

Organisation Details

RTO Name: Australian Automotive Training

NTIS Number: 31368

Registration dates: 13/07/06 – 12/07/11

Address: 68 Moss Street, Springwood

Audit Details

Audit Type: Extension and monitoring

Audit no: 31368-2A

Lead Auditor: Tony Feagan

Assistant Auditors: none

Audit Date: 13 April 2007

Technical Advisers: none

RTO Representatives:

John Sayers – General Manager

Audit table sent: 18 April 2007

Deidre Austen – Administration Manager

Rectification received:

Qualifications audited: Certificate III in Financial Services (Business Management) – FNS30104 and

Certificate IV in Business Administration (BSB40201) for extension

Certificate III in Automotive Sales – AUR31005 for monitoring

Background Information

Apprenticeship/ Traineeship Quas: none

User Choice Contract Value: not applicable

Student numbers: internal

CRICOS No: not registered

Delivery sites: Springwood and various localities throughout State

Overseas Delivery: no

Interstate Delivery: no

Additional Information / Organisational Overview:

The RTO is a motorcycle sales, servicing and insurance business with 15 locations throughout the state trading as the Team Moto Group.

The bulk of the training and assessment service offered by the RTO is for internal staff of the various branches of the business.

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STANDARDS	Y	N	NA	EVIDENCE SIGHTED	STATUS
<p>2.2 The RTO must ensure that its policies and procedures meet the requirements of Commonwealth or state/territory legislation and regulatory requirements that are relevant to the RTO's operations including industry legislation and regulatory requirements specific to its scope of registration and that:</p> <p>i) staff are provided with information about current legislation and regulatory requirements that significantly affects their duties</p> <p>ii) clients are provided with information about current legislation and regulatory requirements that significantly affect their participation in VET.</p>				<p>• Fair Trading Act 1989</p> <p>• Property Agents and Motor Dealers Act 2000</p> <p>• Copyright Act 1968</p> <p>OPPORTUNITIES FOR IMPROVEMENT:</p> <p><i>The organisation has ensured that its policies and procedures meet the requirements of legislation and regulatory requirements that are relevant to its operations and that staff and clients are provided with information relating to:</i></p> <p><input type="checkbox"/> Refer to Technical Adviser Table</p> <p><input checked="" type="checkbox"/> Occupational health and safety</p> <p><input checked="" type="checkbox"/> Workplace harassment, victimisation and bullying</p> <p><input checked="" type="checkbox"/> Anti-discrimination, including equal opportunity, racial vilification and disability discrimination</p> <p><input checked="" type="checkbox"/> Privacy</p> <p><input checked="" type="checkbox"/> VET</p> <p><input type="checkbox"/> Apprenticeships and traineeships</p> <p>Industry-specific legislation:</p> <ul style="list-style-type: none"> • Financial Services Reform Act 2001 • Equal Opportunity and Public Employment Act 1992 • The Transport Infrastructure Act 1994 • The Motor Vehicles and Boat s Security Act 1986 • Fair Trading Act 1989 • Property Agents and Motor Dealers Act 2000 • Copyright Act 1968 <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	C
<p>2.3 The RTO must ensure that it has all the insurance cover necessary to carry out its</p>				<p><i>The organisation provided evidence of current insurance for the following:</i></p>	NE

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STANDARDS

Y N NA

EVIDENCE SIGHTED

STATUS

Status codes: C = Compliant, NC = Not Compliant, NE = Not Examined

STANDARD 1 – SYSTEMS FOR QUALITY TRAINING AND ASSESSMENT

The RTO has systems in place to plan for and provide quality training and assessment across all of its operations.

<p>1.1 (a) The RTO must keep written policies and procedures for ensuring quality training and assessment consistent with its scope of registration and scale of operations</p> <p>(b) The chief executive must ensure that the policies and procedures are circulated, understood and implemented consistently throughout the RTO.</p>	<p>This standard is not audited directly. Refer to evidence sighted for all other standards for details.</p>	<p>C</p>
<p>1.2 The RTO must designate a person or persons, with direct access to the RTO's chief executive, who has defined responsibility and authority to:</p> <ul style="list-style-type: none"> i. ensure that the RTO complies with the <i>Standards for Registered Training Organisations</i> across all of its operations and in all of its training and/or assessment activities, including those undertaken by other persons or bodies on its behalf ii. ensure that the RTO provides for examination of documentation and reasonable access to all areas, records (including internal audit reports) and staff as required by the registering body for the purposes of audit iii. report to the chief executive on the RTO's compliance with the <i>Standards for Registered Training Organisations</i>, for review and as a basis for improvement iv. apply to the state or territory registering body that has registered it for any extension to scope of registration v. provide details, upon the request of the state or territory registering body that has registered it, of all operations within its scope of registration including operations in other states or territories and outside Australia vi. advise the state or territory registering body that has registered it: <ul style="list-style-type: none"> a. within 21 calendar days of commencing delivery and/or assessment outside the state or territory of registration and/or b. within 3 months of ceasing delivery and/or assessment in a location outside the state or territory of registration c. provide the state or territory registering body that has registered it with accurate and timely information regarding registration and compliance (including major changes to the RTO's system or staffing profile, relocation of the RTO, financial difficulties and transfer of client records). 	<p><input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>The organisation has designated a person/s with direct access to the chief executive to ensure that it complies with the standards for RTOs.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>The organisation has designated a person/s with direct access to the chief executive to ensure that it provides for examination of documentation and reasonable access to all areas, records (including internal audit reports) and staff as required by DETA for the purpose of audit.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>The organisation has designated a person/s to report directly to the chief executive on the organisation's compliance with the standards for RTOs.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>The organisation has designated a person/s, with direct access to the chief executive, responsible for applying for extensions to its scope of registration.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>The organisation has designated a person/s, with direct access to the chief executive, responsible for supplying operational details to DETA.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>The organisation has designated a person/s, with direct access to the chief executive, responsible for advising DETA of commencement or cessation of operations outside Queensland.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>The organisation has designated a person/s, with direct access to the chief executive, responsible for informing DETA of major changes to its operations.</p>	<p>OPPORTUNITIES FOR IMPROVEMENT:</p>

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STANDARDS	Y	N	NA	EVIDENCE SIGHTED	STATUS
1.3 (a) The RTO must have an organisational chart and duty statements or terms of reference that show the lines of authority in the RTO, the responsibilities and allocation of functions. (b) The organisational chart and duty statements must set out the role each staff member of the RTO has in implementing and maintaining the RTO's training and/or assessment system.	<input checked="" type="checkbox"/>	<input type="checkbox"/>		The organisation provided an organisational chart, showing the lines of authority in the organisation and allocation of functions.	C
	<input checked="" type="checkbox"/>	<input type="checkbox"/>		The organisation provided duty statements outlining the responsibilities and functions of each staff member, or this information is included in the organisational chart.	
1.4 (a) The RTO must conduct an internal audit ¹ across all of its operations relating to its compliance with these standards and the policies and procedures mentioned in standard 1.1(a) at least annually. (b) The RTO's chief executive must review the RTO's compliance with these standards at least annually.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	OPPORTUNITIES FOR IMPROVEMENT: Job descriptions refer to DET (Department of Employment and Training). This department is now DETa (Department of Education, Training and the Arts).	C
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.5 The RTO must document and implement policies and procedures for dealing in a constructive and timely manner with client complaints and appeals against decisions made by the RTO. The policies and procedures must ensure that: <ul style="list-style-type: none"> i each complaint and appeal and its outcome is recorded in writing ii each appeal is heard by an independent person or panel iii each appellant: <ul style="list-style-type: none"> a) has an opportunity to formally present his or her case b) is given a written statement of the appeal outcomes, including reasons for the decision iv the RTO should act upon the subject of any complaint found to be substantiated. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>		The organisation has documented that complaints and appeals and their outcomes are recorded in writing.	C
	<input checked="" type="checkbox"/>	<input type="checkbox"/>		The organisation has documented that appeals should be heard by an independent person or panel.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>		The organisation has documented that appellants have an opportunity to formally present their case in the appeal process.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>		The organisation has documented that each appellant is provided with a written outcome of the appeal process, including reasons for the decision.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>		The organisation has documented how it responds to complaints found to be substantiated.	
OPPORTUNITIES FOR IMPROVEMENT: The above has been fully implemented.					
OPPORTUNITIES FOR IMPROVEMENT: The organisation demonstrated a written agreement with each organisation that				<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/>	C

¹ AS/NZS ISO 19011:2003 *Guidelines for quality and/or environmental management systems auditing* provides guidance on conducting internal audits; alternatively the RTO may conduct self-assessments of equivalent rigour.

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STANDARDS	Y N NA	EVIDENCE SIGHTED	STATUS
<p>organisation that provides training and/or assessment on behalf of the RTO?²</p> <p>(b) The agreement must specify how each party to the agreement will discharge its responsibilities for compliance with all aspects of the <i>Standards for Registered Training Organisations</i>.</p> <p>(c) The RTO must maintain a register of all agreements made under standard 1.6(a) including, but not limited to:</p> <p>i) the responsible person from each organisation;</p> <p>ii) the duration of the agreement;</p> <p>iii) the qualifications or units of competency to be delivered by the partner organisation.</p>	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	<p>provides training or assessment on its behalf.</p> <p>All of the above agreements specify how each party will discharge its responsibilities for compliance under the standards for RTOs.</p> <p>The organisation demonstrated a register of the above agreements.</p> <p>The register of agreements included the responsible person from each organisation.</p> <p>The register of agreements included the duration of each agreement.</p> <p>The register of agreements included the qualifications or units of competency to be delivered by the partner organisation.</p> <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	
<p>1.7 The RTO must have a written plan for its business as an RTO that is consistent with its scope of registration and scale of operations.</p>	<input checked="" type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	<p>The organisation demonstrated a plan for its business as an RTO.</p> <p>The above plan is consistent with the organisation's scope of registration (or proposed scope).</p> <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	C
<p>1.8 The RTO must:</p> <p>i) document and implement procedures to identify and manage risks concerned with compliance with the <i>Standards for Registered Training Organisations</i></p> <p>ii) take corrective and preventive action in relation to failure to comply with the <i>Standards for Registered Training Organisations</i> and the RTO's quality system, policies or procedures.</p>	<input checked="" type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	<p>The organisation has documented procedures to identify and manage risks concerned with compliance with the standards for RTOs.</p> <p>The above has been fully implemented.</p> <p>The organisation has taken corrective and/or preventive action in relation to its failure to comply with the standards for RTOs.</p> <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	C
<p>1.9 (a) The RTO must collect and analyse stakeholder and client feedback and satisfaction data on the services it provides as the basis for improvement</p> <p>(b) The RTO must use the information mentioned in standard 1.9(a) to review its policies and procedures.</p>	<input checked="" type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	<p>The organisation has collected stakeholder feedback on the services it provides.</p> <p>The organisation has analysed the above feedback.</p> <p>The organisation has collected client feedback on the services it provides.</p> <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	C

² For example through partnership arrangements with industry, schools, other providers of education and training. It is not intended that such partnership arrangements be used by the RTO as the mechanism for expanding its scope of registration.

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STANDARDS	Y	N	NA	EVIDENCE SIGHTED	STATUS
1.10 The RTO must develop and implement written procedures relating to: i) acting on opportunities for improvement identified by any means ii) continuous improvement of its systems.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has analysed the above feedback.	C
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has used the information from the above analysis to review its policies and procedures.	
	OPPORTUNITIES FOR IMPROVEMENT:			The organisation has documented its procedures for acting on opportunities for improvement. <input checked="" type="checkbox"/> <input type="checkbox"/> The above has been fully implemented.	
OPPORTUNITIES FOR IMPROVEMENT:					
STANDARD 2 – COMPLIANCE WITH COMMONWEALTH, STATE/TERRITORY LEGISLATION AND REGULATORY REQUIREMENTS					
The RTO ensures that compliance with Commonwealth, state/territory legislation and regulatory requirements relevant to its operations is integrated into its policies and procedures and compliance is maintained.					
2.1 The RTO must identify and comply with relevant Commonwealth, state/territory legislation and regulatory requirements including, but not limited to: i) occupational health and safety ii) workplace harassment, victimisation and bullying iii) anti-discrimination, including equal opportunity, racial vilification and disability discrimination iv) privacy v) VET vi) apprenticeships and traineeships.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has identified and complies with legislation and regulatory requirements related to: Occupational health and safety Workplace harassment, victimisation and bullying Anti-discrimination, including equal opportunity, racial vilification and disability discrimination Privacy VET Apprenticeships and traineeships	NE
				Industry-specific legislation: • Financial Services Reform Act 2001 • Equal Opportunity and Public Employment Act 1992 • The Transport Infrastructure Act 1994 • The Motor Vehicles and Boats Security Act 1986	

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business, including insurance for workers compensation, public liability, professional indemnity, building and contents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Workers compensation Public liability Professional indemnity Building Contents Equipment for training and/or assessment	
OPPORTUNITIES FOR IMPROVEMENT:					
STANDARD 3 – EFFECTIVE FINANCIAL MANAGEMENT PROCEDURES					
The RTO has effective financial management procedures in place.					
3.1 The RTO must designate the chief executive or a person, with direct access to the chief executive, who has defined responsibility and authority to:	The organisation has designated a person, with direct access to the chief executive, with defined responsibility and authority to:				C
i) ensure that the RTO has financial management policies in place and that it complies with these policies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensure that the organisation has financial management policies in place and that the organisation complies with these.	
ii) monitor and report on compliance with its financial management policies and procedures, for review and as a basis for improvement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Monitor and report on compliance with financial management policies.	
iii) when requested, provide the state or territory registering body that has registered it with a formal assurance that the RTO has sound financial management standards for matters related to the RTO's scope of registration and scale of operations.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reporting to DETA on financial matters, if requested.	
OPPORTUNITIES FOR IMPROVEMENT:					
3.2 The RTO's accounts must be certified, at least annually, by a qualified accountant:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation's accounts have been certified annually.	C
a) with membership of:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has provided DETA with the above audit, if requested.	
i) Certified Practising Accountants Australia					
ii) the Institute of Chartered Accountants of Australia or					
iii) the national Institute of Accountants or					
b) otherwise registered as an auditor with the Australian Securities and Investment Commission.					
OPPORTUNITIES FOR IMPROVEMENT:					
and, on request, the report must be made available to the state or territory					

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<p>registering body that has registered the organisation.</p>					
<p>3.3 The RTO, if requested by the state or territory registering body that has registered it, must obtain, and make available to the state or territory registering body, a full audit report from a qualified independent accountant:</p> <p>a) with membership of:</p> <p style="margin-left: 20px;">i) Certified Practising Accountants Australia</p> <p style="margin-left: 20px;">ii) the Institute of Chartered Accountants of Australia or</p> <p style="margin-left: 20px;">iii) the National Institute of Accountants</p> <p>or</p> <p>b) otherwise registered as an auditor with the Australian Securities and Investment Commission.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The organisation has provided a full audit report to DETA.	C
OPPORTUNITIES FOR IMPROVEMENT:					
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has documented systems to protect fees paid in advance.	C
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The above systems have been fully implemented.	
OPPORTUNITIES FOR IMPROVEMENT:					
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has a fair and reasonable refund policy.	C
	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Refunds have been processed in accordance with the above policy.	
OPPORTUNITIES FOR IMPROVEMENT:					
STANDARD 4 – EFFECTIVE ADMINISTRATIVE AND RECORDS MANAGEMENT PROCEDURES					
The RTO has effective administrative and records management procedures in place.					
<p>4.1 The RTO must document and implement procedures to assure the integrity, accuracy and currency of records that include, but are not limited to:</p> <p>i) secure storage, including backup of electronic records</p> <p>ii) retention, archiving and retrieval of sufficient information on client results to enable the re-issue of a qualification or statement of attainment if required, for a period of 30 years and transfer of these records consistent with state or territory registering body requirements in the event of closure of the RTO</p> <p>iii) retention, archiving, retrieval and transfer of all other records consistent with contractual and legal requirements and the requirements of the state or</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has documented procedures to ensure that records are stored securely.	C
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has documented procedures for back-up of electronic records.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has documented procedures to ensure that it can re-issue a qualification or statement of attainment for a period of 30 years following the student's completion.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has documented procedures to ensure that records are transferred to DETA in the event of the organisation ceasing to be an RTO.	

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STANDARDS	Y N NA	EVIDENCE SIGHTED	STATUS
territory registering body that has registered the organisation iv) compliance with external reporting requirements (for example the Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) for those RTOs in receipt of government funding) v) safeguarding any confidential information obtained by the RTO and committees, individuals or organisations acting on its behalf vi) ensuring that, except as required under the <i>Standards for Registered Training Organisations</i> or by law, information about a client is not disclosed to a third party without the written consent of the client vii) access by clients to their personal records.	<input checked="" type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	The organisation has documented procedures to ensure that records of all types are maintained in accordance with contractual and legal requirements. <input type="checkbox"/> The organisation has documented procedures to ensure that it complies with external reporting requirements such as AVETMISS. <input checked="" type="checkbox"/> The organisation has documented procedures to ensure that it has protected all confidential information collected on its behalf. <input checked="" type="checkbox"/> The organisation has documented procedures to ensure that information about a client will not be disclosed to any third party without written consent of the client. <input checked="" type="checkbox"/> The organisation has documented procedures to ensure that clients have appropriate access to their own records. <input checked="" type="checkbox"/> The above have been fully implemented.	
VETTRAK is the student database in use.			
Sample of Student files for Monitoring audit: Dylan Porch – trainee – Certificate III in Automotive Sales – file includes training plan, new employee training advice, invoices, statement of attainment for 6 units, workplace visit record, enrolment form, trainee induction checklist, LLN assessment, various forms and documents which have been used as supplementary assessment evidence, workbook with completed assessment items included. Troy Duncan – file contents same as above Mark Fitzgerald – file contents same as above			
4.2 The RTO must maintain up-to-date records of:			NC
i) the verified training and/or assessment and vocational competencies of all staff and persons working on behalf of the RTO as trainers and assessors, consistent with requirements of standard 7 ii) enrolments and participation iii) fees paid and refunds given.	<input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	The organisation has maintained up-to-date records of verified training, assessment and vocational competencies of staff. <input checked="" type="checkbox"/> The organisation has maintained up-to-date records of enrolments and participation. <input checked="" type="checkbox"/> The organisation has maintained up-to-date records of fees paid and refunds given.	
OPPORTUNITIES FOR IMPROVEMENT: Re : 4.2 (i) see Exceptions Report against standard 7.3			

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<p>4.3 The RTO must develop and implement version control procedures for managing materials that relate to its scope of registration (including Training Packages, accredited course documents and learning/assessment materials) so that:</p> <ul style="list-style-type: none"> i) materials are reviewed for currency by authorised and competent staff prior to issue or re-issue ii) a list of materials with the respective issue and/or amendment status identified is maintained iii) all persons required to perform any function under the RTO's scope of registration have ready access to all necessary current materials. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The organisation has developed version control procedures for managing materials that relate to its scope of registration.</p> <p>The above have been fully implemented.</p> <p>The organisation has developed a list of materials, including issue/amendment status.</p>	C
STANDARD 5 – RECOGNITION OF QUALIFICATIONS ISSUED BY OTHER RTOS					
The RTO recognises the Australian Qualifications Framework (AQF) qualifications and statements of attainment issued by any other RTO					
<p>5.1 The RTO's policies and procedures must include a requirement that the RTO recognises the AQF qualifications and statements of attainment issued by any other RTO.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The organisation's policies and procedures include the requirement to recognise the AQF qualifications and statements of attainment issued by any other RTO.</p> <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	C
<p>5.2 The RTO must include its obligations to recognise the AQF qualifications and statements of attainment issued by other RTOs, in information to clients.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The organisation provides information to clients about its obligation to recognise the AQF qualifications and statements of attainment issued by any other RTO.</p> <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	C
<p>5.3 The RTO must provide information to staff on the obligation to recognise the AQF qualifications and statements of attainment issued by other RTOs.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The organisation provides information to staff about its obligation to recognise the AQF qualifications and statements of attainment issued by any other RTO.</p> <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	C
STANDARD 6 – ACCESS AND EQUITY AND CLIENT SERVICE					
The RTO applies access and equity principles and provides timely and appropriate information, advice and support services which assist clients to identify and achieve their desired outcomes.					
<p>6.1 The RTO's policies and procedures must incorporate access and equity principles.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Access and equity principles are incorporated into the organisation's policies and procedures.</p> <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	C

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6.2 (a) The RTO must set out its access and equity policies in a code of practice or similar document. (b) The RTO must ensure that copies of any instruments developed under Standard 6.1 are provided and adhered to by staff.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has set out its access and equity policies in a code of practice or similar document.	C
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has provided its access and equity policies to staff.	
OPPORTUNITIES FOR IMPROVEMENT:					
6.3 The RTO must provide clear information to each client, prior to enrolment, about: <ul style="list-style-type: none"> i) client selection, enrolment and induction/orientation procedures ii) course information, including content and vocational outcomes iii) fees and charges, including refund policy and exemptions (where applicable) iv) provision for language, literacy and numeracy assistance v) client support, including any external support the RTO has arranged for clients; vi) flexible learning and assessment procedures; vii) welfare and guidance services viii) appeals and complaints procedures ix) disciplinary procedures; x) staff responsibilities for access and equity as provided for in the RTO's code of practice or similar document and xi) recognition of prior learning (RPL) arrangements and credit transfer. 	<i>The organisation provides clear information to clients, prior to enrolment, about:</i>				C
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Client selection	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Enrolment and induction/orientation procedures	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Course information, including content and vocational outcomes	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Fees and charges, including refund policies	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Provision for LLN assistance	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Client support available	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Flexible learning and assessment procedures	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Welfare and guidance services available	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Appeals and complaints procedures	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Disciplinary procedures	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Staff responsibilities for access and equity		
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	RPL and credit transfer arrangements.		
OPPORTUNITIES FOR IMPROVEMENT:					
STANDARD 7 – THE COMPETENCE OF RTO STAFF					
Each member of the RTO's staff who is involved in training, assessment or client service is competent for the functions they perform.					
7.1 The RTO must develop and implement written procedures for the recruitment, induction, and ongoing development of each member of its staff who is involved in	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The organisation has developed written procedures for recruitment of staff involved in training, assessment or client service.	C

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STANDARDS	Y	N	NA	EVIDENCE SIGHTED	STATUS
training, assessment or client service; encourage and provide relevant opportunities for their professional development; and monitor their performance.	<input checked="" type="checkbox"/>		<input type="checkbox"/>	The organisation has developed written procedures for induction of staff involved in training, assessment or client service.	
	<input checked="" type="checkbox"/>		<input type="checkbox"/>	The organisation has developed written procedures for ongoing development of staff involved in training, assessment or client service.	
	<input checked="" type="checkbox"/>		<input type="checkbox"/>	The above have been fully implemented.	
	<input checked="" type="checkbox"/>		<input type="checkbox"/>	The organisation has provided relevant opportunities for professional development of staff involved in training, assessment or client service.	
	<input checked="" type="checkbox"/>		<input type="checkbox"/>	The organisation has monitored the performance of staff involved in training, assessment or client service.	
	OPPORTUNITIES FOR IMPROVEMENT:				
	The organisation's induction program provides information on the following:				
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Training packages	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Competency-based training and assessment	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	VET requirements and policies	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Requirements for apprenticeships/traineeships	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Staff responsibilities for access and equity.	
	OPPORTUNITIES FOR IMPROVEMENT:				
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Refer to Technical Adviser table	NC
7.3 (a) The RTO must ensure that assessments are conducted by a person who has: i) the following competencies ³ from the Training and Assessment Training Package, or is able to demonstrate equivalent competencies: a) TAAASS401A Plan and organise assessment b) TAAASS402A Assess competence c) TAAASS404A Participate in assessment validation				Fiona Tones- listed as a trainer and assessor for the majority of units in the courses listed below. BSB40201 – Certificate IV in Business Administration and BSB41004 - Certificate IV in Business (Frontline Management)	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	TAAASS401A, TAAASS402A, TAAASS404A.	
7.2 The RTO's induction program and materials for new staff must contain information, where relevant to their job role, on each of the following: i) Training Packages ii) competency-based training and assessment iii) VET requirements and policies iv) requirements for apprenticeships/traineeships v) staff responsibilities for access and equity.					NE

³ A person who holds the competencies BSB401A Plan assessment, BSB402A Conduct assessment, and BSB403A Review assessment from the Training Package for Assessment and Workplace Training will be accepted for the purposes of this standard. A person who has demonstrated equivalent competencies to BSB401A and BSB402A and BSB403A in the period up to 12 months following publication of the Training and Assessment Training Package will also be accepted for the purposes of this standard.

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ii) relevant vocational competencies, at least to the level being assessed b) However, if a person does not have the assessment competencies as defined in standard 7.3 a) i) and the vocational competencies as defined in standard 7.3 a) ii), one person with all the assessment competencies listed in standard 7.3 a) i) and one or more persons who have the vocational competencies listed in standard 7.3 a) (ii) may work together to conduct the assessments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	TAA40104 Certificate IV in Training and Assessment. Competencies equivalent to above.	C
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	BSZ401A, BSZ402A, BSZ403A. BSZ40198 Certificate IV in Assessment and Workplace Training. Issued by the Learning Collaborative – 30 March 2006. Equivalent competencies to above, documented prior to 23 November 2005. Relevant vocational competencies, at least to the level being assessed, as detailed below.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Relevant vocational competencies, at least to the level being assessed, as detailed below. • BSB41004 – Certificate IV in Business (Frontline Management) – issued by the Learning Collaborative – 31 March 2006. • BSB40201 - Certificate IV in Business (administration) – issued by the Learning Collaborative – 31 March 2006 • BSA30197 – Certificate III in Business (office administration) – 12 March 2001.	
				OPPORTUNITIES FOR IMPROVEMENT: No CV on file so unable to determine currency and experience – see Exceptions report	
				John Sayers – listed as trainer and assessor in: BSB40201 – Certificate IV in Business Administration and BSB41004 - Certificate IV in Business (Frontline Management)	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	TAAASS401A, TAAASS402A, TAAASS404A.	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	TAA40104 Certificate IV in Training and Assessment.	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Competencies equivalent to above.	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	BSZ401A, BSZ402A, BSZ403A.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	BSZ40198 Certificate IV in Assessment and Workplace Training.	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Equivalent competencies to above, documented prior to 23 November 2005.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Relevant vocational competencies, at least to the level being assessed, as detailed below.	

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<p>7.4 The RTO must ensure that training is delivered by a person who:</p> <p>i) holds the Certificate IV in Training and Assessment⁴ from the Training and Assessment Training Package, is able to demonstrate equivalent competencies or</p> <p>ii) is under the direct supervision⁵ of a person who has the competencies specified in Standard 7.4 (i)</p> <p>iii) is able to demonstrate vocational competencies at least to the level of those being delivered.</p>	<input checked="" type="checkbox"/>		<input type="checkbox"/>	<ul style="list-style-type: none"> • Bachelor of Business (management) • ASIC PS146 Tier 2 – General Insurance Compliance. • Has experience in Insurance, finance account management and training and development covering a 12 years period. Also has a range of professional development certificates covering over 10 years in management skills, sales, finance and insurance accreditation etc. <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	
STANDARD 8 – RTO ASSESSMENTS					
The RTO's assessments meet the requirements of the endorsed components of Training Packages and the outcomes specified in accredited courses within the scope of its registration.					
<p>8.1 The RTO must ensure that assessments (including RPL):</p> <p>i) comply with the Assessment Guidelines included in the applicable nationally endorsed Training Packages or the assessment requirements specified in accredited courses</p> <p>ii) lead to the issuing of a Statement of Attainment or qualification under the AQF when a person is assessed as competent against nationally endorsed unit(s) of competency in the applicable Training Package or modules specified in the applicable accredited course</p> <p>iii) are valid, reliable, fair and flexible</p> <p>iv) provide for applicants to be informed of the context and purpose of the assessment and the assessment process</p> <p>v) where relevant, focus on the application of knowledge and skill to the</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Assessment materials examined for BSB40201 – Certificate IV in Business Administration</p> <p>A cluster of three units has been developed with an integrated approach to delivery and assessment. These units are BSBADM402A – Produce Complex Business Documents, BSBADM403A – Develop and Use Complex Databases and BSBADM404A – Develop and Use Complex Spreadsheets.</p> <p>There are three assessment tasks covering the three units. Assessment one is a portfolio of evidence which is collected on the job, assessment two is a written assessment (question bank) and assessment three is a practical assessment task. The assessment process also uses the validation of a third party report from a workplace supervisor. Each task has a documented set of instructions outlining the requirements of the respective assessment.</p>	NC

⁴ A person who holds the Certificate IV in Assessment and Workplace Training from the Training Package for Assessment and Workplace Training (BSZ98) will be accepted for the purposes of this standard. A person who has demonstrated equivalent competencies to the Certificate IV in Assessment and Workplace Training in the period up to 12 months following publication of the Training and Assessment Training Package will also be accepted for the purposes of this standard.

⁵ Direct supervision is achieved when a person delivering training on behalf of the RTO has regular guidance, support and direction from a person designated by the RTO who has the competencies in standard 7.4(i) and who monitors and is accountable for the training delivery. It is not necessary for the supervising person to be present during all training delivery.

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<p>standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills</p> <p>vi) involve the evaluation of sufficient evidence to enable judgements to be made about whether competency has been attained</p> <p>vii) provide for feedback to the applicant about the outcomes of the assessment process and guidance on future options in relation to those outcomes</p> <p>viii) are equitable for all persons, taking account of individual needs relevant to the assessment and</p> <p>ix) provide for reassessment on appeal.</p>				<p>Assessment one (portfolio) does not include what is required to be submitted as part of the assessment task. There is a generic list of workplace practises and tasks but these cannot be aligned to the requirements of the units of competency. Refer to the exceptions report for rectification requirements.</p> <p>Assessment three (practical) outlines that the student is required to demonstrate particular skills in a workplace setting. The indicators provided on the assessment instruction page are too generic. The three observation checklists are copies of the unit performance criteria. Performance criteria are simply statements of what is required and cannot be directly assessed. Refer to the exceptions report for rectification requirements.</p> <p>Assessment four (third party report) is noted on the assessment outline but there are no checklists or lists of observable or reportable tasks for the third party to complete. See exceptions report for rectification requirements.</p> <p>None of the four assessments has any benchmarks (typical or suggested responses / answers) associated with them.</p> <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	C
<p>8.2 (a) The RTO must ensure that RPL is offered to all applicants on enrolment.</p> <p>(b) The RTO must have an RPL process that:</p> <p>i) is structured to minimise the time and cost to applicants and</p> <p>ii) provides adequate information, support and opportunities for participants to engage in the RPL process.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The organisation offers RPL to all applicants on enrolment.</p> <p>The organisation has an RPL process that is structured to minimise the time and cost to applicants.</p> <p>The organisation provides adequate information, support and opportunities for clients to engage in RPL.</p> <p>OPPORTUNITIES FOR IMPROVEMENT:</p>	C
STANDARD 9 – LEARNING AND ASSESSMENT STRATEGIES					
The RTO identifies, negotiates, plans and implements appropriate learning and assessment strategies to meet the needs of each of its clients.					
<p>9.1 (a) The RTO must develop and implement learning and assessment strategies</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Refer to Technical Adviser table	C

⁹ Alternatively, for partial qualification, if the RTO's scope is defined by one or more units of competency rather than a complete qualification.

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<p>for each Training Package qualification and accredited course within the RTO's scope of registration⁶.</p> <p>(b) The assessment strategies referred to in Standard 9.1 (a), must be developed in consultation with enterprises/industry.</p> <p>(c) The learning and assessment strategies referred to in Standard 9.1 a) should identify proposed target groups, learning and assessment methods, assessment validation processes and pathways⁷.</p> <p>(d) The RTO must document the strategies referred to in Standard 9.1 a) on application for registration and on extension of scope of registration.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The organisation has developed learning and assessment strategies for each qualification and course within its scope of registration.</p> <p>The learning and assessment strategies have been fully implemented.</p> <p>Learning and assessment strategies were developed in consultation with industry.</p> <p>Learning and assessment strategies identify target groups.</p> <p>Learning and assessment strategies identify learning and assessment methods.</p> <p>Learning and assessment strategies identify assessment validation processes.</p> <p>Learning and assessment strategies identify pathways.</p>	C
<p>9.2 The RTO must validate its assessment strategies by:</p> <p>i) reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgements made by a range of assessors against the same competency standards⁸, at least annually</p> <p>ii) documenting any action taken to improve the quality and consistency of assessment.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The organisation has validated its assessment strategies for all qualifications and courses within its scope of registration by reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgements made by a range of assessors against the same competency standards, at least annually.</p> <p>The organisation has documented action taken to improve the quality and consistency of assessment.</p>	C
<p>9.3 The RTO must ensure that in developing, adapting or delivering training and/or assessment products and services:</p> <p>i) methods used to identify learning needs are documented</p> <p>ii) the requirements of the Training Package or accredited course are met</p> <p>iii) steps are taken to manage the transition to reviewed Training Packages within 12 months of their publication</p> <p>iv) core and elective units, as appropriate, are identified</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Refer to Technical Adviser table</p> <p><i>For all qualifications and courses within the organisation's scope of registration, the following have been addressed:</i></p> <p>Methods used to identify learning needs have been documented.</p> <p>Training and assessment methodologies and resources meet the requirements of the training package or course.</p>	C

⁷ For guidance on delivery and assessment in a language other than English refer to the *NTOC policy on languages for delivering and assessing vocational education and training*.

⁸ These may be internal processes with stakeholder involvement or external validations with other providers and/or stakeholders.

⁹ Available in *Guidelines for Course Developers*, ANTA Brisbane 2002.

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<p>v) customisation/contextualisation meets the requirements specified in the relevant Training Package or, for accredited courses, meets the NTQC's <i>Guidelines for Customisation of Accredited Courses under the AQTF</i></p> <p>vi) the language, literacy and numeracy skills required are consistent with the workplace demands specified in the relevant units of competency or module and that these skills are developed in learners</p> <p>vii) delivery modes and training and assessment materials which meet the needs of a diverse range of clients are identified</p> <p>viii) where assessment or training is conducted in the workplace, the RTO negotiates the learning and assessment strategy with the employer and learners; works with the employer to integrate any on-the-job training and assessment; and schedules workplace visits to monitor/review the training and assessment</p> <p>ix) where an apprenticeship/traineeship training contract is in place or being negotiated, individual training plans are developed, documented, implemented and monitored for each apprentice or trainee, encompassing all relevant off-the-job training and structured workplace training and assessment (refer to training plan checklist) and</p> <p>x) where assessment or training is conducted on-line or by distance, the RTO has effective strategies for learner support, monitoring and assessment.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The RTO has managed the transition to new training packages as required.	C
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Units of competency are correctly identified.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Customisation/contextualisation has been carried out in accordance with the training package or the NTQC's <i>Guidelines for Customisation of Accredited Courses under the AQTF</i>	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	LLN requirements to complete the training and assessment are consistent with workplace and unit of competency requirements.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Delivery and assessment modes and materials meet the needs of a diverse range of clients.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Where training or assessment occurs in the workplace, the organisation has negotiated the learning and assessment strategy with the employer and learners.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Where training or assessment occurs in the workplace, the organisation works with the employer to integrate on-the-job training and assessment.	
	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Where training or assessment occurs in the workplace, the organisation has scheduled workplace visits.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Where an apprenticeship/traineeship training contract is in place or being negotiated, individual training plans are developed, implemented and monitored.	
	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Where training or assessment is conducted by distance or on-line, the organisation has strategies in place to support, monitor and assess learners.	
OPPORTUNITIES FOR IMPROVEMENT:					
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Refer to Technical Adviser table			
<input checked="" type="checkbox"/>	<input type="checkbox"/>	The organisation has access to adequately qualified staff for its scope of registration.			
<input checked="" type="checkbox"/>	<input type="checkbox"/>	The organisation has the appropriate facilities for its scale of operations.			
<input checked="" type="checkbox"/>	<input type="checkbox"/>	The organisation has the appropriate equipment and machinery for its scale of operations.			
<input checked="" type="checkbox"/>	<input type="checkbox"/>	The organisation has the appropriate training and assessment materials for its scale of operations.			
OPPORTUNITIES FOR IMPROVEMENT:					

9.4 The RTO must have access to the staff, facilities, equipment, training and assessment materials required to provide the training and/or assessment services within its scope of registration and scale of operations, to accommodate client numbers, client needs, delivery methods and assessment requirements (including off-campus and on-line).

OPPORTUNITIES FOR IMPROVEMENT:

C

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STANDARDS	Y	N	NA	EVIDENCE SIGHTED	STATUS
STANDARD 10 – ISSUING AQF QUALIFICATIONS AND STATEMENTS OF ATTAINMENT					
The RTO issues AQF qualifications and statements of attainment that meet the requirements of the Australian Qualifications Framework Implementation Handbook and the endorsed Training Packages and accredited courses within the scope of its registration.					
10.1 The RTO must only issue AQF qualifications and statements of attainment that are within its scope of registration and that certify the achievement of: <ul style="list-style-type: none"> i) qualifications or industry/enterprise competency standards from nationally endorsed Training Packages or ii) qualifications, competency standards or modules specified in accredited courses. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AQF qualifications and statements of attainment issued by the organisation are within its scope of registration.	C
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AQF qualifications and statements of attainment issued by the organisation certify achievement of competency standards from nationally endorsed training packages.	
	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AQF qualifications and statements of attainment issued by the organisation certify achievement of competency standards from accredited courses.	
OPPORTUNITIES FOR IMPROVEMENT:					
10.2 The RTO must issue, record and report AQF qualifications and statements of attainment that: <ul style="list-style-type: none"> i) meet the requirements in the current <i>Australian Qualifications Framework Implementation Handbook</i>, including the national codes; ii) identify the units of competency from Training Packages, or competencies or modules from accredited courses, that the client has attained iii) identify the RTO by its national provider number. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AQF qualifications and statements of attainment issued by the organisation meet the requirements of the <i>AQF Implementation Handbook</i> .	C
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AQF qualifications and statements of attainment issued by the organisation identify the competencies attained.	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AQF qualifications and statements of attainment issued by the organisation include its national provider number.	
OPPORTUNITIES FOR IMPROVEMENT:					
10.3 The RTO must note the language of delivery and assessment on AQF qualifications and statements of attainment issued if the delivery and assessment have been entirely in a language other than English ¹⁰ .	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AQF qualifications and statements of attainment issued by the organisation identify the language of delivery and assessment, where this has been carried out entirely in a language other than English.	C
	OPPORTUNITIES FOR IMPROVEMENT:				
STANDARD 11 – USE OF NATIONAL AND STATE/TERRITORY LOGOS					
The RTO complies with the requirements for the use of national and state/territory logos.					
11.1 The RTO must use the nationally recognised training (NRT) logo:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AQF qualifications and statements of attainment include the NRT logo.	C

¹⁰ For guidance on issuing a qualification when delivery and assessment have been in a language other than English, refer to the *NTOC policy on languages for delivering and assessing vocational education and training*.

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STANDARDS	Y	N	NA	EVIDENCE SIGHTED	STATUS
11.1 on AQF qualifications and statements of attainment issued within its scope of registration ii) in accordance with the Nationally Recognised Training Logo Specifications.	<input checked="" type="checkbox"/>			The Nationally Recognised Training logo appears on the student handbook which is in contravention of the Nationally Recognised Logo specifications. Refer to exceptions report for rectification requirements.	C
	OPPORTUNITIES FOR IMPROVEMENT: The Nationally Recognised Training logo appears on the student handbook which is in contravention of the Nationally Recognised Logo specifications. Refer to exceptions report for rectification requirements.				
11.2 The RTO may use the NRT logo in advertisements only where it complies with the requirements of standard 11.1(ii) and standard 12.	<input type="checkbox"/>			The NRT logo has been used in advertising in accordance with the logo specifications.	C
	OPPORTUNITIES FOR IMPROVEMENT: The NRT logo has been used in advertising in accordance with the logo specifications.				
11.3 The RTO may use the following statements in advertisements only in respect of training and/or assessment within its scope of registration: i) 'Nationally Recognised Training; and/or ii) 'registered by (the registering body) to issue the following qualifications....'	<input type="checkbox"/>			The organisation has used these statements only in reference to training and/or assessment within its scope of registration.	C
	OPPORTUNITIES FOR IMPROVEMENT: The organisation has used these statements only in reference to training and/or assessment within its scope of registration.				
11.4 The RTO must use the logo of the State/Territory registering body only in accordance with the registering body's conditions of use.				The Training and Employment Recognition Council does not have a logo for use by RTOs.	
STANDARD 12 – ETHICAL MARKETING AND ADVERTISING					
The RTO's marketing and advertising of training and assessment products and services is ethical.					
12.1 The RTO's marketing material must be accurate and approved by a duly authorised member of the RTO's staff.	<input type="checkbox"/>			Marketing material used by the organisation is accurate.	C
	<input checked="" type="checkbox"/>			The organisation has designated a staff member to authorise marketing material.	
	<input type="checkbox"/>			All marketing material has been authorised by the above person.	
OPPORTUNITIES FOR IMPROVEMENT:					
12.2 The RTO must obtain prior written permission from any person or organisation for use of any marketing or advertising material which refers to that person or organisation, and must abide by any conditions of that permission.	<input type="checkbox"/>			The organisation has obtained prior written permission from any person or organisation for use of any image or text referring to that person or organisation.	C
	OPPORTUNITIES FOR IMPROVEMENT:				
12.3 The RTO must accurately represent to prospective clients training products and	<input type="checkbox"/>			The organisation has accurately represented its training products and services.	C

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services that lead to AQF qualifications or statements of attainment, and ensure that advertised outcomes are consistent with these qualifications.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Advertised outcomes of training products and services are consistent with the qualifications or statements of attainment referred to.	
	OPPORTUNITIES FOR IMPROVEMENT:				
12.4 The RTO must advertise AQF qualifications only if they are included in the RTO's scope of registration and must not state or imply that services are within that scope of registration if they are not.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The organisation has only advertised AQF qualifications that are within its scope of registration.	C
	OPPORTUNITIES FOR IMPROVEMENT:				
12.5 The RTO's marketing and advertising material must identify training and assessment services leading to AQF qualifications and/or statements of attainment separately from any other training/assessment services.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The organisation's marketing and advertising material clearly separates training and assessment services leading to AQF qualifications or statements of attainment from other training and assessment services.	C
	OPPORTUNITIES FOR IMPROVEMENT:				
<p>OVERALL STRENGTHS: Good organisation culture of training. Good facilities and access to workplace for industry relevant and current training. Good approach to clustering or integrating units of competency which share similar themes. General Manager actively involved in training and assessment.</p>					
<p>OVERALL WEAKNESSES: Assessment tools.</p>					
<p>MINOR/ MAJOR NON-COMPLIANCES:</p> <p>Non-compliances against standard 8.1 are considered to be major non-compliances as they relate directly to the outcomes of training and assessment and in this case, relate directly to job responsibilities and roles.</p> <p>An approach to assessing in a practical sense, which simply 'cuts and pastes' performance criteria straight from the units of competency.</p>					