checkbox"/>
Overall Comment Against Standard		
Standard 5 - Each learner is properly informed and protected.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not-Audited <input type="checkbox"/>
Overall Comment Against Standard		
The RTO, which is an enterprise RTO, provides training to its employees and does not collect fees from students. Potential students are interviewed to determine LLN skills and determine any needs, existing skills and competencies. Further the interview, along with the enrolment form, student handbook and confirmation letter provide all relevant information to the student.		
Element 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.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	The RTO has supplied the following documents: 1. Enrolment form 2. Confirmation Letter 3. Student Handbook 4. RTO Policies Manual	

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	5. RTO Procedures Manual The RTO conducts an interview with prospective students to inform them of the course content, duration and determine the learners LLN skills and any needs that the student may have and how the RTO can support them. Further they are informed of the RPL and credit options. The Interview, combined with the Student Handbook, Enrolment Form and Confirmation Letter, adequately inform the student employee of the qualifications information and the students rights and responsibilities.
Findings	The RTO is compliant.
Element 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:	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	The RTO is an enterprise RTO and does not collect fees from students.
Findings	The RTO is compliant.
Element 5.3a - all relevant fee information including:	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 5.3a i - fees that must be paid to the RTO; and	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 5.3a ii - payment terms and conditions including deposits and refunds;	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 5.3b - the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 5.3c - the learner's right to obtain a refund for services not provided by the RTO in the event the:	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 5.3c i - arrangement is terminated early; or	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 5.3c ii - the RTO fails to provide the agreed services.	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Standard 6 - Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.	
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not-Audited <input checked="" type="checkbox"/>
Overall Comment Against Standard	
Standard 7 - The RTO has effective governance and administration arrangements in place.	
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not-Audited <input checked="" type="checkbox"/>
Overall Comment Against Standard	
Standard 8 - The RTO cooperates with the VET Regulator and is legally compliant at all times.	
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not-Audited <input checked="" type="checkbox"/>
Overall Comment Against Standard	

OVERALL LEVEL OF COMPLIANCE - INITIAL AUDIT

In line with the *National Guideline for Managing Non-Compliance*, the outcome of this audit has indicated that the RTO's

overall level compliance is: **Compliance**

The requirements of the *Standards for Registered Training Organisations 2015* have been met based on the evidence reviewed.

CHANGE OF SCOPE

Has the RTO's Scope changed as a result of this audit

Yes

No