



# Self-assessment tool

Form

## Introduction

ASQA's self-assessment tool is designed to support training providers to manage self-assurance and ongoing compliance.

Our regulatory approach promotes a culture of self-assurance and continuous quality improvement as a core component of provider operations

This approach to regulation emphasises RTOs' responsibility for assessing their own performance and practices against the *Standards for RTOs 2015*.

We have provided this self-assessment tool to assist the sector to understand the legislative requirements. This supports self-assurance by providers to identify, and address early, any deficiencies in their compliance to limit or prevent harm to students or the sector.

## Why should you complete a self-assessment?

The *National Vocational Education and Training Regulator Act 2011* (NVR Act) requires providers to comply with the Standards at all times as a condition of registration. This self-assessment tool provides support to providers in how to undertake a performance assessment of their own compliance with the Standards.

Self assessment is the act or process of analyzing and evaluating the RTO's performance against the RTO Standards. It involves gathering evidence of the training and assessment outputs and outcomes of their activities, systems and processes and critically evaluating how well you are performing against the Standards.

Self assessment forms one part of a system of self-assurance to manage risk in your organisation so that you can identify and fix issues as they arise, manage these to quality outcomes while ensuring quality student outcomes and having confidence that your RTO meets your regulatory obligation on a sustained basis.

Using this tool will help you to identify and assess evidence of practice and outcomes for each phase of the student experience. You can use this tool to identify areas for improvement in your RTOs' practices, systems and processes and to determine the actions that need to be taken to ensure quality outcomes for students, employers and the wider community.

## The student experience

This self-assessment tool is a companion to ASQA's [Users' guide to the Standards for RTOs 2015](#) and aligns with the five phases of the student experience.

The new self-assurance regulatory model is underpinned by the Standards and will continue to reflect the student experience, with mapping to the relevant standards and clauses:

- Marketing and recruitment
- Enrolment
- Fee protection arrangements
- Support and progression
- Training and assessment
- Completion

To be fully compliant, RTOs also need to ensure their governance arrangements meet the requirements in the Standards.

## Does my RTO need to complete a self-assessment?

It is not a requirement of registration to use this tool to assess your RTO's compliance against the Standards. ASQA provides this tool to support RTOs in understanding their own performance (state of ongoing compliance) and the extent to which they are providing quality outcomes for students and employers to help them move toward self-assurance.

The tool does not form part of the Standards and has no legal authority. The tool does not prescribe what evidence you should collect to demonstrate your compliance with the Standards however it may provide evidence of your capability and commitment to delivering quality VET through ongoing review and continuous improvement.

## Using this self-assessment tool

The tool follows the five phases of the student's experience with an additional stage relating to your RTO's governance arrangements, grouping the relevant Standards (and clauses) against each stage.

For each Standard, clause or group of related clauses the tool includes:

- Links to the relevant standards/clauses in the users' guide
- A set of questions
  - These questions are designed to help review and consider your RTO's performance in relation to the three core questions when assessing performance against the standards:
    - Does your practice align with the requirements of the Clause?
    - Do you have a system appropriate for ensuring ongoing compliance with the Clauses?
    - Do you monitor, review and continuously improve (self-assure) to ensure compliance with the requirements of the Clauses?
- A table template that can assist with recording of self-assessment activities.

Some RTOs may already have a continuous improvement plan in place to drive improvements in their operations. Others may find that as you move to self-assurance, a plan helps you to monitor and evaluate the changes you make to your RTO. For other RTOs, particularly those which are smaller in size, this tool may meet all of your self-assurance monitoring and planning needs. ^P^P

## Section 1: RTO details

RTO	
RTO Code (i.e. National Identification Number):	
Australian Business Number	
Australian Company Number	
Full name of legal entity	
Registered business (trading) name/s (if relevant)	
Person responsible for completing self-assessment	
Title	Mr / Mrs / Ms / Other (please specify):
Last name:	
Given name(s):	
Position Title:	
Email:	
Date of assessment:	
Chief Executive Officer – legally responsible person for registration	
Title	Mr / Mrs / Ms / Other (please specify):
Last name:	
Given name(s):	
Position Title:	
Date of review:	

## Section 2: Marketing and recruitment

**Clause 4.1: RTOs are responsible for providing accurate and accessible information to prospective and current students about RTO services and performance.**

- [Review information on understanding clause 4.1 in the \*Users' guide to the Standards for RTOs 2015\*](#)

What practices, systems and processes are in place to meet the requirements of the Clause?

*For example, list all relevant policies and procedures or checklists.*

IQY Policy

15. Informing prospective and current students

15.8-Mission Statement

15.9-Timetable UEE30820 CIII in Electrotechnology Electrician 240812Mod

15.10-Timetable UET60222 Advanced Diploma of ESI

15.11-Timetable UEE30820+NAT11297 CIII in Electrotechnology Electrician 240812Mod

15.12-Tutoring support to the students by IQY Technical College as ATA Member

15.13-UEE 30820 Course Information

15.14-Uee30820 Course AdvertisementMOD

15.15-UEE62122 Advanced Diploma of Engineering Technology Electrical Timetable 241101 (1)

15.16-UEE62220 Advanced Diploma of Electrical Engineering Separate Semester

15.17-UEE62220Course AdvertisementMOD

15-18-Why IQY

15.19 IQY Technical College Media Release Form

15.20 IQY Student Feedback Form

I14-2A-2

What systems and processes are in place to monitor and review marketing and recruitment materials and practices (yours and any **third parties**) to ensure it is up to date and accurate?

Consider further:

- How are the materials and practices reviewed?
- What approval processes are in place for updating marketing material?
- Who is responsible for marketing and recruitment materials and processes? Is it clear to all personnel and in procedures/policies that is who is responsible?

- How are the materials and practices reviewed?

**Peer review** for academic research, **systematic literature reviews** to synthesize evidence, and **on-site inspections** for quality assurance in professional settings objective analysis of data and documentation, observation, and using predefined criteria or research questions to guide the review process.

- What approval processes are in place for updating marketing material?

Marketing material updates go through a multi-step approval process that includes creation, review, revision, and final sign-off. This workflow ensures alignment with brand guidelines, strategic goals, and legal requirements,

Who is responsible for marketing and recruitment materials and processes? Is it clear to all personnel and in procedures/policies that is who is responsible?

CEO to review general aspect by consulting with marketing manager

Training & Compliance Manager- To provide the advice on training and compliance issues

#### Record Keeping Plan

2-A. What practices, systems and processes are in place to meet these Standards? –

I14-2A-1

What systems and processes are in place to monitor and review marketing and recruitment materials and practices (yours and any third parties) to ensure accuracy? –

How do you ensure your practices align with your systems? - How do you keep your staff informed of requirements and changes?

I14-2A-3

2-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?

–

I14-2B-1

How do you ensure your marketing and recruitment practices align with your systems?

Consider further:

- Marketing review reports
- How has staff and student feedback been considered?

#### Record Keeping Plan

- Marketing review reports

2-A. What practices, systems and processes are in place to meet these Standards? –

I14-2A-1

What systems and processes are in place to monitor and review marketing and recruitment materials and practices (yours and any third parties) to ensure accuracy? –

How do you ensure your practices align with your systems? - How do you keep your staff informed of requirements and changes?

I14-2A-3

2-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?

–

How has staff and student feedback been considered

**I14-2B-1**

What data or information tells you your practices, systems and processes are effective for prospective and current students? –

**I14-2B-2**

Do your surveys or feedback from students indicate they understood the information and that they are satisfied the services matched what they understood from the information?

**I14-2B-3**

If not do you have a record of changes made in response to feedback?

**I14-2B-4**

2-C. What are the opportunities for improvement?

**I14-3C-1**

2-D. What actions, if any, are required?

**I14-3C-2**

How do you keep your staff informed of requirements and changes to the marketing and recruitment materials and processes?

Consider:

- How is this recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

- How is this recorded?

**Record Keeping Plan**

Zoom meeting record

Audio/Video Record

Meeting note taking

- Who is responsible for informing staff?

CEO & Training & Compliance Manager

When was the last review of your marketing and recruitment materials? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?  
CEO & Training and Compliance Manager

**Record Keeping Plan**

- How is the review recorded?  
Hard copy & Digital Format  
16.Review Auditor Feedback and Reports  
17.Recognise Strengths and Weaknesses
- How are the actions and changes allocated and recorded?  
Hard copy & Digital Format  
18.Develop Action Plans for Non-Compliance

After reviewing your marketing and recruitment systems and processes currently, do they ensure ongoing compliance with the Clause?

Consider:

- What improvements need to occur to assure sustained compliance?

**Record Keeping Plan**

18. Develop Action Plans for Non-Compliance

2-C. What are the opportunities for improvement?

I14-3C-1

2-D. What actions, if any, are required?

I14-3C-2

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

## Section 3: Enrolment

RTOs are responsible for:

- informing and protecting students (clauses 5.1 - 5.3)
- protecting pre-paid fees by students (clause 7.3)
- providing credit for prior studies (clause 3.5)

### Clauses 5.1–5.2: Informing and protecting students.

- [Review information on understanding clauses 5.1 - 5.3 in the \*Users' guide to the Standards for RTOs 2015\*](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

*For example, list policies and procedures, checklists and templates.*

3.1-A. What practices, systems and processes are in place to meet these Standards? – I14-3.1A-1

#### [15. Informing prospective and current students](#)

##### 15.8-Mission Statement

15.9-Timetable UEE30820 CIII in Electrotechnology Electrician 240812Mod

15.10-Timetable UET60222 Advanced Diploma of ESI

15.11-Timetable UEE30820+NAT11297 CIII in Electrotechnology Electrician 240812Mod

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15.13-UEE 30820 Course Information

15.14-Uee30820 Course AdvertisementMOD

15.15-UEE62122 Advanced Diploma of Engineering Technology Electrical Timetable 241101 (1)

15.16-UEE62220 Advanced Diploma of Electrical Engineering Separate Semester

15.17-UEE62220Course AdvertisementMOD

15-18-Why IQY

15.19 IQY Technical College Media Release Form

15.20 IQY Student Feedback Form

What systems and processes are in place to monitor and review enrolment materials and practices (yours and any **third parties**) to ensure accuracy?

Consider further:

- How are the materials and practices reviewed (including pre-enrolment assessment, information to students)?
- Is there an approval process prior to sending enrolment information to potential students?
- Who is responsible for recruitment and enrolment materials and practices? Is it clear to all personnel and in procedures/policies that is who is responsible?

For example schedule reviews or spot checks.

### Record Keeping Plan

What systems, processes and practices are there to ensure information accurately and full covers all the matters identified in the Standards? –

I14-3.1A-2

What evidence is there to show how all staff are made aware of the requirements and are kept updated about changes? –

I14-3.1A-3

What is in place to ensure consistency across electronic and hard copy materials?

I14-3.1A-4

3.1-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14-3.1B-1

Does feedback from students show they are satisfied that courses and support services matched their needs? –

I14-3.1B-2

Can you show how feedback is used to improve the clarity and thoroughness of information provided? –

I14-3.1B-3

Over time is your completions data improving?

I14-3.1B-4

3.1-C. What are the opportunities for improvement?

I14-3.1C

3.1-D. What actions, if any, are required?

I14-3.1D

- Is there an approval process prior to sending enrolment information to potential students?

IQY Approval Process

Documents in 4.AQTF2025 Compliance

Who is responsible for recruitment and enrolment materials and practices? Is it clear to all personnel and in procedures/policies that is who is responsible?

CEO & Marketing manager

Documents in 19.Marketing and promotions

How do you ensure your enrolment practices align to your systems?

Consider further:

- How has staff and student/employer feedback been considered?
- Has any data been reviewed and considered (i.e. student survey, QI data)?

Focus on

27.Students Data Recording

### Record Keeping Plan

Documents in

4.AQTF2025 Compliance

15.Informing prospective and current students

22.Self- assurance and continuous improvement

How do you keep your staff informed of enrolment requirements and changes?

Consider:

- How is this recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

#### **Record Keeping Plan**

- How is the review recorded?  
Hard copy & Digital Format  
16.Review Auditor Feedback and Reports  
17.Recognise Strengths and Weaknesses
- How are the actions and changes allocated and recorded?  
Hard copy & Digital Format  
18.Develop Action Plans for Non-Compliance

Who is responsible for informing staff?

CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
14.Educate Staff on Compliance  
18.Develop Action Plans for Non-Compliance  
19.Continuous Monitoring  
112.Foster Feedback Loops

When was the last review of your enrolment materials? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How is the review recorded?
- How are the actions and changes allocated and recorded?

Focus on

27.Students Data Recording

### Record Keeping Plan

- How is the review recorded?  
Hard copy & Digital Format  
16.Review Auditor Feedback and Reports  
17.Recognise Strengths and Weaknesses
- How are the actions and changes allocated and recorded?  
Hard copy & Digital Format  
18.Develop Action Plans for Non-Compliance

After reviewing your enrolment systems and processes currently, do they ensure ongoing compliance with the Clause?

Consider:

- What improvements need to occur to assure sustained compliance?
- How is the review recorded?  
Hard copy & Digital Format  
16.Review Auditor Feedback and Reports  
17.Recognise Strengths and Weaknesses  
22.Self- assurance and continuous improvement

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

**Clause 7.3: Protecting pre-paid fees by students**

- [Review information on understanding clause 7.3 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clause?

Consider:

- If you **do not** collect more than \$1500 from students prior to commencement (pre-pay fees), how does your processes and practice ensure this is the case?
- If you **do** collect more than \$1500 from students prior to commencement (pre-pay fees), how does your processes and practices the requirements of Schedule 6 are met?

*For example, list policies and procedures, checklists and templates.*

3.2-A. What practices, systems and processes are in place to meet these Standards? –  
**I14-3.2-A-1**  
**IQY Policy**  
**20.Protecting pre-paid student fees**

Can you show that you have a policy or arrangement in place as required by Schedule 6 to the Standards, that the policy/arrangement is made clear to all prospective and current students and is consistently implemented by you and any third parties? –  
**I14-3.2-A-2**

Can you demonstrate that the online business tools you use comply with the fee protection requirements?  
**I14-3.2-A-3**

3.2-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –  
**I14-3.2-B-1**

Does student feedback indicate that students are aware of and understand the arrangements for fee protection?  
**I14-3.2-B-2**

3.2-C. What are the opportunities for improvement?

3.2-D. What actions, if any, are required?

What systems and processes are in place to monitor and review the collection of pre-pay fees processes and practices (yours and any **third parties**)?

Consider further:

- How are the processes and practices reviewed?

**Record Keeping Plan**

- How is the review recorded?  
Hard copy & Digital Format  
16.Review Auditor Feedback and Reports  
17.Recognise Strengths and Weaknesses
- Is there an approval process prior to collecting pre-pay fees?  
Consulting process between CEO, Training Manager and Marketing manager
- Who is responsible for the pre-pay fee collection processes and practices? Is it clear to all personnel and in procedures/policies that is who is responsible?  
CEO and Account Manager with students service

For example, schedule reviews or spot checks.

How do you ensure your collection of pre-pay fees practices align to your systems?

Consider further:

- Accounting information.
- How has staff and student feedback been considered?
- Has any data been reviewed and considered (i.e. student survey, QI data)?

- Accounting information.

Consult with Account Manager and Accountant /Marketing Manager

- How has staff and student feedback been considered?

Does feedback from students show they are satisfied that courses and support services matched their needs? –

I14-3.1B-2

Can you show how feedback is used to improve the clarity and thoroughness of information provided? –

I14-3.1B-3

Over time is your completions data improving?

I14-3.1B-4

3.1-C. What are the opportunities for improvement?

I14-3.1C

3.1-D. What actions, if any, are required?

I14-3.1D

- How is the review recorded?  
Hard copy & Digital Format  
16.Review Auditor Feedback and Reports  
17.Recognise Strengths and Weaknesses

When was the last review of your pre-pay fee collection processes? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?

CEO

- How is the review recorded?  
Hard copy & Digital Format  
16.Review Auditor Feedback and Reports  
17.Recognise Strengths and Weaknesses

- How are the actions and changes allocated and recorded?

Does feedback from students show they are satisfied that courses and support services

matched their needs? –

I14-3.1B-2

Can you show how feedback is used to improve the clarity and thoroughness of information provided? –

I14-3.1B-3

Over time is your completions data improving?

I14-3.1B-4

3.1-C. What are the opportunities for improvement?

I14-3.1C

3.1-D. What actions, if any, are required?

I14-3.1D

- How is the review recorded?  
Hard copy & Digital Format  
I6.Review Auditor Feedback and Reports  
I7.Recognise Strengths and Weaknesses

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After reviewing your collection of pre-pay fees systems and processes currently, do they ensure ongoing compliance with the Clause?

Consider:

- What improvements need to occur to assure sustained compliance?

I6.Review Auditor Feedback and Reports

I7.Recognise Strengths and Weaknesses

3.1-C. What are the opportunities for improvement?

I14-3.1C

3.1-D. What actions, if any, are required?

I14-3.1D

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

### Clause 3.5: Providing credit for prior studies.

- [Review information on understanding clause 3.5 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

*For example, list policies and procedures, checklists and templates.*

Can you show that you have a policy and/or processes in place for providing credit and how staff and prospective students are made aware of the policy?

**IQY Policy**

**1. Accepting and providing credit**

**I14-3.3-A-2**

3.3-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

**I14-3.3-B-1**

Do you have evidence of credit being granted to students and the method used to authenticate the information? –

**I14-3.3-B-2**

Do staff surveys indicate they understand and know how to apply the policy? –

**I14-3.3-B-3**

Does student feedback indicate they understood the policy and were satisfied with the RTO's practice and decisions?

**I14-3.3-B-4**

3.3-C. What are the opportunities for improvement?

**I14-3.3-C**

3.3-D. What actions, if any, are required?

**I14-3.3-D**

What systems and processes are in place to monitor and review credit transfer materials and practices (yours and any **third parties**) to ensure accuracy?

Consider further:

- How are the materials and practices reviewed?

Documents in

4.AQTF2025 Compliance

6.Assessment validation

26.Suitable training and assessment strategies

- Is there an approval process prior to granting credit transfer?

Documents in ‘

1.Accepting and providing credit

- What information and evidence is required prior to granting a credit transfer and how is that recorded?

Documents in ‘

1.Accepting and providing credit

- Who is responsible for credit transfer materials and practices? Is it clear to all personnel and in procedures/policies that is who is responsible?

Training and Compliance Manager

Documents in ‘

1.Accepting and providing credit

*For example schedule reviews or spot checks.*

How do you ensure your credit transfer practices align to your systems?

Consider further:

- Student records and associated evidence of credit transfer.
- How has staff and student feedback been considered?
- Has any data been reviewed and considered (i.e. student survey, QI data)?

- Student records and associated evidence of credit transfer.

27.Students Data Recording

- How has staff and student feedback been considered?

**I14-3.3-B-3**

Does student feedback indicate they understood the policy and were satisfied with the RTO's practice and decisions?

**I14-3.3-B-4**

3.3-C. What are the opportunities for improvement?

**I14-3.3-C**

3.3-D. What actions, if any, are required?

**I14-3.3-D**

Has any data been reviewed and considered (i.e. student survey, QI data)?

- How is the review recorded?  
Hard copy & Digital Format  
I6.Review Auditor Feedback and Reports  
I7.Recognise Strengths and Weaknesses

How do you keep your staff informed of credit transfer requirements and changes?

Consider:

- How is this recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

- How is the review recorded?  
Hard copy & Digital Format  
I6.Review Auditor Feedback and Reports  
I7.Recognise Strengths and Weaknesses

Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

- 14.Educate Staff on Compliance
- 18.Develop Action Plans for Non-Compliance
- 19.Continuous Monitoring
- 112.Foster Feedback Loops

When was the last review of your credit transfer materials and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How is the review recorded?
- How are the actions and changes allocated and recorded?

- How is the review recorded?

Hard copy & Digital Format

16.Review Auditor Feedback and Reports

17.Recognise Strengths and Weaknesses

Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

14.Educate Staff on Compliance

18.Develop Action Plans for Non-Compliance

19.Continuous Monitoring

112.Foster Feedback Loops

After reviewing your systems and processes currently, do they ensure ongoing compliance with the Clause?

Consider:

- What improvements need to occur to assure sustained compliance?

CEO & Training & Compliance Manager  
 Informing Staff in staff meeting, e mails  
 14.Educate Staff on Compliance  
 18.Develop Action Plans for Non-Compliance  
 19.Continuous Monitoring  
 112.Foster Feedback Loops

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

## Section 4: Support and progression

RTOs are responsible for:

- Supporting learners (Clause 1.7)
- Keeping learners informed (Clause 5.4)
- Managing complaints and appeals (Clauses 6.1-6.6)

### Clauses 1.7 and 5.4: Supporting learners and keeping learners informed.

- [Review information on understanding clause 1.7 in the Users' guide to the Standards for RTOs 2015](#)
- [Review information on understanding clause 5.4 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- How do you identify students who need support and how is that support provided to them?
- How are students informed of any changes in agreed services?

*For example, list policies and procedures, checklists, templates and records reviewed.*

- How do you identify students who need support and how is that support provided to them?

4.1-A. What practices, systems and processes are in place to meet these Standards? –

I14-4.1-A-1

15.12-Tutoring support to the students by IQY Technical College as ATA Member  
22.1.Self Assurance-Continuous Improvement-Student Support.pdf

What policy and processes are in place to identify students who need support and to provide the services? –

I14-4.1-A-2

What evidence shows that services were provided and used when needs were identified? –

I14-4.1-A-3

How are staff advised of the policies and processes and what is in place to ensure consistent practices?

I14-4.1-A-4

4.1-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14-4.1-B-1

Does student feedback indicate that they understood what support services were available and that they were provided with such services when they were needed? –

I14-4.1-B-2

What data tells your RTO that learner support is effective in assisting students to progress? –

I14-4.1-B-3

Can you demonstrate that over time you have increased rates of learner satisfaction and completions?

I14-4.1-B-4

4.1-C. What are the opportunities for improvement?

I14-4.1-C

4.1-D. What actions, if any, are required?

I14-4.1-D

- How are students informed of any changes in agreed services?

Documents in

15. Informing prospective and current students

What systems and processes are in place to monitor and review student support materials and practices (yours and any **third parties**)?

Consider:

- How are the materials and practices reviewed?
- What information and evidence is required prior to granting student support and how is that recorded?
- Who is responsible for student support materials and practices? Is it clear to all personnel and in procedures/policies that is who is responsible?
- How satisfied are students with the support provided to them?

*For example, schedule reviews spot checks or surveys.*

Documents in

16. Management of third-party service providers

Documents related to

- How has staff and student feedback been considered?

I14-3.3-B-3

Does student feedback indicate they understood the policy and were satisfied with the RTO's practice and decisions?

I14-3.3-B-4

3.3-C. What are the opportunities for improvement?

I14-3.3-C

3.3-D. What actions, if any, are required?

I14-3.3-D

Has any data been reviewed and considered (i.e. student survey, QI data)?

- How is the review recorded?

Hard copy & Digital Format

16. Review Auditor Feedback and Reports

17. Recognise Strengths and Weaknesses

What systems and processes are in place to monitor and review how you inform students of any agreed service changes?

Consider:

- How are the materials and practices reviewed?
- Who is responsible for informing students of all agreed service changes? Is it clear to all personnel and in procedures/policies that is who is responsible?

*For example schedule reviews or spot checks.*

- How do you identify students who need support and how is that support provided to them?

4.1-A. What practices, systems and processes are in place to meet these Standards? –  
I14-4.1-A-1

15.12-Tutoring support to the students by IQY Technical College as ATA Member  
22.1.Self Assurance-Continuous Improvement-Student Support.pdf

What policy and processes are in place to identify students who need support and to provide the services? –

I14-4.1-A-2

What evidence shows that services were provided and used when needs were identified? –

I14-4.1-A-3

How are staff advised of the policies and processes and what is in place to ensure consistent practices?

I14-4.1-A-4

4.1-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?-

I14-4.1-B-1

Does student feedback indicate that they understood what support services were available and that they were provided with such services when they were needed? –

I14-4.1-B-2

What data tells your RTO that learner support is effective in assisting students to progress?

–

I14-4.1-B-3

Can you demonstrate that over time you have increased rates of learner satisfaction and completions?

I14-4.1-B-4

4.1-C. What are the opportunities for improvement?

I14-4.1-C

4.1-D. What actions, if any, are required?

I14-4.1-D

- How are students informed of any changes in agreed services?

Documents in

15.Informing prospective and current students

How do you ensure your student support practices align to your systems?

Consider:

- Student records and associated student support evidence.
- How has staff and student feedback been considered?
- Has any data been reviewed and considered (i.e. student survey, QI data)?

CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring  
I12.Foster Feedback Loops

How do you keep your staff informed of requirements and changes made to student support practices and material?

Consider:

- How is this recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring  
I12.Foster Feedback Loops

When was the last review of your student support and agreed services materials and practices?  
What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How is the review recorded?
- How are the actions and changes allocated and recorded?

CEO & Training & Compliance Manager  
 Informing Staff in staff meeting, e mails  
 I4.Educate Staff on Compliance  
 I8.Develop Action Plans for Non-Compliance  
 I9.Continuous Monitoring  
 I12.Foster Feedback Loops

After reviewing your student support systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

CEO & Training & Compliance Manager  
 Informing Staff in staff meeting, e mails  
 I4.Educate Staff on Compliance  
 I8.Develop Action Plans for Non-Compliance  
 I9.Continuous Monitoring  
 I12.Foster Feedback Loops

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

**Clauses 6.1 – 6.6: Managing complaints and appeals.**

- [Review information on understanding clauses 6.1 - 6.6 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- How are students informed of the complaints and appeals policies and procedures?
- How staff are trained to implementation the policy?
- What materials and tools are used to support the complaints and appeals process?

*For example, list policies and procedures, checklists, templates or training sessions.*

**18.Managing complaints and appeals** [TOP](#)

18.1-IQY complaints\_and\_appeals-policy\_and\_procedure\_v1.1-2025

18.2-IQY student-appeal-of-assessment-form

18.3-IQY complaints\_and\_appeals-policy\_and\_procedure\_v1.1-2025

18.4-IQY student-appeal-of-assessment-form

18.5-Student-Complaint-Form

**I14-4.2-A-2**

How are staff trained to implement the policy? –

**I14-4.2-A-3**

How are complaints and appeals monitored to determine that practices align with the policies and are consistent?

**I14-4.2-A-4**

4.2-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

**I14-4.2-B-1**

Do records show that complaints are monitored and changes have been made to the RTO's practices in response to learnings? –

**I14-4.2-B-2**

Is there data that shows complaints and appeals are effectively resolved and that the parties are satisfied with the outcomes?

**I14-4.2-B-3**

4.2-C. What are the opportunities for improvement?

**I14-4.2-C**

4.2-D. What actions, if any, are required?

**I14-4.2-D**

What systems and processes are in place to monitor and review compliant and appeals practices (yours and any **third parties**)?

Consider:

- How are the materials and practices reviewed?
- Has a complaint/appeal ever been lodged?
- Are the complaints/appeals processes falling within appropriate timeframes?
- Who is responsible for the complaints and appeals process? Is it clear to all personnel and in procedures/policies that is who is responsible?
- How satisfied are students with their experience going through a complaints/appeals process?

*For example schedule reviews, spot checks or surveys.*

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

I4.Educate Staff on Compliance

I8.Develop Action Plans for Non-Compliance

I9.Continuous Monitoring

I12.Foster Feedback Loops

How do you ensure your compliant and appeals practices align to your systems?

Consider:

- Reviewing all or a selection of complaints and appeals lodged.
- How has staff performed through the complaints and appeals process?
- Has any data been reviewed and considered (i.e. student survey, QI data)?
- Feedback from students.

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

I4.Educate Staff on Compliance

I8.Develop Action Plans for Non-Compliance

I9.Continuous Monitoring

I12.Foster Feedback Loops

How do you keep your staff and third parties informed of requirements and changes made to compliant and appeals?

Consider:

- How is this recorded?

- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

CEO & Training & Compliance Manager  
 Informing Staff in staff meeting, e mails  
 I4.Educate Staff on Compliance  
 I8.Develop Action Plans for Non-Compliance  
 I9.Continuous Monitoring  
 I12.Foster Feedback Loops

When was the last review of your complaints and appeals processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How is the review recorded?
- How are the actions and changes allocated and recorded?

CEO & Training & Compliance Manager  
 Informing Staff in staff meeting, e mails  
 I4.Educate Staff on Compliance  
 I8.Develop Action Plans for Non-Compliance  
 I9.Continuous Monitoring  
 I12.Foster Feedback Loops

After reviewing your complaints and appeals systems and processes currently, do they ensure ongoing compliance with the Clauses?

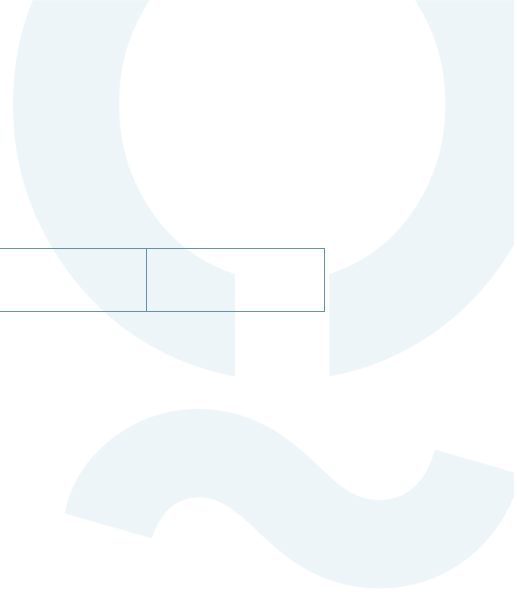
Consider:

- What improvements need to occur to assure sustained compliance?

CEO & Training & Compliance Manager  
 Informing Staff in staff meeting, e mails  
 I4.Educate Staff on Compliance  
 I8.Develop Action Plans for Non-Compliance  
 I9.Continuous Monitoring  
 I12.Foster Feedback Loops

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

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## Section 5: Training and assessment

RTOs are responsible for:

- implementing, monitoring and evaluating training and assessment strategies and practices (Clauses 1.1 – 1.4)
- engaging with industry (Clauses 1.5 – 1.6)
- conducting effective assessment (Clauses 1.8 – 1.12)
- employing skilled trainers and assessors (Clauses 1.13 – 1.16)
- providing supervision of trainers where needed (Clauses 1.17 – 1.20)
- employing experts to teach trainers and assessors (Clauses 1.22 – 1.24)
- engaging independent validators to conduct the quality reviews of training and assessment qualifications (Clause 1.25)
- managing transitions from superseded training products (Clauses 1.26 – 1.27)

### Clauses 1.1-1.4: Implementing, monitoring and evaluating training and assessment strategies and practices.

- [Review information on understanding clauses 1.1 - 1.4 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- How training and assessment strategies are developed.
- Are their different processes for different training products and why?
- How do you ensure that the training and assessment strategies meet the training package requirements?
- How do you ensure that the training and assessment strategies meet industry/employer needs?
- How do student cohorts inform your training and assessment strategies?
- Information around appropriate resources and facilities.
- If the training and assessment strategy is a collection of documents how is that clearly navigated for a trainer and assessor?

*For example, list policies and procedures, training and assessment strategies and associated documents.*

5.1-A. What practices, systems and processes are in place to meet these Standards? – **I14-5.1A-1**

How can you demonstrate that your training and assessment strategies are compliant with the Standards and that where there are multiple documents in a strategy there is consistency across all documents? –

26.Suitable training and assessment strategies [TOP](#)

26.1-UJEE30820 Assessment Mapping+Unit Learning Plan

26.2-UJEE60220+62122 Assessment Streamline

26.3-UJEE60222-Assessment-Mapping

Any future documents in respective folder.

**I14-5.1A-2**

What systems do you have in place to ensure there is consistency across all staff and that

the practices are consistent with the training and assessment strategies?

I14-5.1A-3

5.1-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14-5.1B-1

Does data from staff surveys indicate consistent understanding of the requirements of the training and assessment strategies and of required practices? –

I14-5.1B-2

Does employer and learner feedback data indicate graduates are equipped with the skills and knowledge indicated by their qualifications? –

I14-5.1B-3

What does completions and satisfaction data tell you about your services?

I14-5.1B-4

5.1-C. What are the opportunities for improvement?

I14-5.1C

5.1-D. What actions, if any, are required?

I14-5.1D

What systems and processes are in place to monitor and review training and assessment strategies and practices (yours and any **third parties**)?

Consider:

- How are the materials and practices reviewed?
- What happens when there is a change in the training package?
- How are resources reviewed (i.e. learning resources, trainer and assessor numbers and facilities and equipment)?
- Workplace components to qualifications and their requirements.
- Consistency of delivery.
- Who is responsible/accountable for the development of training and assessment strategies?
- Is it clear to all personnel and in procedures/policies that is who is responsible?

*For example schedule reviews, spot checks or surveys.*

Documents in

6.Assessment validation

7.Assessment Validation AQTF2025 Plan

23.Sufficient and appropriate facilities and equipment

24.Sufficient and appropriate learning and assessment resources

26.Suitable training and assessment strategies

How do you ensure your training and assessment strategies and practices align to your systems?

Consider:

- All training products on scope
- Employer/workplace feedback
- Industry engagement
- Outcome data
- Feedback from students and trainers.

Documents in

14.Industry engagement

6.Assessment validation

7.Assessment Validation AQTF2025 Plan

23.Sufficient and appropriate facilities and equipment

24.Sufficient and appropriate learning and assessment resources

26.Suitable training and assessment strategies

15.Informing prospective and current students

How do you keep your staff informed of requirements and changes made to training and assessment strategies and practices?

Consider:

- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
14.Educate Staff on Compliance  
18.Develop Action Plans for Non-Compliance

19. Continuous Monitoring  
112. Foster Feedback Loops

-

*For example team meetings or ongoing staff training.*

When was the last review of your training and assessment strategies processes and practices?  
What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?

CEO & Training Manager

- How is the review recorded?
- How are the actions and changes allocated and recorded?

- How this is recorded?  
Hard copy & Digital Format

- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring  
I12.Foster Feedback Loops

After reviewing your training and assessment strategies, practices and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring  
I12.Foster Feedback Loops

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date


## Clauses 1.5 – 1.6: Engaging with industry.

- [Review information on understanding clauses 1.5 - 1.6 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- How and when you engage with industry for each industry area on scope.
- How has industry engagement informed training and assessment, resourcing, facilities and equipment for training products on scope?
- How has your engagement informed the currency of industry skills of your trainers and assessors?

*For example, list policies and procedures, forms and templates.*

14. Industry engagement

What systems and processes are in place to monitor and review industry engagement materials and practices (yours and any **third parties**)?

Consider:

- How are the materials and practices reviewed?
- How are industry members identified as appropriate for engagement?
- Schedule of engagement
- Who is responsible for the industry engagement process?
- Is it clear to all personnel and in procedures/policies that is who is responsible?

*For example schedule reviews, spot checks or surveys.*

14. Industry engagement

How do you ensure your industry engagement practices align to your systems?

Consider:

- Outcome data
- Feedback from students and staff.
- How is this recorded.

- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
14. Educate Staff on Compliance  
18. Develop Action Plans for Non-Compliance  
19. Continuous Monitoring  
112. Foster Feedback Loops

#### 14. Industry engagement [TOP](#)

14.1-Accelior Assessment Validation Session

14.2-Accelior PDP Certificate

14.3-AISC outcome on the Electrotechnology Training Package -  
kyawnaing2524@gmail.com – Gmail

14.4-ALIA News

14.5-ALIA News\_ Exciting new partnership with the Office of Community Cohesion

14.6-ALIA News\_ Make a splash in your community

14.7-Designing Australia

14.8-Industry Partners Series

14.9-Endorsement - Electrotechnology Training Package Release 4.0 -

[kyawnaing2524@gmail.com](mailto:kyawnaing2524@gmail.com)

14.10-Endorsement - ESI Generation Training Package - kyawnaing2524@gmail.com –  
Gmail


14.11-Endorsement - Transmission, Distribution and Rail Training Package Release 4.0 -  
kyawnaing2524@gmail.com – Gmail

14.12-Energy Skills Australia June Newsletter 2021

14.13-Energy Skills Australia June Newsletter 2025 - kyawnaing2524@gmail.com – Gmail


14.14-Energy Skills Australia June Newsletter 2025

14.15-GEDC Starting Soon

14.16-Gmail -  SafeWork NSW\_ RTO Education Session - GIT on June 3, 2025 \_ Read  
Meeting Report

14.17-Industry Engagement

14.18-Industry Partners Series - CPD learning opportunities - kyawnaing2524@gmail.com –  
Gmail

14.19-Reminder!  2025 Quanser Sustainability Award - kyawnaing2524@gmail.com –  
Gmail

14.20-safework

14.21-Submission - Electrotechnology Training Package Materials -  
kyawnaing2524@gmail.com – Gmail

14.22-U Kyaw Naing-Trainer PD Plan+Industry Engagement 2025

14.23-Updated version of Teacher

14.24-Welcome to Industry Skills Australia's May Newsletter - kyawnaing2524@gmail.com –  
Gmail

14.25-Welcome to the June Newsletter 2025

14.26- GlobalEngineer Newsletter \_ June 2025 Issue - kyawnaing2524@gmail.com – Gmail

14.27-UPCOMING! Webinar Wednesday, June 11th - kyawnaing2524@gmail.com – Gmail

#### 14.5.2-A-1

What information do you have about who, how and when you consulted with industry? –

I14.5.2-A-2

What revisions have been made to your training and assessment strategies and practices as a result of feedback and advice?

I14.5.2-A-3

5.2-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14.5.2-B-1

Has your employer satisfaction data and feedback improved over time? –

I14.5.2-B-2

What does your student feedback data tell you about their satisfaction with their trainers and assessors and the relevance of their training?

I14.5.2-B-3

5.2-C. What are the opportunities for improvement?

I14.5.2-C

5.2-D. What actions, if any, are required?

I14.5.2-D

How do you keep your staff informed of requirements and changes made to industry engagement?

Consider:

- How this is recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring  
I12.Foster Feedback Loops

When was the last review of your industry engagement processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How is the review recorded?
- How are the actions and changes allocated and recorded?

- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring  
I12.Foster Feedback Loops

After reviewing your industry engagement systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

Documents in'

I9.Continuous Monitoring

I13.Use Data to Drive Improvements

I6.Review Auditor Feedback and Reports

I12.Foster Feedback Loops

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

**Clauses 1.8 – 1.12: Conducting effective assessment.**

- [Review information on understanding clauses 1.8 - 1.12 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- Assessment systems and tools
- Validation systems
- RPL process

*For example, list policies and procedures, forms and templates.*

Documents in

26.Suitable training and assessment strategies

6.Assessment validation

7.Assessment Validation AQTF2025 Plan

---

What validation systems and processes are in place to monitor and review your assessment process and materials and practices (yours and any **third parties**) (including RPL)?

Consider:

- Validation schedules
- Who is responsible for the assessment validation process and development of assessment?
- Is it clear to all personnel and in procedures/policies that is who is responsible?
- Who is involved in the validation process?
- How do you ensure consistency of assessment across all training products and assessors?

- Does your assessment system and practice address assessment requirements of relevant training package?
- Have your assessment practices enabled assessment to be conducted in accordance with the Principles of Assessment and the Rules of Evidence?

Documents in

26.Suitable training and assessment strategies

6.Assessment validation

7.Assessment Validation AQTF2025 Plan

26.Suitable training and assessment strategies

24.Sufficient and appropriate learning and assessment resources

23.Sufficient and appropriate facilities and equipment

How do you ensure your assessment practices align to your systems?

Consider:

- Validation outcome data
- Feedback from students and trainers
- Feedback from workplace supervisors (where available)
- Feedback from industry engagement
- How is this recorded?

Documents in

26.Suitable training and assessment strategies

6.Assessment validation

7.Assessment Validation AQTF2025 Plan

26.Suitable training and assessment strategies

24.Sufficient and appropriate learning and assessment resources

23.Sufficient and appropriate facilities and equipment

14.Industry engagement

### 5.3 Conducting effective assessment (Clauses 1.8 – 1.12)

- [Review information on understanding clauses 1.8 - 1.12 in the Users' guide to the Standards for RTOs 2015](#)

5.3-A. What practices, systems and processes are in place to meet these Standards? –  
14.5.3-A.1

How do you determine that your assessment system meets the requirements of these Standards? –

24.Sufficient and appropriate learning and assessment resources [TOP](#)

(Total file size for the resources is 523 GB. If required, the Hard Drive can be delivered at ASQA as per request.Download links for the uploaded resources that are hosted in IQY Servers are provided and by clicking the links, the resources can be viewed.)

24.1.Joe Etc\_ Public profile \_ energyspace

24.1-Certification of Compliance with Copy Right for some materials used in UEE62122  
Advanced Diploma in Engineering Technology

24.2-iqytechnicalcollege.com\_Passwordprotect\_EngrElectricianDrKyawNaing.htm  
 24.2-EngrElectricianDrKyawNaingLearningSupportsiteWithResourcesCollection  
 24.3-iqytechnicalcollege.com\_Passwordprotect\_EngrElectricianDrKyawNaing.htm  
 24.4-UEE62122-LearningSupportSiteWithDownLoadLinksForBooks&Videos  
 24.5-ESI-Learning-Support-Site-With-Download-Links-for-Books&Videos  
 24.6-UET60220-Learning-Support-Site-with-Download-Links-for-Books&Videos  
 24.7-UEE30820+NAT11297-Learning-Support-Sites-With-Download-Links-Books&Videos  
 24-8-IQY-Electrical-Learning-Site-Books&Videos-Download-Links

**I14.5.3-A.2**

How do you ensure that the practice of all staff aligns with your assessment system? –

**I14.5.3-A.3**

What information sources enable you to check on the actual experience of your staff and students?

**I14.5.3-A.4**

5.3-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

**I14.5.3-B.1**

What do the results of your validation tell you about effectiveness? - What data tells you about the effectiveness of work placements? –

**I14.5.3-B.2**

What does your industry feedback data and student feedback tell you about outcomes achieved for your graduates?

**I14.5.3-B.3**

5.3-C. What are the opportunities for improvement?

**I14.5.3-C**

5.3-D. What actions, if any, are required?

**I14.5.3-D**

How do you keep your staff informed of requirements and changes made to your assessment system and practice?

Consider:

- How is this recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
14.Educate Staff on Compliance  
18.Develop Action Plans for Non-Compliance  
19.Continuous Monitoring

When was the last review of your validation and assessment processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- What training products did you validate?
- How is the validation recorded and what were the outcomes?
- How are the actions and changes allocated and recorded?

- How this is recorded?  
Hard copy & Digital Format

- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring

**26.Suitable training and assessment strategies**

**6.Assessment validation**

**7.Assessment Validation AQTF2025 Plan**

After reviewing your assessment and validation system, practices and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

**Clauses 1.13 – 1.16: Employing skilled trainers and assessors.**

- [Review information on understanding clauses 1.13 - 1.16 in the Users' guide to the Standards for](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- Policy and procedures
- Verification process of trainer/assessors qualifications, industry currency and vocational competency.

- How is currency of trainer/assessors maintained?
- Professional development plans for trainer/assessors

*For example, list policies and procedures, forms and templates.*

5.4-A. What practices, systems and processes are in place to meet these Standards? –

I14.5.4-A-1

**25. Sufficient suitable human resources, including trainers and assessors**

What evidence do you have to demonstrate your systems and practice verification of trainer and assessor qualifications, industry currency and vocational competency and maintenance of current and competency?

I14.5.4-A-2

5.4-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?

–

What does your student feedback tell you about satisfaction with their trainers and assessors? –

I14.5.4-B-1

What does your employer satisfaction data tell you and your direct feedback from your industry networks? –

What evidence do you have about review and updates to industry currency and vocational competence based on feedback and advice?

I14.5.4-B-2

5.4-C. What are the opportunities for improvement?

I14.5.4-C

5.4-D. What actions, if any, are required?

I14.5.4-D

**5.5 Providing supervision of trainers where needed (Clauses 1.17 – 1.20)**

- [Review information on understanding clauses 1.17 - 1.20 in the Users' guide to the Standards for RTOs 2015](#)

. What practices, systems and processes are in place to meet these Standards? –

I14.5.5-A-1

How do you ensure consistency of practice across staff to meet the requirements of the policy?

**22.1. Self Assurance-Continuous Improvement-Training and Assessment.pdf**

I14.5.5-A-2

5.5-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?

–

I14.5.5-B-1

What does student, employer and industry feedback tell you about satisfaction?

I14.5.5-B-2

5.5-C. What are the opportunities for improvement?

I14.5.5-C

5.5-D. What actions, if any, are required?

I14.5.5-C

**5.6 Employing experts to teach trainers and assessors (Clauses 1.22 – 1.24)**

- [Review information on understanding clauses 1.22 - 1.24 in the Users' guide to the Standards for RTOs 2015](#)

5.6-A. What practices, systems and processes are in place to meet these Standards? –

I14.5.6-A-1

What evidence do you have about how you systematically verify information about qualifications? –

## 16. Management of third-party service providers [TOP](#)

### 16.1-Management of Third party service providers

#### I14.5.6-A-2

What processes and practice are in place in relation to professional development? –

#### I14.5.6-A-3

What processes and practices are in place to engage with industry to confirm, review and update required skills and knowledge for training and assessors?

#### I14.5.6-A-4

5.6-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?  
–

#### I14-5.6-B.1

What does your data tell you about graduate and employer satisfaction with your services? –

#### I14-5.6-B.2

What revisions are made to the required skills and knowledge of trainers and assessors based on feedback?

5.6-C. What are the opportunities for improvement?

#### I14-5.6-C

5.6-D. What actions, if any, are required?

#### I14-5.6-D

### 5.7 Engaging independent validators to conduct the quality reviews of training and assessment qualifications (Clause 1.25)

- [Review information on understanding clause 1.25 in the Users' guide to the Standards for RTOs 2015](#)

5.7-A. What practices, systems and processes are in place to meet these Standards? –

#### I14-5.7-A

How do you select your independent validator and ensure they meet the requirements of 'independent validation'?

### 6. Assessment validation

### 7. Assessment Validation AQTF2025 Plan

5.7-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?  
–

#### I14-5.7-B.1

What feedback or information do you have that tells you your independent validation is effective?

#### I14-5.7-B.2

5.7-C. What are the opportunities for improvement?

#### I14-5.7-C

5.7-D. What actions, if any, are required?

#### I14-5.7-D

What systems and processes are in place to monitor and review trainer/assessor performance, processes and practices (yours and any **third parties**)?

Consider:

- Trainer file/matrix reviews
- Interviews with trainer/assessors
- How do you ensure that all trainer/assessors are qualified and skilled?
- Who is responsible for reviewing and verifying trainer/assessor processes and practices?
- Is it clear to all personnel and in procedures/policies that is who is responsible?
- How is this recorded?

## 25. Sufficient suitable human resources, including trainers and assessors

What evidence do you have to demonstrate your systems and practice verification of trainer and assessor qualifications, industry currency and vocational competency and maintenance of current and competency?

I14.5.4-A-2

5.4-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?

–

What does your student feedback tell you about satisfaction with their trainers and assessors? –

I14.5.4-B-1

What does your employer satisfaction data tell you and your direct feedback from your industry networks? –

What evidence do you have about review and updates to industry currency and vocational competence based on feedback and advice?

I14.5.4-B-2

5.4-C. What are the opportunities for improvement?

I14.5.4-C

5.4-D. What actions, if any, are required?

I14.5.4-D

### **5.5 Providing supervision of trainers where needed (Clauses 1.17 – 1.20)**

- [Review information on understanding clauses 1.17 - 1.20 in the Users' guide to the Standards for RTOs 2015](#)

. What practices, systems and processes are in place to meet these Standards? –

I14.5.5-A-1

How do you ensure consistency of practice across staff to meet the requirements of the policy?

#### 22.1. Self Assurance-Continuous Improvement-Training and Assessment.pdf

I14.5.5-A-2

5.5-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?

–

I14.5.5-B-1

What does student, employer and industry feedback tell you about satisfaction?

I14.5.5-B-2

5.5-C. What are the opportunities for improvement?

I14.5.5-C

5.5-D. What actions, if any, are required?

I14.5.5-C

### **5.6 Employing experts to teach trainers and assessors (Clauses 1.22 – 1.24)**

- [Review information on understanding clauses 1.22 - 1.24 in the Users' guide to the Standards for RTOs 2015](#)

5.6-A. What practices, systems and processes are in place to meet these Standards? –

I14.5.6-A-1

What evidence do you have about how you systematically verify information about qualifications? –

#### 16. Management of third-party service providers TOP

##### 16.1-Management of Third party service providers

I14.5.6-A-2

What processes and practice are in place in relation to professional development? –

I14.5.6-A-3

What processes and practices are in place to engage with industry to confirm, review and update required skills and knowledge for training and assessors?

I14.5.6-A-4

5.6-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?

–

I14-5.6-B.1

What does your data tell you about graduate and employer satisfaction with your services? –

I14-5.6-B.2

What revisions are made to the required skills and knowledge of trainers and assessors based on feedback?

5.6-C. What are the opportunities for improvement?

I14-5.6-C

5.6-D. What actions, if any, are required?

I14-5.6-D

**5.7 Engaging independent validators to conduct the quality reviews of training and assessment qualifications (Clause 1.25)**

- [Review information on understanding clause 1.25 in the Users' guide to the Standards for RTOs 2015](#)

5.7-A. What practices, systems and processes are in place to meet these Standards? –

I14-5.7-A

How do you select your independent validator and ensure they meet the requirements of 'independent validation'?

[6.Assessment validation](#)

[7.Assessment Validation AQTF2025 Plan](#)

5.7-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?

–

I14-5.7-B.1

What feedback or information do you have that tells you your independent validation is effective?

I14-5.7-B.2

5.7-C. What are the opportunities for improvement?

I14-5.7-C

5.7-D. What actions, if any, are required?

I14-5.7-D

How do you ensure your engagement of trainers/assessors align to your systems?

Consider:

- Who is responsible for maintaining trainer files/matrix/profiles?
- Performance management practices
- Feedback from students and trainers.
- Industry/employer feedback
- How is this recorded?

- How this is recorded?

Hard copy & Digital Format

- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring

26.Suitable training and assessment strategies

6.Assessment validation

## 7. Assessment Validation AQTF2025 Plan

How do you keep your staff informed of requirements and changes made to engaging trainers/assessors?

Consider:

- Professional development
- How is this recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training*

- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring

26.Suitable training and assessment strategies

6.Assessment validation

7.Assessment Validation AQTF2025 Plan

When was the last review of your trainer and assessor engagement, performance monitoring arrangements, processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How many if not all trainer/assessors were reviewed?
- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?

- How this is recorded?  
Hard copy & Digital Format

- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring

26.Suitable training and assessment strategies

6.Assessment validation

7.Assessment Validation AQTF2025 Plan

After reviewing your trainer and assessor engagement systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?
- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
14. Educate Staff on Compliance  
18. Develop Action Plans for Non-Compliance  
19. Continuous Monitoring

26. Suitable training and assessment strategies

6. Assessment validation

7. Assessment Validation AQTF2025 Plan

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

### Clauses 1.17 – 1.20: Providing supervision of trainers where needed.

- [Review information on understanding clauses 1.17 - 1.20 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

Are any trainers under supervision arrangements?

How do you ensure all trainers and assessors providing supervision hold all the relevant credentials/qualifications?

Policy and procedures

*For example, list policies and procedures, forms and templates.*

#### 5.5 Providing supervision of trainers where needed (Clauses 1.17 – 1.20)

- [Review information on understanding clauses 1.17 - 1.20 in the Users' guide to the Standards for RTOs 2015](#)

. What practices, systems and processes are in place to meet these Standards? –

I14.5.5-A-1

How do you ensure consistency of practice across staff to meet the requirements of the policy?

[22.1.Self Assurance-Continuous Improvement-Training and Assessment.pdf](#)

I14.5.5-A-2

5.5-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14.5.5-B-1

What does student, employer and industry feedback tell you about satisfaction?

I14.5.5-B-2

5.5-C. What are the opportunities for improvement?

I14.5.5-C

5.5-D. What actions, if any, are required?

I14.5.5-C

5

#### 5.7 Engaging independent validators to conduct the quality reviews of training and assessment qualifications (Clause 1.25)

- [Review information on understanding clause 1.25 in the Users' guide to the Standards for RTOs 2015](#)

5.7-A. What practices, systems and processes are in place to meet these Standards? –

I14-5.7-A

How do you select your independent validator and ensure they meet the requirements of 'independent validation'?

[6.Assessment validation](#)

[7.Assessment Validation AQTF2025 Plan](#)

5.7-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14-5.7-B.1

What feedback or information do you have that tells you your independent validation is effective?

I14-5.7-B.2

5.7-C. What are the opportunities for improvement?

I14-5.7-C

5.7-D. What actions, if any, are required?

I14-5.7-D

What systems and processes are in place to monitor and review trainer/assessor supervision processes and practices (yours and any **third parties**)?

Consider:

Trainer file/matrix reviews/arrangements

Interviews with trainer/assessors

Who is responsible for reviewing trainer/assessor supervision processes and practices? Is it clear to all personnel and in procedures/policies that is who is responsible?

How is this recorded?

- Trainer file/matrix reviews/arrangements  
Interviews with trainer/assessors  
CEO and Training & Compliance Manager to execute the task
- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring

How do you ensure your monitoring and review of trainer/assessor supervision practices align to your systems?

Consider:

Who maintains trainer files/matrix/arrangements?

Performance monitoring processes

Feedback from students and trainers.

Industry/employer feedback

How is this recorded?

- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring

26.Suitable training and assessment strategies

6.Assessment validation

7.Assessment Validation AQTF2025 Plan

How do you keep your staff informed of requirements and changes made to your monitoring and review of trainer/assessor supervision practices?

Consider:

How is this recorded?

Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring

26.Suitable training and assessment strategies

6.Assessment validation

7.Assessment Validation AQTF2025 Plan

When was the last review of your trainer and assessor supervision processes and practices? What changes have been made as an outcome of that review?

Consider:

Who is responsible for the review?

How many if not all trainer/assessors were reviewed?

How was this record and what were the outcomes?

How are the actions and changes allocated and recorded?

- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
14. Educate Staff on Compliance  
18. Develop Action Plans for Non-Compliance  
19. Continuous Monitoring

26. Suitable training and assessment strategies

6. Assessment validation

7. Assessment Validation AQTF2025 Plan

After reviewing your trainer and assessor supervision systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

What improvements need to occur to assure sustained compliance?

- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
14.Educate Staff on Compliance  
18.Develop Action Plans for Non-Compliance  
19.Continuous Monitoring

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

**Clauses 1.22 – 1.24: Employing experts to teach trainers and assessors.**

- [Review information on understanding clauses 1.22 - 1.24 in the \*Users' guide to the Standards for RTOs 2015\*](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- Are you delivering qualifications from the Training and Education Training Package?
- Policy and procedures
- Verification process of trainer/assessors qualifications, industry currency and vocational competency.
- How is currency of trainer/assessors maintained?
- Professional development plans for trainer/assessors

#### **.6 Employing experts to teach trainers and assessors (Clauses 1.22 – 1.24)**

- [Review information on understanding clauses 1.22 - 1.24 in the Users' guide to the Standards for RTOs 2015](#)

5.6-A. What practices, systems and processes are in place to meet these Standards? –  
I14.5.6-A-1

What evidence do you have about how you systematically verify information about qualifications? –

16. Management of third-party service providers [TOP](#)

16.1-Management of Third party service providers

I14.5.6-A-2

What processes and practice are in place in relation to professional development? –

I14.5.6-A-3

What processes and practices are in place to engage with industry to confirm, review and update required skills and knowledge for training and assessors?

I14.5.6-A-4

5.6-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14-5.6-B.1

What does your data tell you about graduate and employer satisfaction with your services? –

I14-5.6-B.2

What revisions are made to the required skills and knowledge of trainers and assessors based on feedback?

5.6-C. What are the opportunities for improvement?

I14-5.6-C

5.6-D. What actions, if any, are required?

I14-5.6-D

For example, list policies and procedures, forms and templates.

What systems and processes are in place to monitor and review trainer/assessor processes and practices (yours and any **third parties**)?

Consider:

- How you ensure trainer/assessors delivering training and assessment training products meet the requirements of Item 7 of Schedule 1.
- Trainer file/matrix reviews
- Interviews with trainer/assessors
- How do you ensure that all trainer/assessors are qualified and skilled?
- Who is responsible for reviewing and verifying trainer/assessor processes and practices? Is it clear to all personnel and in procedures/policies that is who is responsible?
- How is this recorded?

5.4-A. What practices, systems and processes are in place to meet these Standards? –

I14.5.4-A-1

25. Sufficient suitable human resources, including trainers and assessors

What evidence do you have to demonstrate your systems and practice verification of trainer and assessor qualifications, industry currency and vocational competency and maintenance of current and competency?

I14.5.4-A-2

5.4-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

What does your student feedback tell you about satisfaction with their trainers and assessors? –

I14.5.4-B-1

What does your employer satisfaction data tell you and your direct feedback from your industry networks? –

What evidence do you have about review and updates to industry currency and vocational competence based on feedback and advice?

I14.5.4-B-2

5.4-C. What are the opportunities for improvement?

I14.5.4-C

5.4-D. What actions, if any, are required?

I14.5.4-D

**5.5 Providing supervision of trainers where needed (Clauses 1.17 – 1.20)**

- [Review information on understanding clauses 1.17 - 1.20 in the Users' guide to the Standards for RTOs 2015](#)

. What practices, systems and processes are in place to meet these Standards? –

I14.5.5-A-1

How do you ensure consistency of practice across staff to meet the requirements of the policy?

I14.5.5-A-2

5.5-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14.5.5-B-1

What does student, employer and industry feedback tell you about satisfaction?

I14.5.5-B-2

5.5-C. What are the opportunities for improvement?

I14.5.5-C

5.5-D. What actions, if any, are required?

I14.5.5-C

## 5.6 Employing experts to teach trainers and assessors (Clauses 1.22 – 1.24)

- [Review information on understanding clauses 1.22 - 1.24 in the Users' guide to the Standards for RTOs 2015](#)

5.6-A. What practices, systems and processes are in place to meet these Standards? –

I14.5.6-A-1

What evidence do you have about how you systematically verify information about qualifications? –

[16. Management of third-party service providers](#) [TOP](#)

[16.1-Management of Third party service providers](#)

I14.5.6-A-2

What processes and practice are in place in relation to professional development? –

I14.5.6-A-3

What processes and practices are in place to engage with industry to confirm, review and update required skills and knowledge for training and assessors?

I14.5.6-A-4

5.6-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14-5.6-B.1

What does your data tell you about graduate and employer satisfaction with your services? –

I14-5.6-B.2

What revisions are made to the required skills and knowledge of trainers and assessors based on feedback?

5.6-C. What are the opportunities for improvement?

I14-5.6-C

5.6-D. What actions, if any, are required?

I14-5.6-D

## 5.7 Engaging independent validators to conduct the quality reviews of training and assessment qualifications (Clause 1.25)

- [Review information on understanding clause 1.25 in the Users' guide to the Standards for RTOs 2015](#)

5.7-A. What practices, systems and processes are in place to meet these Standards? –

I14-5.7-A

How do you select your independent validator and ensure they meet the requirements of 'independent validation'?

[6. Assessment validation](#)

[7. Assessment Validation AQTF2025 Plan](#)

5.7-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14-5.7-B.1

What feedback or information do you have that tells you your independent validation is effective?

I14-5.7-B.2

5.7-C. What are the opportunities for improvement?

I14-5.7-C

5.7-D. What actions, if any, are required?

I14-5.7-D

How do you ensure your practices align to your systems?

Consider:

- Who maintains trainer files/matrix/
- Feedback from students and trainers.
- Industry/employer feedback
- How is this recorded?

CEO & Training and Compliance manager maintain the matrix

- How this is recorded?  
Hard copy & Digital Format
- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
14.Educate Staff on Compliance  
18.Develop Action Plans for Non-Compliance  
19.Continuous Monitoring

Documents in

15.Informing prospective and current students

22.Self- assurance and continuous improvement

18.Managing complaints and appeals

How do you keep your staff informed of requirements and changes made to employing experts to teach trainers and assessors?

Consider:

- How this is recorded?
- Who is responsible for informing staff?

• *For example tea* Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

I4.Educate Staff on Compliance

I8.Develop Action Plans for Non-Compliance

I9.Continuous Monitoring

*m meetings or ongoing staff training.*

When was the last review of your trainer and assessor processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?  
CEO & Training & Compliance Manager
- How many if not all trainer/assessors were reviewed?
- How was this record and what were the outcomes?

How are the actions and changes allocated and recorded?

- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
I4.Educate Staff on Compliance  
I8.Develop Action Plans for Non-Compliance  
I9.Continuous Monitoring

After reviewing your systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

Documents in

I8.Develop Action Plans for Non-Compliance

I9.Continuous Monitoring

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date


## Clause 1.25: Engaging independent validators to conduct the quality reviews of training and assessment qualifications.

*This section is only relevant to RTOs with products from the Training and Education Training Package on scope.*

- [Review information on understanding clause 1.25 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clause?

Consider:

- How do you select your independent validator and ensure they meet the requirements listed in Schedule 2?
- How have you ensured an independent validation process?
- Policy and procedures

*For example, list policies and procedures, forms and templates.*

How do you select your independent validator and ensure they meet the requirements of 'independent validation'?

[6.Assessment validation](#)

[7.Assessment Validation AQTF2025 Plan](#)

5.7-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

**I14-5.7-B.1**

What feedback or information do you have that tells you your independent validation is effective?

**I14-5.7-B.2**

5.7-C. What are the opportunities for improvement?

**I14-5.7-C**

5.7-D. What actions, if any, are required?

**I14-5.7-D**

What systems and processes are in place to monitor and review independent validation processes and practices (yours and any **third parties**)?

Consider:

- Who is responsible for reviewing and monitoring independent validation processes and practices?
- Is it clear to all personnel and in procedures/policies that is who is responsible?
- How is this recorded?

- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
14. Educate Staff on Compliance  
18. Develop Action Plans for Non-Compliance  
19. Continuous Monitoring

Documents in

- 18. Develop Action Plans for Non-Compliance
- 19. Continuous Monitoring

How do you ensure your engagement of independent validators practices align to your systems?

Consider:

- Who maintains validation records
- What feedback did you gather from the most recent validation process and what action did you take as a result?
- Evidence of actions taken
- How is this recorded?

Documents in

18. Develop Action Plans for Non-Compliance

19. Continuous Monitoring

Documents

6. Assessment validation

5. AQTF 2025 Compliance Training

24. Sufficient and appropriate learning and assessment resources

26. Suitable training and assessment strategies

25. Sufficient suitable human resources, including trainers and assessors

27. Students Data Recording

How do you keep your staff informed of requirements and changes made to engaging independent validators?

Consider:

- How is this recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

When was the last review of your independent validation processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?

CEO & Training and Compliance Manager

- How was this record and what were the outcomes?

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?

- Who is responsible for informing staff?  
CEO & Training & Compliance Manager  
Informing Staff in staff meeting, e mails  
14. Educate Staff on Compliance  
18. Develop Action Plans for Non-Compliance  
19. Continuous Monitoring

Has the independent validation process changed and why?

Review Process to be executed and save the documents in

6. Assessment validation

After reviewing your engaging independent validators systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

- 14. Educate Staff on Compliance
- 18. Develop Action Plans for Non-Compliance
- 19. Continuous Monitoring

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

**Clauses 1.26 – 1.27: Managing transitions from superseded training products.**

- [Review information on understanding clauses 1.26 - 1.27 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- Policy and procedures
- Communication with students and staff on transition requirements
- Enrolment processes with superseded qualifications
- Staff training
- How does your student management system works when transitions occur?
- How are timeframes are managed?

*For example, list policies and procedures, forms and templates.*

## 17. Management of training package transitions

### I14-5.8.A

5.8-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?-

### I14-5.8.B-1

Does the information on your student management system show that no students were enrolled in a superseded qualification beyond the relevant date? –

### I14-5.8.B-2

If your RTO is using a decision made by ASQA to allow delivery in specific circumstances beyond the usual allowable timeframes, do you have evidence that all students involved match the identified criteria for this delivery?

### I14-5.8.B-3

5.8-C. What are the opportunities for improvement?

### I14-5.8.C

5.8-D. What actions, if any, are required?

### I14-5.8.D

What systems and processes are in place to monitor and review transition of superseded training products processes and practices (yours and any **third parties**)?

Consider:

- Who is responsible for reviewing and monitoring transition processes and practices?
- Is it clear to all personnel and in procedures/policies that is who is responsible?
- How is this recorded?

#### 17. Management of training package transitions

##### I14-5.8.A

5.8-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?-

##### I14-5.8.B-1

Does the information on your student management system show that no students were enrolled in a superseded qualification beyond the relevant date? –

##### I14-5.8.B-2

If your RTO is using a decision made by ASQA to allow delivery in specific circumstances beyond the usual allowable timeframes, do you have evidence that all students involved match the identified criteria for this delivery?

##### I14-5.8.B-3

5.8-C. What are the opportunities for improvement?

##### I14-5.8.C

5.8-D. What actions, if any, are required?

##### I14-5.8.D

How do you ensure your management of transitions from superseded training products practices align to your systems?

Consider:

- Were any of the training products on your scope of registration superseded, removed or deleted in the last 12 months?
- Who is responsible for coordinating the transition?
- How are timeframes met?
- Was communication with students in line with policies and procedures?

#### 17. Management of training package transitions

##### I14-5.8.A

5.8-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?-

##### I14-5.8.B-1

Does the information on your student management system show that no students were enrolled in a superseded qualification beyond the relevant date? –

##### I14-5.8.B-2

If your RTO is using a decision made by ASQA to allow delivery in specific circumstances beyond the usual allowable timeframes, do you have evidence that all students involved match the identified criteria for this delivery?

##### I14-5.8.B-3

5.8-C. What are the opportunities for improvement?

##### I14-5.8.C

5.8-D. What actions, if any, are required?

##### I14-5.8.D

How do you keep your staff informed of requirements and changes to managing transitions from superseded training products?

Consider:

- How is this recorded?
- Who is responsible for informing staff?

For example team meetings or ongoing staff training.

- How was this record and what were the outcomes?

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

14.Educate Staff on Compliance

18.Develop Action Plans for Non-Compliance

19.Continuous Monitoring

When was the last review of your transition processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?  
CEO
- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?

How was this record and what were the outcomes?

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

14.Educate Staff on Compliance

18.Develop Action Plans for Non-Compliance

19.Continuous Monitoring

After reviewing your management of transitions from superseded training products systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

18.Develop Action Plans for Non-Compliance

19.Continuous Monitoring

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

## Section 6: Completion

RTOs are responsible for:

- Providing secure certification (Clauses 3.1 – 3.4)
- Participating in the Student Identifier Scheme (Clause 3.6)

### Clauses 3.1 – 3.4 Providing secure certification.

- [Review information on understanding clauses 3.1 - 3.4 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- Policy and procedures
- Staff training
- How does your student management system ensure only student who have been assessed as competent are issued AQF certification documentation?
- How do you ensure all AQF certificates issued meet the requirements of Schedule 5?
- How are timeframes are managed?
- How are records kept?

*For example, list policies and procedures, checklist and templates.*

6.1-A. What practices, systems and processes are in place to meet these Standards? –

I14-6.1.A.1

What controls are in place to meet the requirements of this Standard and ensure that all staff are aware of the requirements and follow the policies and procedures?

[3.AQF Certification](#)

I14-6.1.A.2

6.1-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14-6.1.B.1

What information do you have from students, employers and other RTOs about the integrity and credibility of qualifications issued by your RTO?

I14-6.1.B.2

6.1-C. What are the opportunities for improvement?

I14-6.1.C

6.1-D. What actions, if any, are required?

I14-6.1.D

What systems and processes are in place to monitor and review the completion and certification processes and practices (yours and any **third parties**)?

Consider:

- Who is responsible for reviewing and monitoring the completion and certification processes and practices?  
CEO & Training & Compliance Manager
- Is it clear to all personnel and in procedures/policies that is who is responsible?
- How is it recorded?

- Student feedback

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

14.Educate Staff on Compliance

18.Develop Action Plans for Non-Compliance

19.Continuous Monitoring

- 15.20 IQY Student Feedback Form

Documents in

15.Informing prospective and current students

How do you ensure your completion and certification practices align to your systems?

Consider:

- Student and client feedback
- How are timeframes met?
- Was communication with students inline with policies and procedures?

## 15.20 IQY Student Feedback Form

Documents in  
15.Informing prospective and current students

How do you keep your staff informed of requirements and changes to completion and certification practices?

Consider:

- How is this recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

When was the last review of your completion and certification processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

14.Educate Staff on Compliance

18.Develop Action Plans for Non-Compliance

19.Continuous Monitoring

After reviewing your completion and certification systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

I4. Educate Staff on Compliance

I8. Develop Action Plans for Non-Compliance

I9. Continuous Monitoring

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

### Clause 3.6: Participating in the Student Identifier Scheme.

- [Review information on understanding clause 3.6 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

Policy and procedures

Staff training

Student management system

What information is provided to students?

*For example, list policies and procedures, checklist and templates.*

6.2-A. What practices, systems and processes are in place to meet these Standards? –

**I14-6.2.A.1**

**I.15**

What student management system do you have in place to ensure security and back up of information? –

**I14-6.2.A.2**

What is in place to ensure staff understand and apply the requirements consistently?

**I14-6.2.A.3**

6.2-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

**I14-6.2.B.1**

What feedback and information do you have to demonstrate the effectiveness of your systems and practices?

**I14-6.2.B.2**

6.2-C. What are the opportunities for improvement?

I14-6.2.C

6.2-D.. What actions, if any, are required?

I14-6.2.D

7.1 Ensuring authorised executive officers are in place and assessing financial viability risk (Clauses 7.1 and 7.2)

- [Review information on understanding clauses 7.1 - 7.2 in the Users' guide to the Standards for RTOs 2015](#)

7.1-A. What practices, systems and processes are in place to meet these Standards? - What delegations are in place? –

I14-7.1A-1

What arrangements are in place to ensure practices align with the delegations?

I14-7.1A-2

7.1-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved?

I14-7.1B-1

7.1-C. What are the opportunities for improvement?

I14-7.1-C

7.1-D. What actions, if any, are required?

I14-7.1-D

What systems and processes are in place to monitor and review the Student Identifier Scheme processes and practices (yours and any **third parties**)?

Consider:

Who is responsible for reviewing and monitoring the Student Identifier Scheme processes and practices?

CEO

Is it clear to all personnel and in procedures/policies that is who is responsible?

Review Process

Documents in

19.Continuous Monitoring

How is this recorded?

Digital + Hard copy

Student feedback

How do you ensure your Student Identifier Scheme practices align to your systems?

Consider:

Student and client feedback

How are timeframes met?

Was communication with students inline with policies and procedures?

## 15.20 IQY Student Feedback Form

Documents in

15.Informing prospective and current students

How do you keep your staff informed of requirements and changes to the Student Identifier Scheme?

Consider:

How this is recorded?

Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

14.Educate Staff on Compliance

18.Develop Action Plans for Non-Compliance

19.Continuous Monitoring

When was the last review of your Student Identifier Scheme processes and practices? What changes have been made as an outcome of that review?

Consider:

Who is responsible for the review?

CEO & Training & Compliance Manager

How was this record and what were the outcomes?

How are the actions and changes allocated and recorded?

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

I4.Educate Staff on Compliance

I8.Develop Action Plans for Non-Compliance

I9.Continuous Monitoring

After reviewing your Student Identifier Scheme systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

What improvements need to occur to assure sustained compliance?

I4.Educate Staff on Compliance

I8.Develop Action Plans for Non-Compliance

I9.Continuous Monitoring

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

## Section 7: Standards relevant to regulatory compliance and governance practice

RTOs are responsible for:

- ensuring authorised executive officers are in place and assessing financial viability risk (Clauses 7.1 and 7.2)
- compliance and reporting (Clauses 2.1-2.2, 8.4-8.6)
- recording, monitoring and reporting third party arrangements (Clauses 2.3-2.4, 8.3)
- holding public liability insurance (Clause 7.4)
- meeting data provision requirements (Clause 7.5)
- providing requested information to ASQA (Clauses 8.1 and 8.2)

### Clauses 7.1 and 7.2: Ensuring authorised executive officers are in place and assessing financial viability risk.

- Review information on understanding clauses 7.1 - 7.2 in the Users' guide to the Standards [for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- Policy and procedures
- Organisation structure
- Staff feedback
- What delegations are in place?
- How is financial viability reviewed and demonstrated?

*For example, list policies and procedures, checklist and templates.*

Documents in

4.AQTF2025 Compliance

What systems and processes are in place to monitor and review who within the RTO is vested with sufficient authority and is accountable for compliance with the Standards?

Consider:

- How is this reviewed
- How is this reflected in position descriptions
- How is this recorded?

Documents in  
4.AQTF2025 Compliance

What systems and processes are in place to monitor and review financial viability risk processes and practices?

Consider:

- Who is responsible for reviewing and monitoring the financial viability risks?  
CEO
- Is it clear to all personnel and in procedures/policies that is who is responsible?
- How are the financial records reviewed and stored?

Documents in  
12.Financial Viability

How do you ensure your financial viability risk management practices align to your systems?

Consider:

- Staff feedback
- Accountant reports

Documents in  
12.Financial Viability

Documents in  
112.Foster Feedback Loops

How do you keep your staff informed of requirements and changes made to financial viability risk management?

Consider:

- How this is recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

14.Educate Staff on Compliance

18.Develop Action Plans for Non-Compliance

19.Continuous Monitoring

When was the last review of your processes and practices in regards to organisational authority and financial viability? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?

Informing Staff in staff meeting, e mails

14.Educate Staff on Compliance

18.Develop Action Plans for Non-Compliance

19.Continuous Monitoring

After reviewing your financial viability risk management systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

Documents in

22.Self- assurance and continuous improvement

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

## **Clauses 2.1 – 2.2, 8.4 - 8.6: Compliance and reporting.**

- [Review information on understanding clause 2.1 in the \*Users' guide to the Standards for RTOs 2015\*](#)
- [Review information on understanding clause 2.2 in the \*Users' guide to the Standards for RTOs 2015\*](#)

- [Review information on understanding clauses 8.4 - 8.6 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- Policy and procedures
- Self-assurance/assessment plans, schedules, reports
- Staff training
- Student management system
- Third Party arrangements

*For example, list policies and procedures, checklist and templates.*

7.2-A. What practices, systems and processes are in place to meet these Standards? –

I14-7.2-A-1

[9.AVETMISS Software-Reporting](#)

How do you assess your RTO's operations and services to ensure compliance at all times?

–

I14-7.2-A-2

How do you monitor changes to legislative and regulatory requirements and keep staff and students advised of changes that might impact on services?

I14-7.2-A-3

7.2-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14-7.2-B-1

What does your RTO's self-assessment against the Standards tell you about your compliance with the Standards and any improvements that can be made? –

I14-7.2-B-2

What data do you have about student and employer satisfaction with your services and the qualifications delivered?

I14-7.2-B-3

7.2c What are the opportunities for improvement?

I14-7.2-C

7.2-D. What actions, if any, are required?

I14-7.2-D

What systems and processes are in place to monitor and review the compliance and reporting processes and practices (yours and any **third parties**)?

Consider:

- Who is responsible for reviewing and monitoring the compliance and reporting processes and practices?
- Is it clear to all personnel and in procedures/policies that is who is responsible?

7.3-A. What practices, systems and processes are in place to meet these Standards? –

I14-7.3-A.1

16. Management of third-party service providers

What agreements are in place and what do they cover? –

I14-7.3-A.2

What evidence do you have about systematic monitoring and review of third party agreements and any actions taken in response to identified issues?

I14-7.3-A.3

7.3-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? –

I14-7.3-B.1

Does feedback from students indicate they are aware of any third party arrangements and are satisfied with services? –

I14-7.3-B.2

Does feedback from staff and third parties indicate they understand and apply the agreements?

I14-7.3-B.3

7.3-C. What are the opportunities for improvement?

I14-7.3-C

7.3-D. What actions, if any, are required?

I14-7.3-D

How do you ensure your compliance and reporting practices align to your systems?

Consider:

- Student and client feedback
- Third parties monitoring
- Students and staff communications about legislative changes

## 15.20 IQY Student Feedback Form

Documents in

### 15.Informing prospective and current students

How do you keep your staff informed of requirements and changes to compliance and reporting practices and processes?

Consider:

- How this is recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

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- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

I4.Educate Staff on Compliance

I8.Develop Action Plans for Non-Compliance

I9.Continuous Monitoring

When was the last review of your compliance and reporting processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?

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- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

I4.Educate Staff on Compliance

I8.Develop Action Plans for Non-Compliance

I9.Continuous Monitoring

After reviewing your compliance and reporting systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

Informing Staff in staff meeting, e mails  
 14. Educate Staff on Compliance  
 18. Develop Action Plans for Non-Compliance  
 19. Continuous Monitoring

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

**Clauses 2.3-2.4, 8.3) Recording, monitoring and reporting third party arrangements.**

- [Review information on understanding clauses 2.3 - 2.4 in the Users' guide to the Standards for RTOs 2015](#)
- [Review information on understanding clause 8.3 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- Policy and procedures
- Third Party Arrangements and written agreements
- Compliance monitoring schedules/reporting requirements

*For example, list policies and procedures, checklist and templates.*

7.3-A. What practices, systems and processes are in place to meet these Standards? – I14-7.3-A.1

**16. Management of third-party service providers**

What agreements are in place and what do they cover? – I14-7.3-A.2

What evidence do you have about systematic monitoring and review of third party agreements and any actions taken in response to identified issues? I14-7.3-A.3

7.3-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? – I14-7.3-B.1

Does feedback from students indicate they are aware of any third party arrangements and are satisfied with services? – I14-7.3-B.2

Does feedback from staff and third parties indicate they understand and apply the agreements?

I14-7.3-B.3

7.3-C. What are the opportunities for improvement?

I14-7.3-C

7.3-D. What actions, if any, are required?

I14-7.3-D

What systems and processes are in place to record, monitor and review third party processes and practices (yours and any **third parties**)?

Consider:

- Who is responsible for reviewing and monitoring the third party processes and practices?  
CEO & Training & Compliance Manager
- Is it clear to all personnel and in procedures/policies that is who is responsible?  
CEO & Training & Compliance Manager
-

- Timeframes

How do you ensure your recording, monitoring and reporting of third party practices align to your systems?

Consider:

- Student and client feedback
- Third parties monitoring reports

## 15.20 IQY Student Feedback Form

Documents in

### 15.Informing prospective and current students

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- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

I4.Educate Staff on Compliance

I8.Develop Action Plans for Non-Compliance

I9.Continuous Monitoring

How do you keep your staff informed of requirements and changes made to reporting, monitoring and reviewing third parties?

Consider:

- How is this recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

I4.Educate Staff on Compliance

I8.Develop Action Plans for Non-Compliance

## 19. Continuous Monitoring

When was the last review of your third party processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

14. Educate Staff on Compliance

18. Develop Action Plans for Non-Compliance

19. Continuous Monitoring

After reviewing your recording, monitoring and reporting third party systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

Informing Staff in staff meeting, e mails

14.Educate Staff on Compliance

18.Develop Action Plans for Non-Compliance

19.Continuous Monitoring

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

### Clauses 7.4 and 7.5: Holding public liability insurance and meeting data provision requirements.

- [Review information on understanding clause 7.4 and 7.5 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- Policy and procedures
- Your current public liability insurance and evidence
- Quality indicator data collection and reporting
- AVETMISS compliant data

*For example, list policies and procedures, checklist and templates.*

7.4-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? - Evidence indicates that the insurance is current in the event of an incident or claim.

I14-7.4-B

7.4-C. What are the opportunities for improvement?

I14-7.4-C

7.4-D. What actions, if any, are required?

I14-7.4-D

7.5 Meeting data provision requirements (Clause 7.5)

- [Review information on understanding clause 7.5 in the Users' guide to the Standards for RTOs 2015](#)

7.5-A. What practices, systems and processes are in place to meet these Standards? –

I14-7.4-A.1

Do you have the right systems and tools in place to ensure you meet the requirements of this Standard? –

I14-7.4-A.2

What arrangements do you have in place to ensure staff understand the requirements and can use the systems and tools?

I14-7.4-A.3

7.5-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? - Accurate data is submitted on time. - Quality indicator data is used to continuously improve services for students and employers.

I14-7.5.B

#### I16-Learning Outcome Management Policy

7.5-C. What are the opportunities for improvement?

I14-7.5.C

7.5-D. What actions, if any, are required?

I14-7.5.D

7.6 Providing requested information to ASQA (Clauses 8.1 and 8.2)

- [Review information on understanding clauses 8.1 - 8.2 in the Users' guide to the Standards for RTOs 2015](#)

7.6-A. What practices, systems and processes are in place to meet these Standards? –

I14-7.5.A.1

What systems are in place for collecting, managing and reporting information that is accurate and current? –

I14-7.5.A.2

How do you ensure that third party agreements are monitored to ensure that third parties comply with this Standard? –

I14-7.5.A.3

What training do you provide for staff about the protocols and use of systems and the requirements of this Standard?

I14-7.5.A.4

7.6-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? - Accurate information is provided by your RTO and third parties at any time it is requested.

I14-7.5.B

7.6-C. What are the opportunities for improvement?

I14-7.5.C

7.6-D. What actions, if any, are required?

I14-7.5.D

What systems and processes are in place to monitor and review insurance and data provision processes and practices (yours and any **third parties**)?

Consider:

- Who is responsible for reviewing and monitoring these processes and practices?
- Is it clear to all personnel and in procedures/policies who is responsible/accountable?

How do you ensure your public liability insurance and meeting data provision requirements practices align to your systems?

Consider:

- Do you hold public liability insurance?
- How has student data been collected and stored?

*For example, list policies and procedures, checklist and templates.*

7.4-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? - Evidence indicates that the insurance is current in the event of an incident or claim.

I14-7.4-B

7.4-C. What are the opportunities for improvement?

I14-7.4-C

7.4-D. What actions, if any, are required?

I14-7.4-D

7.5 Meeting data provision requirements (Clause 7.5)

- [Review information on understanding clause 7.5 in the Users' guide to the Standards for RTOs 2015](#)

7.5-A. What practices, systems and processes are in place to meet these Standards? –

I14-7.4-A.1

Do you have the right systems and tools in place to ensure you meet the requirements of this Standard? –

I14-7.4-A.2

What arrangements do you have in place to ensure staff understand the requirements and can use the systems and tools?

I14-7.4-A.3

7.5-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? - Accurate data is submitted on time. - Quality indicator data is used to continuously improve services for students and employers.

I14-7.5.B

I16-Learning Outcome Management Policy

7.5-C. What are the opportunities for improvement?

I14-7.5.C

7.5-D. What actions, if any, are required?

I14-7.5.D

7.6 Providing requested information to ASQA (Clauses 8.1 and 8.2)

- [Review information on understanding clauses 8.1 - 8.2 in the \*Users' guide to the Standards for RTOs 2015\*](#)

7.6-A. What practices, systems and processes are in place to meet these Standards? –

I14-7.5.A.1

What systems are in place for collecting, managing and reporting information that is accurate and current? –

I14-7.5.A.2

How do you ensure that third party agreements are monitored to ensure that third parties comply with this Standard? –

I14-7.5.A.3

What training do you provide for staff about the protocols and use of systems and the requirements of this Standard?

I14-7.5.A.4

7.6-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? - Accurate information is provided by your RTO and third parties at any time it is requested.

I14-7.5.B

7.6-C. What are the opportunities for improvement?

I14-7.5.C

7.6-D. What actions, if any, are required?

I14-7.5.D

How do you keep your staff informed of requirements and changes made to public liability insurance and meeting data provision requirements?

Consider:

- How is this recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

- Who is responsible for the review?
- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

I4.Educate Staff on Compliance

I8.Develop Action Plans for Non-Compliance

I9.Continuous Monitoring

When was the last review of your data provision processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?

- Who is responsible for the review?
- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

I4.Educate Staff on Compliance

I8.Develop Action Plans for Non-Compliance

I9.Continuous Monitoring

After reviewing your data provision systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

--

Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date

## Clauses 8.1 and 8.2: Providing requested information to ASQA.

- [Review information on understanding clauses 8.1 - 8.2 in the Users' guide to the Standards for RTOs 2015](#)

What practices, systems and processes are in place to meet the requirements of the Clauses?

Consider:

- Policy and procedures
- Staff training
- Third party written agreements
- Communications with ASQA

*For example, list policies and procedures, checklist and templates.*

Documents in

5.AQTF2025ComplianceTraining

10.Co-operation with the VET regulator

16.Management of third-party service providers

### I16-Learning Outcome Management Policy

7.5-C. What are the opportunities for improvement?

I14-7.5.C

7.5-D. What actions, if any, are required?

I14-7.5.D

7.6 Providing requested information to ASQA (Clauses 8.1 and 8.2)

- [Review information on understanding clauses 8.1 - 8.2 in the Users' guide to the Standards for RTOs 2015](#)

7.6-A. What practices, systems and processes are in place to meet these Standards? –

I14-7.5.A.1

What systems are in place for collecting, managing and reporting information that is accurate and current? –

I14-7.5.A.2

How do you ensure that third party agreements are monitored to ensure that third parties comply with this Standard? –

I14-7.5.A.3

What training do you provide for staff about the protocols and use of systems and the requirements of this Standard?

I14-7.5.A.4

7.6-B. What evidence is there that demonstrates results, effectiveness or outcomes achieved? - Accurate information is provided by your RTO and third parties at any time it is requested.

I14-7.5.B

7.6-C. What are the opportunities for improvement?

I14-7.5.C

7.6-D. What actions, if any, are required?

I14-7.5.D

What systems and processes are in place to monitor and review how the RTO provides requested information to ASQA (yours and any **third parties**)?

Consider:

- Is there an approval or review process before information is sent to ASQA?
- How are third party agreements monitored?
- Who is responsible for reviewing and monitoring these processes and practices?
- Is it clear to all personnel and in procedures/policies that is who is responsible?

How do you ensure your provision of requested information to ASQA practices align to your systems?

Consider:

- Recent communications with ASQA
- Third Party Agreements and communications with ASQA

How do you keep your staff informed of requirements and changes made to providing requested information to ASQA?

Consider:

- How is this recorded?
- Who is responsible for informing staff?

*For example team meetings or ongoing staff training.*

- Who is responsible for the review?
- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

Informing Staff in staff meeting, e mails

14.Educate Staff on Compliance

18.Develop Action Plans for Non-Compliance

19.Continuous Monitoring

When was the last review of these processes and practices? What changes have been made as an outcome of that review?

Consider:

- Who is responsible for the review?
- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?

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- How was this record and what were the outcomes?
- How are the actions and changes allocated and recorded?

Hard copy+Digital

- How are the actions and changes allocated and recorded?
- Has the independent validation process changed and why?
- Who is responsible for informing staff?

CEO & Training & Compliance Manager

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After reviewing your systems and processes currently, do they ensure ongoing compliance with the Clauses?

Consider:

- What improvements need to occur to assure sustained compliance?

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Issue/Non-compliance	Evidence Sited	Action Required	Person Responsible	Date to be completed	Completed date