# Self-assessment for registration as a registered training organisation (RTO)

# Introduction

## About this self-assessment

You must complete this self-assessment if:

* you are applying for initial registration as a registered training organisation (RTO) with the Australian Skills Quality Authority (ASQA)
* you are applying for initial registration as a Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) provider to deliver VET courses to international students and you are an existing RTO.

You must submit this self-assessment and relevant evidence with your application in [asqanet](https://asqanet.asqa.gov.au/Account/Login?ReturnUrl=%2F), ASQA’s online application and registration management portal.

The process of completing this tool will help you to:

* review your organisation’s systems and processes against key requirements of the *Standards for Registered Training Organisations (RTOs) 2015* (the Standards) relating to:
	+ each of the five phases of the student journey (marketing and recruitment; enrolment; support and progression; training and assessment; and completion)
	+ regulatory compliance and governance
* ensure you are prepared to deliver quality training and assessment
* provide evidence and information that ASQA will use to assess your application.

You can find more information on the requirements for initial RTO registration:

* in the [Application guide—application for initial registration](https://www.asqa.gov.au/news-publications/forms-guides/application-guide-application-initial-rto-registration)
* on [ASQA's website](https://www.asqa.gov.au/vet-registration/understand-requirements-registration).

## Scope of the self-assessment

This self-assessment does not:

* cover all requirements of the Standards
* prescribe how your organisation must provide training and assessment
* identify all evidence required for compliance with the Standards.

ASQA may assess compliance with standards/clauses not referenced in this self-assessment tool as part of the application process.

When lodging your application for initial registration, you will need evidence of compliance with **every standard**.

## How to complete this self-assessment

The self-assessment allows you to confirm that your organisation has appropriate processes and systems that meet the requirements of the Standards.

To complete this self-assessment, you are required to:

* provide an overview of your organisation
* assess your organisation’s compliance against each of the [five stages of the student journey](https://www.asqa.gov.au/news-publications/publications/fact-sheets/asqas-student-centred-audit-approach) and provide evidence to support your answers
* assess your organisation’s compliance with the standards/clauses relating to regulatory compliance and governance and provide evidence to support your answers
* complete the evidence checklist showing that you have attached all necessary evidence

The responses and supporting evidence provided as part of this self-assessment will be used together with information and supporting documents provided in the *Application for initial registration*to determine compliance against the VET Quality Framework.

A representative of the Australian Skills Quality Authority may (but is not required to) seek clarification related to claims made in this self-assessment, and accompanying application documentation.

No opportunities to provide further evidence will be permitted, so all responses and evidence provided must be complete, truthful and accurate. If evidence is found to be incomplete or false or misleading, the application for initial registration will be rejected.

### Providing evidence

You must:

* provide evidence in a separate compressed file (zip file) for each [phase of the student journey](https://www.asqa.gov.au/files/key-phases-student-journey) and regulatory compliance and governance
* use the checklist to identify the evidence you should include
* upload each zip file into asqanet when submitting this self-assessment.

It is also recommended that you include an index listing all evidence provided. This index should be uploaded into asqanet.

### Tips for completing the self-assessment

* Refer to ASQA’s [User's guide to the Standards for RTOs 2015](https://www.asqa.gov.au/standards) when developing your responses.
* Complete and review the self-assessment before submitting a final version with your *Application for initial registration*.
* If the form does not include enough space for your response to a question, please attach a separate document. The document title should include the number of the question in relates to, and you should list any such documents in your index.
* If you are an existing RTO and are submitting this self-assessment as supporting evidence for your Application for initial CRICOS registration, the responses to this tool should consider your current practices and the training products for delivery to international students that you have applied for.

# Your organisation

## Organisation details

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| **Organisation’s legal name:** |
| Trading name/s: |       |
| Self-assessment completed by |
| Name: |       |
| Role within organisation: |       |
| Date completed: |       |
| **Consultant** |
| Did a consultant assist with completion of this self-assessment or the application for initial RTO registration? [ ]  No [ ]  Yes If yes, please provide details:      |
| Name of consultant: |       |
| Consultant’s organisation name: |       |
| Nature of consultancy | [ ]  The consultant is contracted to assist with setting up the RTO only.[ ]  The consultant is contracted to assist with setting up the RTO and to provide ongoing compliance support.[ ]  The consultant has been contracted to provide ongoing compliance support to the RTO (to be used for existing RTOs).[ ]  Other (please provide details)      |

## Organisation overview

|  | **Yes** | **No** |
| --- | --- | --- |
| Does your organisation intend to apply for/is your organisation registered for government training contracts? | [ ]  | [ ]  |
| Does your organisation intend to apply for approval to enrol students under VET Student Loans (VSL) arrangements, or is your organisation registered to enrol students under VSL arrangements? | [ ]  | [ ]  |
| Does your organisation intend to deliver training and/or assessment services to overseas students studying in Australia? | [ ]  | [ ]  |

## Organisation overview

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| This section only applies to organisations seeking initial RTO registration. If your organisation already holds RTO registration, please go to Section 1‑Marketing and Recruitment on the next page. |

Please provide an overview of your organisation, no more than two pages in length, addressing the following points.

* Why did you decide to apply for RTO registration?
* How did you determine the type of clients to be targeted (e.g. existing workers, general public) and the delivery mode (e.g. face to face, online)?
* What relevant vocational education and/or industry experience do the managerial staff and executive officers of the organisation hold?

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# Self-assessment

Section 1—Marketing and recruitment

RTOs are responsible for providing accurate and accessible information to prospective and current students about RTO services and performance. This includes when these are published or distributed by third parties, such as recruitment agencies, on your organisation’s behalf.

* 1. Marketing and advertising material

In this part of the self-assessment, you will review your organisation’s marketing and advertising materials, and the processes that you have in place to ensure your marketing and advertising materials are appropriate. You will need to provide supporting evidence.

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| **Standards for RTOs—Clause 4.1** |
| Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:1. 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:
	1. a learner will successfully complete a training product on its scope of registration; or
	2. a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or
	3. a learner will obtain a particular employment outcome where this is outside the control of the RTO.
 |

* + 1. Assess your compliance against the standards/clauses relating to marketing and recruitment

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| --- | --- | --- | --- |
|  | **Yes** | **No** | **N/A** |
| All marketing material accurately represents the organisation and the services provided to all students. | [ ]  | [ ]  |  |
| All marketing material either:* identifies a space where the RTO code will be inserted if registration is granted, or
* includes the RTO code.
 | [ ]  | [ ]  |  |
| All marketing material only includes testimonials, photos and references to other organisations or people if their consent has been recorded. | [ ]  | [ ]  |  |
| All marketing material only uses the Nationally Recognised Training (NRT) logo in accordance with Schedule 4 of the Standards for RTOs 2015. | [ ]  | [ ]  |  |
| All marketing material clearly identifies all third parties used by the organisation and their role (i.e. if the third party is used for recruitment, training and assessment, and so on). | [ ]  | [ ]  | [ ]  |
| All marketing material makes it clear where training and assessment is being delivered on behalf of another provider. | [ ]  | [ ]  | [ ]  |
| All marketing material separates nationally recognised training from non-accredited training (training for which Australian Qualifications Framework [AQF] certification isn’t given). | [ ]  | [ ]  | [ ]  |
| All marketing material only advertises current training products with the correct title and code as published on training.gov.au. | [ ]  | [ ]  |  |
| Marketing material does not guarantee:* a licensing outcome, unless this outcome has been confirmed as appropriate by relevant industry regulators in the jurisdiction
* an employment outcome
* successful completion of the training product.
 | [ ]  | [ ]  |  |
| All marketing material includes details of any government or financial support arrangements the student will be required to access during enrolment. | [ ]  | [ ]  | [ ]  |

* + 1. Describe your marketing, promotions and advertising review process

Describe the review process in place to ensure that any marketing, promotional or advertising material that your organisation will publish or distribute is current, factual and appropriate for your intended clients?

This should include the process used to monitor material published and distributed on your behalf by other organisations.

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* + 1. Provide information to support your compliance with the Standards relating to marketing and recruitment

Do you want to provide any additional information to support your compliance with the Standards/clauses relating to marketing and advertising?

If referring to supporting documentation, please include the name of the document.

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* + 1. Attach evidence showing compliance with the Standards/clauses relating to marketing and recruitment

Attach evidence to support compliance, including:

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| --- | --- | --- |
|  | **Yes** | **N/A** |
| * copies of any material developed to market the RTO to potential students
 | [ ]  |  |
| * other relevant evident to show compliance with the Standards/clauses relating to marketing and advertising.
 | [ ]  | [ ]  |

Section 2—Enrolment

As part of the enrolment process RTOs are responsible for informing and protecting students, protecting pre-paid fees by students, and providing credit for prior studies.

2.1 Enrolment and pre-enrolment information

This part of the self-assessment asks you to review your organisation’s pre-enrolment and enrolment information. You will need to assess your processes for ensuring that a training product is appropriate for a particular student to enrol in.

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| **Standards for RTOs 2015—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. |

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| **Standards for RTOs 2015—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: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:
	1. estimated duration;
	2. expected locations at which it will be provided;
	3. expected modes of delivery;
	4. 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
	5. any work placement arrangements.
3. 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.
4. the learner’s rights, including:
	1. details of the RTO’s complaints and appeals process required by Standard 6; and
	2. 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;
5. the learner’s obligations:
	1. in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;
	2. any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and
	3. any materials and equipment that the learner must provide; and
6. information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.
 |

2.1.1 Assess your compliance against clauses 5.1 and 5.2

|  | **Yes** | **No** | **N/A** |
| --- | --- | --- | --- |
| The pre-enrolment information or enrolment agreement includes the code, title and currency of the training product the student is or may be enrolled in as set out on training.gov.au.  | [ ]  | [ ]  |  |
| The pre-enrolment information or enrolment agreement includes the training product’s:* expected duration
* training and assessment locations
* delivery mode
* work placement arrangements.
 | [ ]  | [ ]  |  |
| The pre-enrolment information or enrolment agreement includes information about any third-party arrangements for the delivery of the training and assessment and the contact details for the third parties. | [ ]  | [ ]  |  |
| The pre-enrolment information or enrolment agreement includes information about educational and support services available to students. | [ ]  | [ ]  |  |
| The pre-enrolment information or enrolment agreement clearly states the organisation’s responsibilities to the students, including that the training organisation must:* provide quality training and assessment
* comply with the Standards for RTOs 2015
* issue AQF certification.
 | [ ]  | [ ]  |  |
| The pre-enrolment information or enrolment agreement includes information on the rights of students, including:* the complaints and appeals process
* what happens if your organisation or a third party is unable to deliver the training and assessment.
 | [ ]  | [ ]  |  |
| Includes information on the students’ obligations, including:* anything a student needs to enrol in and complete the training and assessment (such as resources they will need to supply or attendance requirements
* whether students are required to source their own work placements.
 | [ ]  | [ ]  |  |
| The pre-enrolment information or enrolment agreement includes information on potential implications for students accessing training subsidies or entitlement programs. | [ ]  | [ ]  | [ ]  |
| The organisation has a process for assessing whether each training product is appropriate for a potential student. This includes considering:* if the mode of delivery is suitable for the student’s needs
* if the level of the training product is appropriate for the student’s existing skills and abilities
* the required experience, knowledge, or literacy level that a student may need to complete the training product.
 | [ ]  | [ ]  |  |

2.1.2 Provide information to support your compliance with the Standards/clauses relating to enrolment and pre-enrolment information

Do you want to provide any additional information to support your compliance with clauses 5.1 and 5.2?

If referring to supporting documentation, please include the name of the document.

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2.1.3 Attach evidence showing compliance with the Standards/clauses relating to enrolment and pre-enrolment information

Attach evidence to support compliance, including:

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| --- | --- | --- |
|  | **Yes** | **N/A** |
| * student enrolment documentation, such as enrolment forms or agreement templates
 | [ ]  |  |
| * pre-enrolment information, such as student handbooks
 | [ ]  |  |
| * any other relevant evidence showing compliance with clauses 5.1 and 5.2.
 | [ ]  | [ ]  |

2.2 Fee information and pre-paid fees

RTOs are responsible for protecting fees pre-paid by students. This section asks you to assess your fee protection arrangements, and provide evidence that an appropriate fee protection mechanism is in place, if required.

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| **Standards for RTOs—Clause 5.3** |
| Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying: 1. all relevant fee information including:
	1. fees that must be paid to the RTO; and
	2. payment terms and conditions including deposits and refunds;
2. the learner’s rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;
3. the learner’s right to obtain a refund for services not provided by the RTO in the event the:
	1. arrangement is terminated early; or
	2. the RTO fails to provide the agreed services.
 |

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| **Standards for RTOs—Clause 7.3** |
| Where the RTO requires, either directly or through a third party, a prospective or current learner to prepay fees in excess of a total of $1500 (being the threshold prepaid fee amount), the RTO must meet the requirements set out in the Requirements for Fee Protection in Schedule 6. |

2.2.1 Assess your compliance with the Standards/clauses relating to fee information and pre-paid fees

If the training is paid for by an employer or other organisation, not by individual learners, please respond to the first question with ’no’ and skip this section and evidence requirements.

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| The organisation will be/is collecting fees from learners either directly or through a third party. | [ ]  | [ ]  |
| The pre-enrolment/enrolment information addresses:* all relevant fees a student will need to pay over the term of their enrolment
* payment terms and conditions, including deposits and timeframes for payment
* refund terms and conditions, including if the student initiates the termination of enrolment, or the RTO is unable to provide the agreed services
* learners’ rights as consumers including cooling-off periods.
 | [ ]  | [ ]  |
| The fee and refund information provided by the organisation is in plain English. | [ ]  | [ ]  |
| Students are required to pre-pay more than $1500 in fees. | [ ]  | [ ]  |
| If yes to the above statement, a fee protection mechanism\* (as required by Schedule 6 of the Standards) has been arranged. | [ ]  | [ ]  |

\* Available fee protection mechanisms for RTOs that are not government entities or Australian universities are:

* an unconditional financial guarantee from a bank operating in Australia
* membership of a Tuition Assurance Scheme that has been approved by ASQA
* any other fee protection measure that has been approved by ASQA.

2.2.2 Provide information to support your compliance with the Standards/clauses relating to fee information and pre-paid fees

Do you want to provide any additional information to support your compliance with clauses 5.3 and 7.3?

If referring to supporting documentation, please include the name of the document.

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2.2.3 Attach evidence showing compliance with clauses 5.3 and 7.3

Attach evidence to support compliance, including:

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| --- | --- | --- |
|  | **Yes** | **N/A** |
| * fee and refund information for students
 | [ ]  |  |
| * evidence of the fee protection mechanism in use (if relevant)
 | [ ]  |  |
| * any other relevant evidence showing compliance with clauses 5.3 and 7.3.
 | [ ]  | [ ]  |

Section 3—Support and progression

RTOs are responsible for supporting their students throughout each stage of the student journey.

3.1 Support services

In this section, you will review the support services your organisation provides for students.

You will need to provide details of the staff members that provide support services. You will also need to provide details of any external organisations that you have engaged to provide support services.

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| **Standards for RTOs—Clause 1.7** |
| The RTO determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses. |

You must be able to demonstrate you have strategies and resources in place to identify any support needs and have the arrangements and capacity to make this support available to learners.

Support needs may include:

* language, literacy and numeracy (LLN) support
* disability or physical concerns
* cultural, socioeconomic, family issues
* limitations in access to resources.

Support services may include:

* LLN support
* assistive technology
* extra tutorials or teaching support
* access to resources owned by the organisation, such as computers or wi-fi
* counsellors/mediation services.

3.1.1 Assess your compliance against the Standards/clauses relating to providing support to students

|  | **Yes** | **No** | **N/A** |
| --- | --- | --- | --- |
| Processes are in place to identify individual students’ support needs:* at the time of enrolment
* during training and assessment.
 | [ ]  | [ ]  |  |
| Students identified as having support needs have access to educational and support services. | [ ]  | [ ]  |  |
| Internal staff have been appointed as points of contact for student support. | [ ]  | [ ]  |  |
| Relationships with external support services have been established (where the organisation is not equipped to provide that support). | [ ]  | [ ]  | [ ]  |
| A system is in place that provides staff with up-to-date and relevant links to internal and external support services. | [ ]  | [ ]  |  |
| Support services are relevant to the student cohort and are accessible for all modes of delivery offered. | [ ]  | [ ]  |  |

3.1.2 Provide information about support staff

List the staff members who are the nominated contact persons for students seeking support

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| --- | --- | --- |
| **Staff member name** | **Position Title** | **Support role (e.g. point of contact for referrals, providing counselling services, providing literacy support)** |
|       |       |       |
|       |       |       |
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If you need to provide information about additional support staff, please include these in a separate document along with your other evidence for Section 3—support and progression. Please title this document ‘Additional evidence for question 3.1.2, support staff’.

* More information in response to this question is included with the evidence provided for Section 3—support and progression.

3.1.3 Provide information about how you have identified and sourced appropriate support services for your intended students

What sort of support services have been identified as needed by the students in your intended enrolment cohort?

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How have support services, including external support services, been identified and sourced to support those needs?

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3.1.4 Provide information to support your compliance with the Standards/clauses relating to student support

Do you want to provide any additional information to support your compliance with Standard 1.7?

If referring to supporting documentation, please include the name of the document.

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Section 4—Training and assessment

RTOs are responsible for having effective training and assessment strategies and practices. This includes providing a sufficient ‘amount of training’ to meet the requirements of the training product and for students to develop the skills and knowledge they need. RTOs also need to engage with industry to make sure their training and assessment meets industry needs.

To deliver quality training and assessment, RTOs also need adequate staffing, resources and facilities.

4.1 Strategies for training and assessment

This section of the self-assessment requires you to have training and assessment strategies in place, that include the amount of training to be provided for each training product you intend to deliver and ensure that it is sufficient for the intended student cohort.

The **amount of training** is the time it takes for learners to be taught and practice the skills and knowledge required to demonstrate competency prior to assessment. Time spent completing assessment tasks is not included in the amount of training.

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| **Standards for RTOs—Clause 1.1** |
| The RTO’s training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled. |

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| **Standards for RTOs—Clause 1.2** |
| For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to: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.
 |

4.1.1 Self-assessment against the Standards/clauses relating to relating to strategies for training and assessment and amount of training

|  | **Yes** | **No** | **N/A** |
| --- | --- | --- | --- |
| Strategies for training and assessment have been prepared for each mode of delivery and/or client cohort for each training product included in the application for registration. | [ ]  | [ ]  |  |
| Each training and assessment strategy includes the training product code and title. | [ ]  | [ ]  |  |
| Each training and assessment strategy contains the entry requirements for the training product, including:* any requirements set by the relevant training package or accredited course
* requirements set by your organisation (for example, if you require a student to be a job-seeker)
* attributes that may affect a student’s ability to complete the desired training product (e.g. English-language proficiency).
 | [ ]  | [ ]  |  |
| Each training and assessment strategy sets out the delivery structure of the training product, including:* units being offered—core and elective
* pre or co-requisite units of competency
* sequencing of delivery and assessment
* amount of training (not including assessment)
* possible variations for students with different learning needs
* delivery mode—face-to-face at RTO premises, face-to-face at workplace, online, distance or mixed delivery method
* work placement (if relevant to the training product).
 | [ ]  | [ ]  |  |
| Each training and assessment strategy defines the client cohort for the relevant training product, including:* who they are
* what experience will they have.
 | [ ]  | [ ]  |  |
| Each training and assessment strategy defines the assessment methods for the relevant training product, including:* how assessment is to be conducted, including assessment during work placement
* timing of assessment
* assessment resources.
 | [ ]  | [ ]  |  |
| Each training and assessment strategy defines the resources needed for delivery:* learning
* human
* physical.
 | [ ]  | [ ]  |  |
| The training and assessment strategies are consistent with the requirements of the training package and training product (including each unit of competency or module that makes up the training product), and the intended practice. | [ ]  | [ ]  |  |
| The amount of training for each training product:* is sufficient to address the complexity of the training product, and gives students sufficient time to fully absorb all required skills and knowledge and develop, practice and apply the skills and knowledge prior to assessment.
* takes into consideration the existing skills and experience of the cohort of students and the mode of delivery.
 | [ ]  | [ ]  |  |
| A rationale is documented where the amount of training to be provided to a learner is of a short duration. | [ ]  | [ ]  |  |
| A process for the review of all strategies for training and assessment has been developed/implemented to respond to required changes. | [ ]  | [ ]  | [ ]  |

4.1.2 Provide information to support your compliance with the Standards/clauses relating to strategies for training and assessment and amount of training.

Do you want to provide any additional information to support your compliance with clauses 1.1 and 1.2?

If referring to supporting documentation, please include the name of the document.

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4.1.3 Attach evidence to support your compliance with the Standards/clauses relating to strategies for training and assessment and amount of training

Attach evidence to support compliance, including:

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| --- | --- | --- |
|  | **Yes** | **N/A** |
| * strategies for training and assessment for each training product/cohort included in the VET and/or CRICOS application for registration
 | [ ]  |  |
| * rationale for any training product that will be delivered in a duration shorter than that recommended for the AQF level (If applicable.)
 | [ ]  |  |
| * any other relevant evidence showing compliance with clauses 1.1 and 1.2.
 | [ ]  | [ ]  |

4.2 Resources, staffing and facilities

This section asks you to assess your learning resources, staffing and facilities. You will be asked to provide information on any shared facilities and on your student-teacher ratios.

Before you submit an application for initial registration, learning resources must be sourced, configured and ready for delivery for all training products requested in the application. Learning resources must be sufficient for the intended initial cohort of students. Invoices or quotes for learning resources are not sufficient evidence.

You must have learning resources available for all requested training products—not just for a limited number of units.

For staffing resources, a signed formal employment contract is not required; however, you will be expected to provide evidence that each trainer and assessor has agreed to commence employment after registration. Resumes or job descriptions alone are not sufficient evidence.

For more information, refer to ASQA’s general direction [Resourcing requirements—for applicants seeking initial registration or change to scope of registration.](https://www.asqa.gov.au/news-publications/publications/general-directions/resourcing-requirements-initial-registration-or-change-scope)

|  |
| --- |
| **Standards for RTOs—Clause 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.
 |

4.2.1 Self-assessment against the Standards/clauses relating to resources, staffing and facilities

|  | **Yes** | **No** | **N/A** |
| --- | --- | --- | --- |
| Learning resources (including equipment necessary for practical training) are available for all training products requested in the application for registration. | [ ]  | [ ]  |  |
| Learning resources have been contextualised for each client cohort. | [ ]  | [ ]  |  |
| Learning resources and support systems for students undertaking distance or online training will be/are accessible to those students during their enrolment. For example, students will be able to access necessary software, Wi-Fi, and/or password details during the enrolment period. | [ ]  | [ ]  |  |
| If students are required to undertake work placement as part of their training and assessment, your organisation has sourced placement venues and confirmed that:* Sufficient and appropriately skilled staff are available at the workplace venue to supervise, train and if necessary provide assessment advice for the number and type of students.
* The venue allows students to access all necessary experiences/scenarios to demonstrate competence against the requirements of the training product.
* The venues are safe and able to accommodate the intended number of students.
 | [ ]  | [ ]  | [ ]  |
| If students are expected to source their own placements, processes are in place for ensuring that students are informed that they are required to source their own placements. | [ ]  | [ ]  | [ ]  |
| For face to face training and assessment, all delivery locations either:* are owned by the applicant
* have a current lease arrangement
* are the subject of a written agreement to be leased pending registration
* will be leased as required. *(This option will only be appropriate for training products that don’t have specific site/resource requirements beyond facilities that can be rented. The use of short term hire locations must align with training and assessment strategies).*
 | [ ]  | [ ]  | [ ]  |
| If training and assessment is to be conducted at a specific employer’s premises, this is recorded in the contractual agreement with the employer. | [ ]  | [ ]  | [ ]  |
| For face-to-face training and assessment, all delivery locations:* are large enough for the initial cohort and contain suitable facilities such as breakrooms or toilets (considering any other organisations using the same venue)
* are set up to be ready for the commencement of training and assessment.
 | [ ]  | [ ]  | [ ]  |
| The organisation has obtained necessary council approvals (if appropriate to the jurisdiction) for all premises to be used as educational facilities.  | [ ]  | [ ]  | [ ]  |
| The organisation has developed processes to ensure that for all assessment conducted in a simulated environment, the simulated environment replicates the workplace and meets the training package requirements. | [ ]  | [ ]  | [ ]  |
| The organisation has sourced sufficient and qualified staff (in line with clauses 1.13-1.20) for the initial student cohort and the proposed timetabling. | [ ]  | [ ]  |  |
| The organisation has confirmed access to sufficient educational and support services to support the number of students for each training product. | [ ]  | [ ]  |  |
| Business planning includes a process for reviewing the sufficiency and adequacy of learning resources as the organisation/student numbers grow, and the Financial Viability Risk Assessment Tool reflects potential costs of growth. | [ ]  | [ ]  |  |

4.2.2 Shared delivery locations

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| Are any delivery locations shared with any other organisation?  | [ ]  | [ ]  |
| If yes, provide the other organisation names:      |
| List response here:      |

4.2.3 Student teacher ratios

What is the planned student to teacher ratio for each training product?

|  |  |  |
| --- | --- | --- |
| **Training Product code** | **Student: Teacher Ratio** | **Delivery Mode** |
|       |       | Choose an item. |
|       |       | Choose an item. |
|       |       | Choose an item. |
|       |       | Choose an item. |
|       |       | Choose an item. |
|       |       | Choose an item. |

If you need to provide information on more training products, please include these in a separate document along with your other evidence for Section 4—training and assessment. Please title this document ‘Additional evidence for question 4.2.3, teacher student ratios’.

* More information in response to this question is included with the evidence provided for Section 4—training and assessment.

4.2.4 Provide information to support your compliance with the Standards/clauses relating to resources, staffing and training

Do you want to provide any additional information to support your compliance with Standard 1.3?

If referring to supporting documentation, please include the name of the document.

|  |
| --- |
|       |

4.2.5 Attach evidence to support your compliance with the Standards/clauses relating to resources, staffing and facilities

Attach evidence to support compliance, including:

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **N/A** |
| * leasing agreements/venue hire agreements
 | [ ]  |  |
| * title deeds for locations owned by applicant
 | [ ]  |  |
| * workplace resource lists and agreements confirming access to facilities, equipment and range of work directly relevant to training package requirements
 | [ ]  |  |
| * approval from Local Government Authority for use as an educational facility (where available in the council area)
 | [ ]  |  |
| * floor plans for premises used by the applicant
 | [ ]  |  |
| * class scheduling or timetabling documentation for each delivery location
 | [ ]  |  |
| * a list of learning resources and equipment available for each training product (i.e. these have been purchased and can be provided on request)
 | [ ]  |  |
| * employment contracts or evidence of agreements with trainers/assessors to commence employment
 | [ ]  |  |
| * other information to demonstrate compliance with the relevant standards/clauses.
 | [ ]  | [ ]  |

4.3 Industry engagement

This section of the self-assessment asks you to confirm and provide details of how engagement with industry has informed your organisation’s training and assessment strategies.

|  |
| --- |
| **Standards for RTOs—Clause 1.5** |
| The RTO’s training and assessment practices are relevant to the needs of industry and informed by industry engagement. |

|  |
| --- |
| **Standards for RTOs—Clause 1.6** |
| The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:1. its training and assessment strategies, practices and resources; and
2. the current industry skills of its trainers and assessors.
 |

Industry representatives may include:

* industry advisory bodies
* licensing/government regulators or bodies
* employer associations/bodies
* business organisation representatives.

Examples of what should be considered during industry consultation include:

* that the training products (e.g through the elective units chosen) are relevant to the skill and knowledge requirements of industry
* the learning and assessment resources are appropriate to current and (where known) future industry needs
* the mode and methods of delivery
* the entry requirements and/or reasonable adjustments to training and assessment that are appropriate to industry needs (for example, are there any limitations that would prevent a graduate from finding employment in the industry that would impact on how students are chosen?)
* what is needed to create an effective workplace simulation environment (if relevant)
* any issues that could affect students who are already working in the industry, such as scheduling or travel requirements
* relevant policies, regulations or laws that could affect delivery or content of training and assessment.

4.3.1 Assess your compliance with the Standards/clauses relating to industry engagement

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| Feedback from a range of industry representatives has been incorporated into the development of training and assessment strategies. | [ ]  | [ ]  |
| Industry feedback confirms that training and assessment strategies and intended practices are relevant to current and (where possible) future industry needs. | [ ]  | [ ]  |

4.3.2 List the industry representatives your organisation has engaged with

List the industry representatives that provided input into the development of training and assessment strategies and intended practice for each training product.

| **Name of industry contact** | **Organisation** | **Position** | **Contact phone number** | **Training product(s) code provided advice on** |
| --- | --- | --- | --- | --- |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |

If more rows are required, please attach a separate document along with your other evidence for Section 4—training and assessment. Please title this document ‘Additional evidence for question 4.3.2, industry representatives’.

* More information in response to this question is included with the evidence provided for Section 4—training and assessment.

4.3.3 Give examples of how industry consultation has informed your strategies for training and assessment

Provide **examples** for each training product that you have applied to deliver.

|  |  |
| --- | --- |
| **Training product code** | **Examples of how industry consultation has informed the training and assessment strategy** |
|       |       |
|       |       |
|       |       |
|       |       |
|       |       |
|       |       |

If more rows are required, please attach a separate document along with your other evidence for Section 4—training and assessment. Please title this document ‘Additional evidence for question 4.3.3, industry consultation’.

* More information in response to this question is included with the evidence provided for Section 4—training and assessment.

4.3.4 Provide information to support your compliance with the Standards/clauses relating to industry consultation

Do you want to provide any additional information to support your compliance with Standard 1.3?

If referring to supporting documentation, please include the name of the document.

|  |
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4.4 Assessment

RTOs are responsible for conducting effective assessment that meets the principles of assessment and the rules of evidence. In this section you will need to self-assess your organisation’s assessment systems and assessment tools, and to provide evidence of the assessment tools you have developed.

|  |
| --- |
| **Standards for RTOs—Clause 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.
 |
| **Table 1.8.1 Principles of Assessment** |
| **Fairness** | The individual learner’s needs are considered in the assessment process.Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner’s needs.The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary. |
| **Flexibility** | Assessment is flexible to the individual learner by:* reflecting the learner’s needs;
* assessing competencies held by the learner no matter how or where they have been acquired; and
* drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.
 |
| **Validity** | Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.Validity requires:* assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;
* assessment of knowledge and skills is integrated with their practical application;
* assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and
* judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
 |
| **Reliability** | Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment. |
| **Table 1.8.2 Rules of Evidence** |
| **Validity** | The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements. |
| **Sufficiency** | The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner’s competency. |
| **Authenticity** | The assessor is assured that the evidence presented for assessment is the learner’s own work. |
| **Currency** | The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past. |

An **assessment system** is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment and the Rules of Evidence.

**Assessment tools** include the following components—context and conditions of assessment, tasks to be administered to the student, an outline of the evidence to be gathered from the candidate and evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules).

4.4.1 Assess your compliance with the Standards/clauses relating to assessment systems and assessment tools

|  | **Yes** | **No** |
| --- | --- | --- |
| Assessment tools have been sourced/developed (and contextualised where appropriate) for all units of competency or modules included in the training products in the application. | [ ]  | [ ]  |
| Assessment tools, policies and procedures have been coordinated into an assessment system that is ready for implementation/has been implemented for all units of competency or modules included in the training products in the application. For more information, refer to ASQA’s general direction [Resourcing requirements—for applicants seeking initial registration or change to scope of registration.](https://www.asqa.gov.au/news-publications/publications/general-directions/resourcing-requirements-initial-registration-or-change-scope) | [ ]  | [ ]  |
| The assessment systems address the following competency requirements for each unit of competency/module:* performance criteria
* performance evidence
* knowledge evidence.
 | [ ]  | [ ]  |
| **All assessment systems comply with the principles of assessment and the rules of evidence** |
| Assessment will be/is conducted in accordance with the assessment conditions noted in the unit of competency/module. | [ ]  | [ ]  |
| The organisation’s assessment systems ensure that student needs will be/are taken into consideration and opportunities for reasonable adjustment to assessment conditions will be implemented where possible. | [ ]  | [ ]  |
| The organisation’s assessment systems ensure students receive clear, accurate and consistent information about assessment processes and the chance to appeal decisions. | [ ]  | [ ]  |
| The organisation’s assessment systems utilise an appropriate range of assessment methods to determine competency. | [ ]  | [ ]  |
| The organisation’s assessment systems collect a sufficient and varied range of evidence to assess student performance against the assessment requirements of the training product. | [ ]  | [ ]  |
| The organisation’s assessment tools and instructions ensure that assessors will make comparable and consistent assessment decisions.  | [ ]  | [ ]  |
| The organisation’s assessment systems ensure that students submit their own work for assessment. | [ ]  | [ ]  |
| The organisation’s assessment systems ensure that assessments demonstrate current competency of the student against the requirements of the training product. | [ ]  | [ ]  |

4.4.2 Provide information to support your compliance with the Standards/clauses relating to assessment

Do you want to provide any additional information to support your compliance with Standard 1.8?

If referring to supporting documentation, please include the name of the document.

|  |
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4.4.3 Attach evidence to support your compliance with the Standards/clauses relating to assessment

Attach evidence to support compliance, including:

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **N/A** |
| * a complete list of assessment tools to be used for each training product (for each unit of competency/module to be delivered as part of a qualification or course) that can be provided on request
 | [ ]  |  |
| * for any units of competency that have been applied for as explicit standalone delivery, copies of all assessment tools to be used (if mandatory assessment tools are to be used, evidence of contact with the relevant regulator must be attached)
 | [ ]  |  |
| * any other relevant evidence showing compliance with Standard 1.8.
 | [ ]  | [ ]  |

4.5 Trainers and assessors

RTOs are required to employ appropriately skilled trainers and assessors and to ensure supervision of trainers where needed. This section asks you to assess the capability/suitability of your trainers and assessors. You must also provide details, including contact details, for the trainers and assessors you employ or will employ.

|  |
| --- |
| **Standards for RTOs—Clause 1.13** |
| In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO’s training and assessment is delivered only by persons who have: 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.

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

|  |
| --- |
| **Standards for RTOs—Clause 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
 |

|  |
| --- |
| **Standards for RTOs—Clause 1.15** |
| Where a person conducts assessments only, the RTO ensures that: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.
 |

|  |
| --- |
| **Standards for RTOs—Clause 1.16** |
| The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment. |

|  |
| --- |
| **Standards for RTOs—Clause 1.17** |
| Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes. |

|  |
| --- |
| **Standards for RTOs—Clause 1.18** |
| The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:1. 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.
 |

|  |
| --- |
| **Standards for RTOs—Clause 1.20** |
| Without limiting Clauses 1.17 - 1.19, the RTO:1. determines and puts in place:
	1. the level of the supervision required; and
	2. any requirements, conditions or restrictions considered necessary on the individual’s involvement in the provision of training and collection of assessment evidence; and
2. ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.
 |

4.5.1 Self-assessment against the Standards/clauses relating to trainer and assessor competency

|  | **Yes** | **No** | **N/A** |
| --- | --- | --- | --- |
| All trainers and assessors that will deliver training and/or assessment have vocational competencies to the level of the training product being delivered.(Vocational competencies require demonstration that the trainer/assessor has achieved certification/demonstrated experience to the level of a training product that they are delivering. The training product will provide information on whether there is a specific qualification requirement.)  | [ ]  | [ ]  |  |
| All trainers and assessors that will deliver training and/or assessment have current industry skills that are directly relevant to the training product they will deliver.Examples of how a trainer/assessor may demonstrate current skills include: * volunteering or working part-time in the industry area
* undertaking accredited training relevant to the industry area
* belonging to industry associations
* engaging with industry (for example, through discussions with employers or attending industry networking events)
* reading industry journals and subscriptions
* staying informed about changes to technology
* keeping up to date with changes to legislation.
 | [ ]  | [ ]  |  |
| All trainers and assessors have current knowledge and skills in vocational training and learning that can inform their training and assessment decisions | [ ]  | [ ]  |  |
| All trainers and assessors have a relevant training and assessment qualification: * TAE40110 Certificate IV in Training and Assessment or TAE40116 Certificate IV in Training and Assessment
* a diploma or higher level qualification in adult education, or
* for those delivering assessment only, the TAESS00001 Assessor Skill Set or the TAESS00011 Assessor Skill Set.
 | [ ]  | [ ]  |  |
| Appropriate supervision arrangements from appropriately qualified trainers and assessors have been determined (if applicable). | [ ]  | [ ]  | [ ]  |
| The organisation has processes in place to ensure trainers/assessors undertake regular professional development in the knowledge and practice of vocational training and competency-based assessment.  | [ ]  | [ ]  |  |

4.5.2 Provide the details of trainers and assessors

List the trainers and assessors that will deliver each training product requested in the application.

| **Name of trainer/ assessor** | **Training product codes delivered and/or assessed** | **Delivery and/or Assessment** | **Full time/Contract employee** | **Contact phone number** | **Requires supervision?** |
| --- | --- | --- | --- | --- | --- |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
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|       |       |       |       |       |       |

If you need to provide information on more trainers and assessors, please include these in a separate document along with your other evidence for Section 4—training and assessment. Please title this document ‘Additional evidence for question 4.5.2, trainers and assessors’.

* More information in response to this question is included with the evidence provided for Section 4—training and assessment.

4.5.3 Provide information to support your compliance with the Standards/clauses relating to trainers and assessors

Do you want to provide any additional information to support your compliance with the Standards relating to trainers and assessors?

If referring to supporting documentation, please include the name of the document.

|  |
| --- |
|       |

4.5.4 Attach evidence to support your compliance with the Standards/clauses relating to trainers and assessors

Attach evidence to support compliance, including:

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **N/A** |
| * documentation for each trainer/assessor to show compliance with Clauses 1.13 – 1.18 and 1.20, such as resumes and relevant qualifications.
 | [ ]  |  |

Section 5—Completion

RTOs are responsible for ensuring certification is only issued to students who have completed all assessment requirements. Certification documentation must be issued in a timely manner and must be in a format prescribed by the Standards.

5.1 Australian Qualifications Framework (AQF) certification

This section of the self-assessment asks you to review your qualification and statement of attainment templates, as well as your processes for issuing secure certification. You will need to provide supporting evidence. ASQA’s [website](https://www.asqa.gov.au/news-publications/publications/fact-sheets/sample-aqf-documentation) also contains samples of AQF certification.

|  |
| --- |
| **Standards for RTOs—Clause 3.2** |
| All AQF certification documentation issued by an RTO meets the requirements of Schedule 5. |

5.1.1 Assess your compliance against Standard 3.2

|  | **Yes** | **No** | **N/A** |
| --- | --- | --- | --- |
| AQF certification documentation includes the name of the organisation, space for the RTO code and the NRT logo. | [ ]  | [ ]  |  |
| AQF certification documentation uses the NRT logo only in accordance with Schedule 4 of these standards. | [ ]  | [ ]  |  |
| Qualification testamurs include the code and title of any qualification.  | [ ]  | [ ]  | [ ]  |
| Qualification testamurs include (where applicable):* if required by a state/territory training authority, the relevant state/territory training authority logo the industry descriptor
* the occupational or functional stream (in brackets)
* if delivered through an apprenticeship program, the words ‘achieved through Australian Apprenticeship arrangements’
* if training and assessment has been delivered in a language other than English, the words, ‘these units / modules have been delivered and assessed in [language]’ followed by a list of the relevant units/modules.
 | [ ]  | [ ]  | [ ]  |
| Statements of attainment include the code and title of all units/modules that have been completed. | [ ]  | [ ]  | [ ]  |
| Statements of attainment include a space for the authorised signatory.  | [ ]  | [ ]  | [ ]  |
| Statements of attainment include the organisation’s seal, watermark or corporate identifier.  | [ ]  | [ ]  | [ ]  |
| Statements of attainment include, where applicable:* if required by a state/territory training authority, the relevant state/territory training authority logo if the statement of attainment relates to part of an incomplete qualification, rather than a standalone unit, the words ‘these competencies form part of [code and title of qualification(s)/course(s)]’
* the words, ‘these competencies were attained in completion of [code] course in [full title]’
* if training and assessment has been delivered in a language other than English, the words, ‘these units / modules have been delivered and assessed in [language]’ followed by a list of the relevant units/modules.
 | [ ]  | [ ]  | [ ]  |
| Certification templates only refer to the unique student identifier (USI) in accordance with the Student Identifiers Act 2014. | [ ]  | [ ]  |  |
| The organisation has a system place to ensure all AQF Certification records will be registered and maintained for 30 years. | [ ]  | [ ]  |  |

5.1.2 Provide information to support your compliance with Standard 3.2

Do you want to provide any additional information to support your compliance with the Standards relating to issuing AQF certification?

If referring to supporting documentation, please include the name of the document.

|  |
| --- |
|       |

5.1.3 Attach evidence showing compliance with Standard 3.2

Attach evidence to support compliance, including:

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **N/A** |
| * copies of the organisation’s qualification testamurs and statement of attainment templates
 | [ ]  |  |
| * other relevant evidence to support compliance with Standard 3.2.
 | [ ]  | [ ]  |

Section 6—Regulatory compliance and governance

6.1 Third-party arrangements

This section of the self-assessment requires you to review your arrangements with any third parties, and to provide details of these arrangements to ASQA.

RTOs are responsible for recording, monitoring and reporting on any arrangements that they have with third parties to deliver ‘services’ on the RTO’s behalf. Services that may be conducted by third parties include:

* marketing/recruitment/enrolment (this does not include purchased advertisement space)
* providing student support services (where a specific contract to provide service is in place)
* delivering training and assessment (this does not include contract trainers or workplace assessors)
* providing educational resources
* other services—refer to ASQA’s [Fact sheet—third-party arrangements](https://www.asqa.gov.au/news-publications/publications/fact-sheets/third-party-arrangements) for more information.

|  |
| --- |
| **Standards for RTOs—Clause 2.3** |
| The RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement. |

|  |
| --- |
| **Standards for RTOs—Clause 2.4** |
| The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and use these to ensure that the services delivered comply with these Standards at all times. |

|  |
| --- |
| **Standards for RTOs—Clause 8.2** |
| The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator: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.
 |

6.1.2 Self-assessment of compliance with the Standards/clauses relating to third-party arrangements

Select ‘N/A’ only If your organisation does not have arrangements for delivery of any services by third parties.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Yes** | **No** | **N/A** |
| The organisation has a written agreement in place with every third party that will deliver or does deliver services on its behalf.  | [ ]  | [ ]  | [ ]  |
| Each written agreement with a third party specifies:* the rights and responsibilities of both organisations, including
	+ compliance with the Standards for RTOs 2015
	+ managing payments and refunds
	+ recordkeeping and data provision
	+ dealing with complaints and appeals
* the requirement for third parties to cooperate with any requests from ASQA including by:
	+ providing factual and accurate data within requested timelines
	+ participating in audit and monitoring activities
* the process for performance/behaviour monitoring of the third party, including noting corrective action that may be taken against the third party, in the event the third party is not complying with the Standards.
 | [ ]  | [ ]  | [ ]  |
| The organisation has a process for monitoring the behaviour of third parties and taking appropriate corrective action.  | [ ]  | [ ]  | [ ]  |

6.1.3 Provide a list of all third parties with which your organisation has agreements

List the third parties you have agreements with below.

| **Organisation** | **Role they will serve (e.g. recruitment, delivery of first aid units)** | **Contact name** | **Contact position** | **Contact phone number** |
| --- | --- | --- | --- | --- |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |

If you need to provide information on more third parties, please include this in a separate document along with your other evidence for Section 6—regulatory compliance and governance. Please title this document ‘Additional evidence for question 6.1.3, third parties’.

* More information in response to this question is included with the evidence provided for Section 6—regulatory compliance and governance.

6.1.4 Provide information to support your compliance with the Standards/clauses relating to third-party arrangements

Do you want to provide any additional information to support your compliance with the Standards/clauses relating to third-party arrangements?

If referring to supporting documentation, please include the name of the document.

|  |
| --- |
|       |

6.1.5 Attach evidence showing compliance with the Standards/clauses relating to third-party arrangements

Attach evidence to support compliance, including:

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **N/A** |
| * copies of any agreements with third parties
 | [ ]  |  |
| * strategies to monitor third parties
 | [ ]  |  |
| * other relevant evidence.
 | [ ]  | [ ]  |

6.2 Data provision

Each RTO is required to meet the Data Provision Requirements.

|  |
| --- |
| **Standards for RTOs—Clause 7.5** |
| The RTO provides accurate and current information on its performance and governance consistent with the Data Provision Requirements as updated from time to time. |

6.2.1 Self-assessment with the Standards/clauses relating to data provision

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) compliant software has been purchased or developed and configured for use. For more information, refer to ASQA’s general direction [Resourcing requirements—for applicants seeking initial registration or change to scope of registration.](https://www.asqa.gov.au/news-publications/publications/general-directions/resourcing-requirements-initial-registration-or-change-scope) If purchased, what is the name of the software system is being used for the collection of AVETMISS data?      | [ ]  | [ ]  |
| A system is in place for the collection and reporting of learner and employer quality indicator surveys. | [ ]  | [ ]  |
| Does your organisation intend to apply for a data reporting exemption under the *National VET Provider Collection Data Reporting Requirements Policy*? | [ ]  | [ ]  |

6.2.3 Provide information to support your compliance with the Standards/clauses relating to data provision

Do you want to provide any additional information to support your compliance with the Standards relating to data provision

If referring to supporting documentation, please include the name of the document.

|  |
| --- |
|       |

6.3 Compliance with legislation

RTOs are required to comply with all legislative and regulatory requirements relevant to their scope of registration.

|  |
| --- |
| **Standards for RTOs—Clause 8.5** |
| The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations. |

6.3.1 Self-assessment with the Standards/clauses relating to compliance with legislation

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Yes** | **No** | **N/A** |
| The organisation has implemented processes to ensure that legislative and regulatory requirements relevant to registration as a training organisation and the scope of the registration in the operating locations have been complied with. | [ ]  | [ ]  |  |
| Relevant to their role in the organisation, each staff member has any required Working with Children clearances and/or police checks for each state and territory (as per state/territory requirements) the staff member works in. | [ ]  | [ ]  | [ ]  |

6.3.2 Provide information to support your compliance with the Standards/clauses relating to compliance with legislation

Do you want to provide any additional information to support your compliance with the Standards relating to compliance with legislation?

If referring to supporting documentation, please include the name of the document.

|  |
| --- |
|       |

## Supporting evidence checklist

This list includes all mandatory evidence that you are required to submit to ASQA with this completed self-assessment.

You may also submit additional relevant evidence for each part of the self-assessment.

|  |  |  |
| --- | --- | --- |
| **Stage of student journey** | **Zip file attached** | **Zip file/document names**  |
| **Marketing/recruitment practices** | [ ]  |       |
| Copies of any material, whether printed or online drafted to market the applicant to potential students |  |       |
| **Enrolment** | [ ]  |       |
| * Student enrolment documentation, such as enrolment forms or agreement templates
* Pre-enrolment information, such as a student handbook
* Fee and refund information for students
* Evidence of fee protection mechanism (if applicable)
 |  |       |
| **Training and assessment** | [ ]  |       |
| * Strategies for training and assessment for each training product/cohort
* Rationale for any training product that will be delivered in a duration shorter than that recommended for the AQF level. (If applicable.)
* Leasing agreements/venue hire agreements
* Title deeds for locations owned by applicant
* Workplace resource lists and agreements confirming access to facilities, equipment and range of work directly relevant to training package requirements
* Approval from Local Government Authority for use as an educational facility (where available in the council area)
* Floor plans for premises used by the applicant
* Class scheduling or timetabling documentation for each delivery location
* A list of learning resources and equipment available for each training product (i.e. these have been purchased and can be provided on request)
* A complete list of assessment tools to be used for each training product (for each unit of competency/module to be delivered as part of a qualification or course).
* For any units of competency that have been applied for as explicit standalone delivery, copies of all assessment tools to be used. (If mandatory assessment tools are to be used, evidence of contact with the relevant regulator must be attached).
* Evidence of agreements with trainers/assessors to commence employment
* Documentation for each trainer/assessor, such as CVs and qualifications used to confirm suitability
 |  |       |
| **Completion** | [ ]  |       |
| * Copies of qualification testamurs and statement of attainment templates
 |  |       |
| **Regulatory compliance/governance** | [ ]  |       |
| * Agreements with third parties
* Strategies to monitor third parties
 |  |       |