



Australian  
Quality  
Training  
Framework

- Standards for  
State and Territory  
Registering/Course  
Accrediting Bodies

Standards

Effective from 1 July 2005

© Australian National Training Authority, 2005

This work is copyright. Apart from any use as permitted under the *Copyright Act 1968*, no part may be produced by any process without written permission from the Australian National Training Authority.

**ISBN I 877 05793 2**

# CONTENTS

<b>Introduction</b>	<b>1</b>
The Australian Quality Training Framework	1
Purpose of this document	1
Reader's guide	1
<b>Standards for state and territory registering/course accrediting bodies</b>	<b>2</b>
<b>1</b> General	2
<b>2</b> Organisation standards for registering/course accrediting bodies	2
<b>3</b> Contracting	3
<b>4</b> Quality system	3
<b>5</b> Confidentiality	5
<b>6</b> Personnel responsible for evaluation and registration functions	5
<b>7</b> Qualifications of auditors and technical experts	6
<b>8</b> Selection and monitoring of auditors and technical experts	6
<b>9</b> Personnel responsible for course accreditation functions	6
<b>10</b> Commitment to comply	6
<b>11</b> Appeals, complaints and disputes	7
<b>12</b> Consultation where cancellation of registration proposed	7
<b>Standards for undertaking registration functions</b>	<b>8</b>
<b>13</b> Information about registration for training organisations	8
<b>14</b> Application for registration or renewal of registration	8
<b>15</b> National register	9
<b>Standards for undertaking audit and evaluation functions</b>	<b>11</b>
<b>16</b> Audit	11
<b>17</b> Preparation for audit	12
<b>18</b> Selection of an audit team	12
<b>19</b> Information about audits for training organisations	13
<b>20</b> Briefing of audit teams	13
<b>21</b> Conduct of audit	13
<b>22</b> Multi-site sampling	14
<b>23</b> Completing the audit and reporting evaluation outcomes	15
<b>24</b> Evaluation and registration decisions	15
<b>25</b> Use of logos and references to registration	16
<b>Standards for undertaking course accreditation functions</b>	<b>17</b>
<b>26</b> Recognition of AQF qualifications and statements of attainment	17
<b>27</b> Establishing the need for courses	17
<b>28</b> Course design criteria	18
<b>Definitions</b>	<b>19</b>
<b>Index</b>	<b>22</b>

# INTRODUCTION

## The Australian Quality Training Framework

### AQTF

The Australian Quality Training Framework (AQTF) was developed by the National Training Quality Council (NTQC) of the Australian National Training Authority (ANTA) board in conjunction with states and territories, the Australian Government and industry and endorsed by the ANTA ministerial council on 8 June 2001.

The key objective of the AQTF is to provide the basis for a nationally consistent, high quality vocational education and training (VET) system.

There are two sets of standards under the AQTF:

1. *Standards for Registered Training Organisations*
2. *Standards for State and Territory Registering/Course Accrediting Bodies.*

During 2004, the standards were reviewed as part of a commitment to continual improvement. The review focussed on fine-tuning and clarification of wording. The changes to the standards were approved by the ANTA ministerial council in December 2004.

These revised standards will be fully implemented from 1 July 2005.

## Purpose of this document

### Purpose

This document provides the standards that state and territory registering/course accrediting bodies must follow (subject to any legislative constraints) for:

- evaluation of training organisations to ensure they meet, and continue to meet, the *Standards for Registered Training Organisations*
- registration of training organisations
- accreditation of courses
- national recognition.

## Reader's guide

### Guide

These standards are subject to the statutory provisions of the various states and territories and cannot be interpreted to confer additional powers on registering/course accrediting bodies, state and territory departments of VET or registered training organisations (RTOs).

# STANDARDS FOR STATE AND TERRITORY REGISTERING/COURSE ACCREDITING BODIES

## 1 General

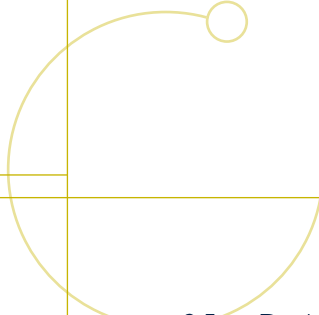
- 1.1 The registering/course accrediting body must be responsible for all its registration and course accreditation decisions. The registering/course accrediting body may be a registering body, a course accrediting body or both.
- 1.2 These standards and the *Standards for Registered Training Organisations* apply nationally. The registering/course accrediting body must recognise and accept the decisions of all other state and territory registering/course accrediting bodies in the registration of training organisations, application of sanctions, accreditation of courses and recognition of Australian Qualifications Framework (AQF) qualifications and statements of attainment.
- 1.3 The text of any explanatory material issued by the registering/course accrediting body on the intent or application of these standards or the standards for registered training organisations must be consistent with both sets of standards and made available to all other states and territories.
- 1.4 The registering/course accrediting body must arrange for the provision of independent advice to the National Training Quality Council (NTQC) on state/territory registration, audit and related processes to assist the Council in its role of providing advice to the ANTA board on the operation of the AQTF.

one

## 2 Organisation standards for registering/course accrediting bodies

- 2.1 The registering/course accrediting body must have appropriate authority to engage in registration/course accreditation processes.
- 2.2 Where registration and/or course accreditation functions are carried out under a delegation to a body or an individual:
  - a all requirements set out by the registering/course accrediting body for the exercise of the delegation must be satisfied
  - b appropriate authorisation for the exercise of the delegation must be given
  - c processes must be in place to ensure that the delegated power is properly exercised by the delegate (that is, as if exercised by the registering/course accrediting body)
  - d processes must be in place to withdraw the delegation if the delegated power is not properly exercised
  - e the delegate must be aware that these standards apply to the delegate in the exercise of delegated functions.
- 2.3 Parties with a significant interest in the policies, procedures and the functioning of the registration/course accreditation system must have a reasonable opportunity to provide input into the development and review of policies and procedures relating to the system.
- 2.4 Formal rules and structures must be established for the appointment and operation of any committees involved in the registration/course accreditation processes.

two

- 
- 2.5 Decisions on registration and course accreditation must be impartial. The registering/course accrediting body must ensure there are procedures to manage conflict of interest in registration and course accreditation processes to ensure that any commercial, financial or other conflicts of interest do not influence, or could be perceived to influence, the processes.
- 2.6 An auditor can carry out the following activities on behalf of the registering body without them being considered a potential conflict of interest:
- a** arranging and conducting training courses that relate to the AQTF or auditing, provided that the auditor imparts only generic information and advice which is freely available in the public domain
  - b** making available, or providing on request, information on the interpretation of the AQTF
  - c** conducting audits in accordance with standards other than the *Standards for Registered Training Organisations* and/or
  - d** adding value during an audit – for example, by identifying opportunities for improvement as they become evident during the audit (however an auditor must not recommend specific solutions to a problem identified during the audit).
- 2.7 The registering/course accrediting body must ensure no suggestion is made to a training organisation, person or body that registration or course accreditation would be simpler, easier or less expensive if any specific consultancy services were used by the training organisation, person or body.

• • • •

### 3 Contracting

three

- 3.1 Where duties or functions are contracted to an external body or person, the registering/course accrediting body must ensure a written agreement, covering the arrangements and including provisions about confidentiality and conflict of interest, is prepared and signed.
- 3.2 Where an audit is contracted to an external body or person, the registering body must be responsible for the quality of the audit, ensure the audit report is received and acted upon and make the registration decisions.

• •

### 4 Quality system

four

- 4.1 With respect to registration/course accreditation functions, the registering/course accrediting body must ensure there is a defined and documented quality system appropriate to the type, range and volume of work performed.
- 4.2 The quality system documentation must include:
- a** objectives and commitment to quality
  - b** mechanisms to ensure the system is understood, implemented and maintained by the personnel responsible for carrying out registration/course accreditation functions.

- 4.3 As a minimum, the quality system must contain the following:
- a** an organisational chart showing lines of authority, responsibility and allocation of key functions and, with respect to registering bodies, the relationship between those responsible for audit, evaluation and registration decisions
  - b** a description of the organisation of the registering/course accrediting body and any related committees, detailing key operational functions and ensuring the responsibilities of key positions are clear
  - c** policy and procedures for:
    - i determining the suitability, adequacy and effectiveness of the organisation in meeting the objectives of the AQTF
    - ii implementing registration and course accreditation functions
    - iii dealing with appeals, complaints and disputes relating to decisions of the registering/course accrediting body in accordance with relevant legislation/administrative procedures
  - d** procedures for:
    - i handling internal non-compliance with policies and procedures and for assuring the effectiveness of any corrective actions taken
    - ii conducting internal audits <sup>1</sup>
    - iii assessing, recording and monitoring the competence of contractors.
- 4.4 The registering/course accrediting body must ensure there are internal audits of the areas responsible for registration and course accreditation functions. These must be conducted at least annually with all procedures to be audited at least once during each three-year cycle, based on a risk management approach. The internal audit must verify that the quality system is implemented and is effective in ensuring that:
- a** personnel responsible for each relevant area are informed of the outcome of any previous internal audit
  - b** corrective action for any non-compliance with established policies and procedures is taken in a timely and appropriate manner
  - c** the results of the audits are recorded.
- 4.5 The registering/course accrediting body must ensure:
- a** the quality system is reviewed at defined intervals to ensure its continuing suitability and effectiveness
  - b** a process of continuous improvement is adopted
  - c** records are kept of the processes and outcomes.
- 4.6 The registering/course accrediting body must ensure there are documents, updated at regular intervals and publicly available (through publications, electronic media or other means), that cover:
- a** information about the legislative or other authority under which the registration/course accreditation processes operate

<sup>1</sup> Guidance on internal auditing may be found in: *Guidelines for quality and/or environmental management systems auditing* (AS/NZS ISO 19011:2003), Standards Australia, NSW.

- b** a description of:
    - i the registration system and rules and procedures for granting, maintaining, reducing, suspending, amending, cancelling and renewing registration, extending or reducing scope of registration, placing conditions on registration and imposing sanctions
    - ii the course accreditation system and the rules and procedures for granting and cancelling accreditation of a course
  - c** information about fees for registration/course accreditation
  - d** information on the procedures for lodging complaints, appeals and disputes.
- 4.7 The registering/course accrediting body must ensure procedures for document and version control are established and maintained, including review and approval by appropriately authorised personnel.
- 4.8 The registering/course accrediting body must ensure that a record system that complies with statutory requirements is used and demonstrates that all registration or accreditation related procedures have been fulfilled.

## 5 Confidentiality

- 5.1 The registering/course accrediting body must ensure there are adequate arrangements, consistent with statutory requirements, to safeguard confidential information obtained in the course of registration and course accreditation related functions.
- 5.2 The requirement as to confidentiality must include anyone who might gain access to registration or accreditation related information, including contracted personnel.

## 6 Personnel responsible for evaluation and registration functions

- 6.1 The registering body must ensure there are sufficient personnel (whether they are members of the registering body, employees of the registering body or the state or territory department responsible for VET, or personnel engaged on contract or provided by external bodies) who are competent to:
- a** select and verify the competence of auditors
  - b** brief auditors and arrange any necessary training
  - c** carry out evaluation activities
  - d** make registration decisions
  - e** establish and monitor processes to ensure consistency in the work of auditors
  - f** establish and operate the appeals, complaints and disputes procedures.
- 6.2 Whether personnel are members of the registering body, employees of the registering body or the state or territory department responsible for VET or personnel engaged on contract or provided by external bodies, the registering body must ensure there are:
- a** current records of their qualifications, training and experience
  - b** documents provided to them setting out their duties and responsibilities
  - c** records of regular reviews of their performance and suitability.

## 7 Qualifications of auditors and technical experts

- 7.1 Auditors must meet the requirements of AS/NZS ISO 19011:2003<sup>2</sup>.
- 7.2 Any technical expert (such as an industry representative) involved in an audit is not required to comply with the requirements for auditors covered in AS/NZS ISO 19011:2003, but guidance on their personal attributes may be obtained from AS/NZS ISO 19011:2003.

seven

## 8 Selection and monitoring of auditors and technical experts

- 8.1 The registering body must ensure there are procedures for:
- a selecting auditors (whether they are employees of the registering body or the state or territory department responsible for VET or personnel engaged on contract or provided by external bodies) and technical experts (if used) on the basis of their verified competence, training, qualifications and experience
  - b initially assessing the conduct of auditors and technical experts during audits
  - c monitoring the performance of auditors and technical experts (including witnessing their activities on-site).

eight

## 9 Personnel responsible for course accreditation functions

- 9.1 The course accrediting body must ensure there are sufficient personnel (whether they are members of the course accrediting body, employees of the course accrediting body or the state or territory department responsible for VET or personnel engaged on contract or provided by external bodies) who are competent to:
- a make accreditation decisions
  - b establish and operate the appeals, complaints and disputes procedures.
- 9.2 Whether personnel are members of the course accrediting body, employees of the course accrediting body or the state or territory department responsible for VET or personnel engaged on contract or provided by external bodies, the course accrediting body must ensure there are:
- a current records of their qualifications, training and experience
  - b documents provided to them setting out their duties and responsibilities
  - c records of regular reviews of their performance and suitability.

nine

## 10 Commitment to comply

- 10.1 The registering body must ensure that non-public service personnel involved in audits, including any contracted personnel, sign an agreement to comply with the rules covering the audit of training organisations. This must include the rules relating to confidentiality, independence from commercial and other interests, and must involve declaration of any prior or present association with the training organisation to be audited.

ten

<sup>2</sup> Guidelines for quality and/or environmental management systems auditing (AS/NZS ISO 19011:2003), Standards Australia, NSW.

- 10.2 The registering body must ensure there are procedures to ensure that public servants understand and acknowledge their obligations in terms of confidentiality, independence from commercial and other interests, and any prior or present association with the training organisation to be audited.

## 11 Appeals, complaints and disputes

- 11.1 The registering/course accrediting body must ensure that appeals, complaints and disputes are dealt with in compliance with the relevant legislation and the *National Complaints Code*.
- 11.2 The registering/course accrediting body must ensure that:
- a accurate records are kept of all complaints or disputes and the actions taken in response to them
  - b all complaints and disputes are dealt with as soon as practicable in a constructive and impartial manner
  - c responses are in writing
  - d the effectiveness of any action taken in response to a complaint or dispute is assessed and further action taken as appropriate
  - e when any deficiency in the registration or course accreditation procedures is identified:
    - i appropriate corrective action is taken
    - ii measures to prevent future deficiencies of that kind are implemented.
- 11.3 Where a complaint in relation to an RTO is made to a state or territory registering body, other than that which registered it, the body to which the complaint is made must advise the latter body of the complaint.
- 11.4 The relevant registering bodies should consult on responsibilities for investigating the complaint. In the normal course of events, it is the responsibility of the state or territory registering body that registered the training organisation to take action in consultation with affected states and territories.

## 12 Consultation where cancellation of registration proposed

- 12.1 Where pursuant to legislation dealing with the registration of RTOs, a registering body proposes to cancel the registration of an RTO it has registered which conducts some part of its business in more than one state or territory, the registering body must consult with the registering body in each state or territory in which the RTO conducts some part of its business.
- 12.2 A registering body must not cancel the registration of an RTO unless the consultation process described in standard 12.1 has been completed.

# STANDARDS FOR UNDERTAKING REGISTRATION FUNCTIONS

## 13 Information about registration for training organisations

- 13.1 The registering body must ensure applicants for registration are provided with notice about the:
- a procedures for audit, evaluation and registration
  - b applicable fees
  - c mechanisms for appeals, complaints and disputes
  - d obligations of training organisations for compliance with the *Standards for Registered Training Organisations*.

thirteen

## 14 Application for registration or renewal of registration

- 14.1 The registering body must not register a legal entity that is registered as an RTO by another registering body.
- 14.2 The registering body may accept an application from a training organisation only if the training organisation has its head office, or intends to conduct most of its training and/or assessment, in the state or territory of that registering body.
- 14.3 The registering body must consider an application for registration only if the training organisation has submitted an official application in a form that contains at least the following information:
- a details of the training organisation, including:
    - i legal name and status of the organisation (for example company or individual)
    - ii trading name of the organisation and whether it is a registered trading name
    - iii an Australian business number (ABN), if the organisation has one
    - iv names of directors, owners, partners, chief executives, managers (as appropriate)
    - v contact details of the head office (street and postal address, e-mail, telephone, facsimile, website etc)
  - b the scope of registration sought
  - c the name of a person authorised to act on behalf of the training organisation who will be the contact point and decision-maker for matters relating to its registration
  - d a statement on:
    - i whether the training organisation or any related body<sup>3</sup> has an application for registration as an RTO with any other registering body
    - ii whether the training organisation or any related body has previously been an RTO (and, if so, the training organisation is required to give information naming the registering body, dates of the registration, reasons for ending registration and whether any sanctions are outstanding)
    - iii whether the training organisation or any related body has previously been refused registration as an RTO by any registering body (and, if so, the training organisation is required to give information naming the registering body and reasons for refusal)

fourteen

<sup>3</sup> 'Related body' means one which is linked to the applicant by common ownership or directors, common name, contractual arrangement, informal understanding or other means such that the related body has a vested interest in the services provided or has a potential ability to influence the provision of services.

- e an undertaking from the chief executive that after registration, the RTO will:
  - i comply with the *Standards for Registered Training Organisations*
  - ii only claim that it is registered with respect to those activities that are within its scope of registration
  - iii not use its registration or registration documents in a misleading manner or any way that could bring the state or territory registering body or the AQTF into disrepute
  - iv not make any misleading statement regarding its registration
  - v upon ceasing to be an RTO (in whatever circumstances), not use any public material that refers to its registration and that it will transfer any registration documents as required by the registering body and inform that body of the location of archived records
  - vi if required, participate in NTQC initiated national strategic evaluations as part of the continuous improvement cycle of the national training framework (NTF)
  - vii if required, participate in strategic industry audits initiated by the state or territory registering body
  - viii participate in audits, including provision for examining documentation and reasonable access to all areas, records (including internal audit reports) and staff as required by the registering body.

14.4 The registering body may approve and charge fees for recognition services including application, registration or renewal of registration, and any such fees must apply to all the training organisations that apply for registration or are registered by it.

## 15 National register

- 15.1 Where the registering body registers a training organisation, it must ensure that the following details are entered onto the National Training Information Service (NTIS):
- a individual or company and trading names and legal status exactly as shown in the registration and, where applicable, the ABN
  - b head office contact details (street and postal address, e-mail, telephone, facsimile, website etc)
  - c name, position or title, telephone and facsimile numbers (and address, if different from above) of a person authorised to speak on behalf of the RTO for day-to-day dealings
  - d scope of registration (titles of qualifications in Training Packages, accredited courses or units of competency as applicable, together with national codes and accreditation expiry dates and whether the RTO is an assessment-only RTO or an RTO providing assessment and delivery services)
  - e assigned national provider code
  - f registering body that registered the RTO
  - g date of initial AQTF audit for registration
  - h date(s) any other AQTF audits
  - i registration expiry date
  - j conditions on the registration of an RTO.

- 
- 15.2 Where the registering body extends or reduces scope of registration, or suspends, amends, cancels, renews or places conditions on that registration, it must ensure the details on the NTIS are amended. Where the RTO operates in a state or territory other than that which registered it, the registering body must advise the other registering bodies in writing of any amendments to the NTIS. Where an RTO is operating in a state or territory other than that which registered it and the local registering body places a restriction on its operation in that state or territory, the registering body must include the details of the restriction on the NTIS when advised in writing by the local registering body.
- 15.3 The registering body that registers a training organisation which commences operations in another state or territory must, within 21 calendar days of the advice of commencement, or advice that the RTO is no longer operating outside the state or territory of registration, advise the other registering body in writing and enter the relevant information on the NTIS.
- 15.4 Where a course accrediting body accredits a course, it must ensure the following details (as applicable) are entered onto the NTIS:
- a** full course title and assigned national code
  - b** course accrediting body which accredited the course
  - c** accreditation dates
  - d** course contact organisation details
  - e** copyright category and contact
  - f** field of education link
  - g** relationship to endorsed national industry/enterprise competency standards (if applicable)
  - h** occupation link (Australian Standard Classification of Occupations (ASCO) – optional)
  - i** industry skills councils (optional).

# STANDARDS FOR UNDERTAKING AUDIT AND EVALUATION FUNCTIONS

## sixteen

### 16 Audit

- 16.1 The registering body must ensure that all training organisations that apply to be registered, and all RTOs that it has registered, are audited for compliance with the *Standards for Registered Training Organisations*, with the exception of standard 2.1 which requires compliance with relevant Commonwealth and state or territory legislation. (Audit for compliance with legislation is subject to separate arrangements by other authorities.) However, if the registering body receives information that the RTO is non-compliant with standard 2.1, it may impose a sanction or refuse registration of a training organisation.
- 16.2 The registering body must adopt a nationally consistent approach to the targeting and frequency of audits, based on a fully developed risk management approach and which includes:
- a** an on-site audit<sup>4</sup> preceding the initial registration of a training organisation
  - b** an audit at least within 12 months of the RTO's initial registration
  - c** audits for targeted RTOs within the registration period, undertaken in response to identified risk factors or as part of a program of strategic industry audits, or in response to complaints
  - d** an on-site audit of the RTO prior to renewal of its registration (refer also to standard 16.8).
- 16.3 Continuing registration must be conditional upon continuing compliance with the *Standards for Registered Training Organisations*. Audits are conducted to confirm that the RTO continues to comply with the *Standards for Registered Training Organisations*.
- 16.4 Audits of an RTO subsequent to the audit for the initial registration must include analysis of the:
- a** handling and outcome of any client complaints, appeals and disputes
  - b** progress of the RTO's continuous improvement activities
  - c** results of internal audits
  - d** continuing effectiveness of any action taken on any non-compliance identified during the previous audit
  - e** implications of any major changes to the RTO to ensure that relevant policies and procedures have been updated and implemented.
- 16.5 Where non-compliance with the *Standards for Registered Training Organisations* is established, the RTO must be required to correct it within a timeframe agreed with the registering body. If correction is not made within the agreed timeframe, sanctions may be imposed consistent with these standards.
- 16.6 The time allowed to implement corrective action for non-compliance with the *Standards for Registered Training Organisations* must be appropriate to the severity of the non-compliance and the risks associated with it, including any risks posed by that RTO's past performance.
- 16.7 Where strategic industry audits of RTOs are conducted at state or territory level, relevant industry/enterprise representatives must be involved.

<sup>4</sup> In the case of multi-site training organisations, refer to standard 22 regarding sampling arrangements.

- 16.8 Where an RTO applies to renew its registration, an audit must be conducted to verify continuing compliance within the scope of registration across all the RTO's operations, including types of delivery and assessment (such as on-line, workplace based, off-campus). The extent of this audit may be determined in light of prior verification of compliance through strategic industry audits, and/or treatment of risks identified through the risk management approach, provided that such verification of compliance has been within the 12 month period prior to renewal of registration. The reasons for using the approach taken must be documented.
- 16.9 Where an RTO operates in more than one state or territory, the state or territory registering body that registered it should come to working arrangements with other state and territory registering bodies to audit the RTO. This may involve the audit being undertaken by a state or territory registering body other than the one that registered the training organisation.

## 17 Preparation for audit

- 17.1 Before conducting an audit for initial or renewal of registration, or extension of scope of registration, the registering body must ensure the training organisation's application is reviewed to make sure the:
- a application requirements have been completed
  - b audit can be conducted with respect to the scope of the registration sought or held, the location of the applicant's operations and any special requirements.

## 18 Selection of an audit team

- 18.1 The registering body must ensure that for each audit, an audit team<sup>5</sup> with the appropriate skills to conduct the audit is appointed.
- 18.2 As a minimum, the audit team must:
- a have thorough knowledge of the *Standards for Registered Training Organisations*, registration procedures and other relevant policies and procedures
  - b have thorough knowledge of the relevant audit methods and audit documents
  - c have appropriate knowledge of training and assessment methodologies (technical experts who are not auditors may fulfil all or some of these functions)
  - d have, or have access to, the skills and knowledge necessary to audit the training organisation's provision of services across its scope, or proposed scope of registration
  - e be able to read and communicate effectively in the required language(s) where the audit involves a language other than English, or have others provide this service
  - f have thorough knowledge of the audit requirements where audits for AQTF compliance are combined with audits for other purposes (such as audits of government funded training programs)
  - g have access to industry advice as appropriate, based on a risk management approach.

<sup>5</sup> An 'audit team' may comprise one or more auditors and may also include technical experts.

- 18.3 Where no statutory procedures for dealing with conflict of interest exist, auditors must be required to inform the registering body, prior to the commencement of any audit, of any existing, former or envisaged association between themselves or their organisation and the training organisation to be audited.
- 18.4 Where the training organisation advises that a proposed auditor has a potential conflict of interest, the registering body must ensure that:
- a the proposed auditor is advised of the action to be taken to resolve the conflict of interest, and any conflict of interest is resolved prior to participation in the audit or
  - b the proposed auditor is disqualified from participating in that particular audit.

## 19 Information about audits for training organisations

- 19.1 Prior to audit, the registering body must ensure the training organisation is provided with:
- a a notice setting out the evaluation processes including the audit methodology
  - b a notice setting out the obligations of the training organisation under the AQTF in relation to compliance with the *Standards for Registered Training Organisations* and participation in audit and evaluation
  - c information about the multi-site sampling procedures (and the training organisation must be required to provide sufficient information about its sites and types of operation to determine whether a multi-site sampling approach is appropriate)
  - d the names of members of the audit team with sufficient notice, so that the training organisation can notify the registering body of any potential conflict of interest
  - e the plan for, scope of registration and date of the audit (and if the training organisation has difficulty with the proposed date of audit, an alternative date, within 14 calendar days of the proposed date, may be negotiated with the audit team).

## 20 Briefing of audit teams

- 20.1 The registering body must ensure the audit team is provided with:
- a current procedures and required documents for the audit
  - b all relevant information on registration
  - c all relevant information on the training organisation that is subject to audit, including, if appropriate, information on previous audits and follow-up activities and any complaints.

## 21 Conduct of audit

- 21.1 The audit team must audit the training organisation for compliance with the *Standards for Registered Training Organisations* with the exception of standard 2.1.
- 21.2 Auditors must be allocated sufficient time to enable verification of compliance with the *Standards for Registered Training Organisations*. The time allocated must be based on factors such as the organisation's size and types of operations and the scope of registration, or

intended scope of registration, and must allow for documenting the audit process and findings (which may be used in the event of an appeal or in planning the next audit).

- 21.3 Auditors must audit implementation of the *Standards for Registered Training Organisations* and related outcomes<sup>6</sup>. In addition to testing systems and documentation, auditors may also:
- a** identify and interview a sample of current and/or past students
  - b** interview employers or other clients
  - c** seek feedback from relevant industry and/or community representatives
  - d** review student outcomes data.
- 21.4 Interviews, if held, can be conducted by telephone or other media having due regard to cultural, social and other sensitivities and privacy considerations. Confidentiality of personal information must be maintained and the purpose of any questions must be explained.

## 22 Multi-site sampling

- 22.1 For multi-site training organisations the registering body must ensure procedures are established and implemented for determining the sample of sites to be audited. The sample may also include types of RTO operations (such as on-line delivery and assessment, workplace delivery and assessment and flexible learning approaches).
- 22.2 The head office of the training organisation would usually be included in the audit sample.
- 22.3 Where an RTO delivers training and/or assessment outside the state or territory of registration, all locations must be considered in determining the audit sample.
- 22.4 In determining the audit sample, the registering body must use a process of risk identification and analysis, in line with the nationally agreed risk management approach.
- 22.5 The risk management approach to site selection may include considering:
- a** results and coverage of previous audits
  - b** records of complaints
  - c** significant variations in the size of sites
  - d** variations in the delivery and assessment activities of sites
  - e** variations in the Training Packages and/or industry areas covered at different sites
  - f** modifications since the last audit, including any changes to the scope of registration
  - g** geographical dispersion
  - h** various modes of training delivery and/or assessment
  - i** the RTO's past performance
  - j** any other risks identified in the nationally agreed risk management approach.
- 22.6 The selection of sites or types of operations to be included in an audit does not necessarily have to be finalised before the audit. It can be done once an audit has commenced, for example after an audit at the head office has been completed. In any case, the training organisation's management must be informed of the sites and types of operation to be part of the sample before such sites and operations are audited. This can be on relatively short notice, but must allow the training organisation adequate time for preparation for the audit.

<sup>6</sup> For new applicants for registration, an audit of outcomes may not be feasible because training may not have commenced. Outcomes for newly registered training organisations must be verified at the audit within 12 months of registration.

- 22.7 Where an RTO operates only or mainly using short-term venues, workplaces and/or on-line delivery and assessment, auditing of a sample of those operations should be conducted to confirm compliance across all operations.
- 22.8 The auditing of short term, workplace or on-line operations may be conducted by a variety of means, including visits to sites, telephone interviews or surveys of selected staff, learners and/or other clients such as employers. Preferably, a mix of methodologies should be used, consistent with obtaining sufficient information to enable a judgement about whether the training organisation complies with the *Standards for Registered Training Organisations* and maintains the required outcomes across all its operations. Where such auditing is not on the RTO's premises, due regard must be given to cultural, social and other sensitivities and privacy considerations.
- 22.9 If more than one audit team is involved in the audit of a number of sites or types of operations, an audit leader must be designated who is responsible for consolidating the findings from all the audit teams and producing a synthesised report.

### 23 Completing the audit and reporting evaluation outcomes

- 23.1 On concluding the audit, a meeting must take place between the audit team and the training organisation's management so that the audit team can give written or oral feedback on the preliminary findings of the audit. This provides the training organisation's management with an opportunity to ask questions about the audit and/or provide more information if required.
- 23.2 After the audit is completed, a written report must be provided to the training organisation, including:
  - a the date(s) of the audit(s)
  - b the name of the person responsible for the report
  - c the addresses of all sites and details of the types of operations audited
  - d the scope of registration
  - e comments on the compliance of the training organisation with the *Standards for Registered Training Organisations*, including clear descriptions of any non-compliance
  - f a summary of the most important observations, positive as well as negative, and the strengths and weaknesses of the training organisation
  - g the conclusions reached by the registering body, including any strategies and timelines for corrections of non-compliance.
- 23.3 If the audit is combined with an audit for another purpose (such as audits of government funded training programs) the report relative to the AQTF component must clearly identify those aspects that indicate compliance with the *Standards for Registered Training Organisations*.

### 24 Evaluation and registration decisions

- 24.1 The decision whether or not to register a training organisation must include consideration of the information gathered during the evaluation process.
- 24.2 A person who has participated in an audit of a training organisation must not make, or participate in the making of the decision whether or not to register that training organisation.

- 24.3 Registration must not be granted until any material non-compliance with each of the standards for registered training organisations has been rectified. Where non-compliance is found, a strategy and timeframe must be agreed for any corrective action. The strategy and timeframe must be appropriate to the degree of risk. The training organisation must be informed of the need for a full or partial re-audit, or whether a written declaration that corrective action is complete will be adequate.<sup>7</sup>
- 24.4 Where registration is granted, the registering body must ensure the RTO is provided with a registration document such as a letter or a certificate that must include the:
- a RTO's legal status, company and trading name(s), head office address and national provider number
  - b scope of the registration granted
  - c effective date of registration and the term for which the registration is valid.
- 24.5 On granting or amending registration, the registering body must ensure details of the RTO are entered onto the NTIS in line with standards 15.1 and 15.2.
- 24.6 Any application for extension to the scope of registration must be evaluated against the *Standards for Registered Training Organisations*. Where the extension of scope of registration is minimal (for example, adding one or two units of competency or a lower qualification in an industry area already on the scope of registration), this may be a desk-based process.
- 24.7 Any extension granted to the scope of registration must not extend the term of registration.
- 24.8 Where an RTO is required to undertake actions to correct non-compliance identified during an audit, the registering body must not approve an extension to the scope of registration of the RTO until the corrective action is completed.
- 24.9 Where an RTO seeks to change its registration to another state or territory registering body (for example due to a change of head office location), it must advise the registering body that registered it. That registering body will, in the first instance, inform the other registering body about the RTO's intent to seek a change of registering body. Both registering bodies must co-operate to ensure that the organisation is registered with only one of them at any time (that is, one registering body must cancel registration at the same time as another grants it).

## 25 Use of logos and references to registration

- 25.1 The registering body must ensure the nationally recognised training (NRT) logo is included on all RTO registration documents (refer to standard 24.4).
- 25.2 The registering body must ensure there is proper control over ownership, use and display of any registration marks and logos and suitable action must be taken to deal with incorrect references to registration or any misleading use of logos, for example in advertisements and publications.

<sup>7</sup>This standard should be read in conjunction with standard 21.3 in relation to audit of outcomes.

# STANDARDS FOR UNDERTAKING COURSE ACCREDITATION FUNCTIONS

**Note:** These standards should be read in conjunction with the *Guidelines for Course Developers*.

## 26 Recognition of AQF qualifications and statements of attainment

- 26.1 The registering/course accrediting body must recognise the endorsement of Training Packages as recorded on the NTIS.
- 26.2 The course accrediting body must recognise the decisions of other course accrediting bodies in relation to the accreditation of courses as recorded on the NTIS. This ensures the national recognition throughout Australia of the AQF qualifications and statements of attainment issued by RTOs.

## 27 Establishing the need for courses

- 27.1 The course accrediting body must ensure processes are established and implemented to ensure that the need for a course has been clearly established by its proponent. In particular, the course accrediting body must ensure the courses it accredits:
- a** are based on a clearly established industry, industry sector, enterprise and/or community need (informed by processes such as consultation with key stakeholders including Training Package developers, review of relevant Training Packages and accredited courses, analysis and evaluation of data collected)
  - b** do not duplicate, by titles or coverage, AQF qualifications and outcomes of endorsed Training Packages. Courses must not be accredited where the:
    - i outcomes can be achieved through the customisation/contextualisation of a Training Package in accordance with its packaging rules and customisation advice
    - ii course is a sub-set of a Training Package qualification(s) that could be recognised through one or more statements of attainment
    - iii course includes competencies additional to those in a Training Package qualification that could be recognised through one or more statements of attainment, in addition to the AQF qualification or
    - iv course is made up of modules that ultimately achieve the competencies of a Training Package qualification.
- 27.2 Courses that are made up of units of competency from one or more Training Packages must not be accredited unless:
- a** there is clear evidence that the qualification meets an identified industry, enterprise and/or community need
  - b** it is consistent with an AQF descriptor
  - c** the NTQC policy and guidelines on Training Package qualifications are followed
  - d** the Training Package customisation/contextualisation and packaging guidance and NTQC's *Guidelines for Customisation of Accredited Courses under the AQTF*<sup>8</sup> are demonstrably not an alternative to course accreditation
  - e** in the case of a course drawn from units of competency from one Training Package, the accrediting body is satisfied with, and prepared to forward to the Training Package developer as soon as possible:
    - i a proposal for incorporation of the new qualification into the Training Package
    - ii the expiration date for that accredited qualification.

## 28 Course design criteria

- 28.1 The course accrediting body must ensure policies and procedures are established and implemented to ensure that prospective course proponents are aware of the following criteria, and that all the courses it accredits meet the following criteria:
- a** units of competency – the course must be based on nationally endorsed units of competency where available. Where these are not available, it must be based on competency standards developed in accordance with the current *Training Package Development Handbook* (including key competencies) and in consultation with, and validated by, appropriate industry, enterprise, community and/or professional groups (the only exception to this is where the proponent can establish to the satisfaction of the course accrediting body that it is not possible to develop appropriate competency standards, for example in some general education areas)
  - b** assessment – the course must contain performance criteria against which assessment will be made, and assessment requirements must be consistent with those outlined in the *Standards for Registered Training Organisations* (standards 7.3 and 8). Additionally, where accredited courses are developed using units of competency from two or more Training Packages, the assessment method must be consistent with the Training Package assessment guidelines. Where sets of endorsed industry competency standards are used, the assessment method must be consistent with the requirements of the industry competency standards
  - c** AQF qualifications – the course must meet the qualification requirements of the AQF, as set out in the *Australian Qualifications Framework Implementation Handbook*
  - d** access and pathways – the course must contain no implicit limitations to access and pathways based on age, gender, employment, cultural, social or educational background. Where there are any explicit limitations to access and pathways, the course proponent must justify these
  - e** flexible learning – the course must contain no implicit limitations to delivery and assessment modes. Where there are any explicit limitations to modes of delivery and assessment, the course proponent must justify these
  - f** articulation and credit transfer – the course must provide, where appropriate, information on its relationship to relevant Training Packages and/or other relevant courses with AQF qualification outcomes
  - g** customisation/contextualisation – the course must comply with NTQC's *Guidelines for the Customisation of Accredited Courses under the AQTF* and, where applicable, Training Package rules regarding customisation/contextualisation
  - h** ongoing monitoring and evaluation – the course must identify course monitoring and evaluation processes.
- 28.2 Where course accreditation is granted, the course accrediting body must ensure the course proponent is provided with an accreditation document such as a letter or a certificate that must include the:
- a** title and national code for the accredited course
  - b** start and end date of the accreditation.

## DEFINITIONS

Where words and/or phrases used in these standards are inconsistent with the same words and/or phrases when used in state or territory legislation implementing the model clauses, the state or territory legislation prevails to the extent of the inconsistency.

In these standards:

**Access and equity** means the policies and approaches to ensure VET is responsive to the diverse needs of individual clients, including people who face barriers due to age, gender, cultural difference, disability, language, literacy and numeracy, unemployment, imprisonment or isolation and any other clients who are experiencing barriers in relation to access, participation and outcomes.

**Accreditation** means the formal recognition of a course by the state or territory course accrediting body in line with the *Standards for State and Territory Registering/Course Accrediting Bodies*.

**Accredited course** means a structured sequence of VET that has been accredited by a state or territory course accrediting body and leads to an AQF qualification or statement of attainment.

**Apprenticeship/traineeship training contract** means a contract for an apprenticeship/traineeship, made between an employer and an apprentice/trainee, which is registered with the appropriate state/territory government department or agency as may be required by state/territory legislation.

**Articulation** means the formal linkages between different levels of credentials, or credentials in different fields, or between different levels or fields of training, including enterprise and industry based training.

**Assessment** means the process of collecting evidence and making judgements on whether competency has been achieved to confirm an individual can perform to the standard expected in the workplace, as expressed in the relevant endorsed industry/enterprise competency standards or the learning outcomes of an accredited course.

**Assessment guidelines** means an endorsed component of a Training Package which underpins assessment and which sets out the industry approach to valid, reliable, flexible and fair assessment.

**Audit** means a systematic, independent and documented process for obtaining evidence to determine whether the activities and related outcomes of a training organisation comply, or continue to comply, with the *Standards for Registered Training Organisations*.

**Australian National Training Authority (ANTA)** means the authority established under subsection 5 (1) of the *Australian National Training Authority Act 1992* of the Commonwealth of Australia.

**Australian Qualifications Framework (AQF)** means the policy framework that defines all qualifications recognised nationally in post-compulsory education and training within Australia. The AQF comprises titles and guidelines which define each qualification, together with principles and protocols covering cross-sectoral qualification linkages and issuance of qualifications and statements of attainment.

**Australian Quality Training Framework (AQTF)** means the nationally agreed quality arrangements for the VET system agreed to by the ANTA ministerial council.

**Chief executive** means the most senior executive of the RTO.

**Client** means learner, enterprise or organisation which uses or purchases the services provided by an RTO.

**Course accrediting body** – see state or territory course accrediting body.

**Credit transfer** means the assessment of the initial course or subject that the individual is using to claim access to, or the award of credit in, the destination course to determine the extent to which it is equivalent to the required learning outcomes, competency outcomes, or standards in a qualification. This may include credit transfer based on formal learning that is outside the AQF framework.

**Endorsement** means the formal process of recognition of Training Packages undertaken by the NTQC.

**Evaluation** means all the activities related to the registration of a training organisation to determine whether it meets, or continues to meet, all the requirements of the *Standards for Registered Training Organisations* necessary for registration. Evaluation may include: review of past performance; review of complaints and other feedback; risk assessment; examination of documentation; conduct of audit; consideration of audit reports; and other relevant activities in relation to the organisation.

**Flexible learning and assessment** means an approach to VET which allows for the adoption of a range of learning and assessment strategies (including on-line) in a variety of learning environments to cater for differences in learning styles, learning interests and needs, and variations in learning opportunities.

**Internal audit** means audits conducted by, or on behalf of, the organisation itself for internal purposes.

**Ministerial council** means the ANTA ministerial council established under the *Australian National Training Authority Agreement* which is a schedule to the *Australian National Training Authority Act 1992*, comprising the Australian Government and state and territory government ministers responsible for VET or any successor council comprising those ministers.

**Multi-site training organisation** means a training organisation that has an identified central function (referred to in this document as the 'head office') at which its activities are planned, controlled or managed, and a network of sites (which may be in another state or territory or offshore) at which training or assessment activities are fully or partially carried out. Note: these sites may include permanent physical places such as campuses, offices and workplaces and places of a more temporary or transient nature such as work sites and places where, and from which, training and/or assessment is conducted on-line or by other flexible means.

**National recognition** means:

- a the recognition and acceptance by an RTO of AQF qualifications and statements of attainment issued by other RTOs, enabling individuals to receive national recognition of qualifications and statements of attainment
- b recognition for national operation of training organisations registered under the AQTF standards.

**National strategic evaluation** means an investigation of key elements of the operation of the NTF, including the AQTF and Training Packages, initiated by the NTQC to assist in its quality assurance role.

**National training framework (NTF)** means the system of VET that:

- a applies nationally
- b is endorsed by the ANTA ministerial council
- c is made up of the AQTF and nationally endorsed Training Packages.

**National Training Information Service (NTIS)** means the national register for recording information about RTOs, Training Packages and accredited courses.

**National Training Quality Council (NTQC)** means the body established by the ANTA ministerial council as a committee of the ANTA board. In relation to quality assurance in the VET system, the NTQC has a role in:

- a providing advice on the operation of, and any necessary change to, the AQTF
- b providing information and advice to state and territory registering/course accrediting bodies on the implementation of the AQTF
- c providing to the ANTA board, for incorporation in the board's reports to the ANTA ministerial council (including the annual national report), information and advice on the operation of the AQTF in each state and territory, including providing such independent advice on state/territory registration, audit and related processes and related Commonwealth processes as deemed necessary by the NTQC.

**Nationally recognised training (NRT) logo** means the logo used to signify that training and assessment products and services meet the requirements agreed under the NTF.

**Non-compliance** means failure to comply with one or more of the standards for registered training organisations.

**Period of registration** means the period for which a training organisation is registered. The period of registration is up to five years (unless cancelled or suspended).

**Qualification** means formal certification in the VET sector by an RTO that a person has achieved all the units of competency or modules comprising learning outcomes stated for the qualification in:

- a a nationally endorsed Training Package for which details of the qualification have been registered by ANTA or
- b an accredited course that provides training for the qualification.

**Quality** means the ability of a set of inherent characteristics of a product, system or process to fulfil requirements of customers and other interested parties.

**Recognition of prior learning (RPL)** means recognition of competencies currently held, regardless of how, when or where the learning occurred. RPL assesses the individual's prior learning to determine the extent to which that individual is currently competent against the required learning outcomes, competency outcomes, or standards for entry to, and/or partial or total completion of a qualification.

**Registered training organisation (RTO)** means a training organisation registered by a registering body in accordance with the AQTF, within a defined scope of registration (see scope of registration).

**Registering body** – see state or territory registering body.

**Registration** means the formal approval and recognition of a training organisation by a state or territory registering body, in accordance with the *Standards for Registered Training Organisations* and the *Standards for State and Territory Registering/Course Accrediting Bodies*.

**Registration decisions** means the decisions by a state or territory registering body about whether:

- a registration will be granted, suspended, amended, cancelled, renewed or have conditions placed upon it, or the scope of registration extended or reduced and/or
- b a sanction for non-compliance will be imposed.

**Renewal of registration** means the subsequent registration of a RTO following an evaluation, conducted prior to the expiry of a registration period, against the requirements of the *Standards for Registered Training Organisations*.

**Risk management** means the systematic application of management policies, procedures and practices to the tasks of identifying, analysing, evaluating, treating and monitoring risk.

**Sanction** means any action imposed for non-compliance with the *Standards for Registered Training Organisations*, including:

- a the imposition of specific conditions on registration (which can cover any aspect of registration, including the RTO's scope of registration, location or type of delivery and assessment activities)
- b amendment of registration (including a reduction in the scope of registration)
- c suspension of registration
- d cancellation of registration.

**Scope of registration** means the defined scope for which a training organisation is registered that identifies the particular services and products that can be provided. An RTO may be registered to provide either:

- a training delivery and assessment services and products and issue AQF qualifications and statements of attainment or
- b assessment services and products and issue AQF qualifications and statements of attainment.

The scope of registration is further defined by AQF qualifications and/or endorsed units of competency.

**State or territory course accrediting body** means the body responsible under the state or territory VET legislation and decision-making framework for administration of the accreditation of courses.

**State or territory registering body** means the body responsible under the state or territory VET legislation and decision-making framework for all the processes related to the registration of training organisations, including the imposition of sanctions.

**Statement of attainment** means formal certification in the VET sector by an RTO under the AQF that a person has achieved:

- a part of a qualification or
- b one or more units of competency from a nationally endorsed Training Package or
- c all the units of competency or modules comprising learning outcomes for an accredited course that does not meet the requirements for a qualification.

**Strategic evaluation** – see national strategic evaluation.

**Strategic industry audit** means the audit of RTOs operating in a specific industry or industry sector targeted on the basis of identified risks relating to that industry or sector.

**Training Package** means an integrated set of nationally endorsed competency standards, assessment guidelines and AQF qualifications for a specific industry, industry sector or enterprise.

**Unit of competency** means the specification of knowledge and skill and the application of that knowledge and skill to the standard of performance expected in the workplace.

# INDEX

Location references are of three kinds:

- 1 references to definitions in the Definition section, indicated by the letter *d* in italics
- 2 references to the standards are to the number of the standard and, if distinctive, the subclause and lower elements
- 3 references to footnotes are to the number of the standard preceded by the letter *f* in italics.

- 
- access and equity, *d*, 28.1d
- accreditation, *d*, 26-28
- information about, 4.6
  - National Training Information Service (NTIS) details, 15.4
  - personnel responsible for, 9
  - quality system policy and procedures, 4.3c ii
  - see also state or territory course accrediting bodies
- accreditation decisions, 2.5
- responsibility for, 1.1, 9.1a
  - national recognition, 1.2, 26.2
- accreditation document, 28.2
- accredited courses, *d*, 28.2
- ANTA, *d*
- appeals, complaints and disputes, 11
- analysis required in audits, 16.2c, 16.4a, 20.1c
  - information about, 4.6d, 13.1c
  - personnel responsible for, 6.1f, 9.1b
  - policies and procedures, 4.3c iii
- application of standards, 1.2, 1.3, 2.2e
- applications for registration/renewal, 13, 14, 17
- audits, 16.1, 16.2a, 16.2d, 16.8
  - scope, extension, 14.3b, 14.3e ii, 24.6, 24.8
- apprenticeship/traineeship training contract, *d*
- AQF, see Australian Qualifications Framework
- AQTF, see Australian Quality Training Framework
- articulation (course design), 28.1f
- AS/NZS ISO 19011:2003, 4.3d, 7.1
- assessment, *d*, 28.1b
- audit leaders, 22.9
- auditors/audit teams, 8, 18, f18.1
- briefing, 6.1b, 20
  - commitment to comply with rules, 10
  - conduct of audits, 2.6c, 21
  - conflict of interest, 2.6, 10, 18.3, 18.4, 19.1d
  - feedback, 23.1
  - information to training organisations about, 19.1d
  - multiple teams, 22.9
  - participation in registration decision, 24.2
  - personnel responsible for, 6.1a, 6.1b, 6.1e
  - reporting outcomes, 23.1
  - qualifications, skills and knowledge, 7.1, 18.1, 18.2
  - selection, 6.1a, 8.1a, 18
- audits, *d*, 2.6c, 2.6d, 16-23, 24.2
- applications for registration/renewal, 14.3e vii, 14.3e viii
  - contracted to external bodies or persons, 3.2
  - compliance with standards, 16.1, 21.1
  - frequency, 16.2, f21.3
  - information for training organisations, 13.1a
  - internal, *d*, 4.3d ii, 4.4, 14.3e viii, 16.4c, f4.3d ii
  - multi-site sampling, 19.1c, 22
  - on-line operations, 22.7, 22.8
  - short-term venues and workplaces, 22.7, 22.8
  - strategic industry, *d*, 14.3e vii, 16.2c, 16.7
- Australian National Training Authority, *d*
- Australian Qualifications Framework (AQF), *d*, 1.2, 26.2, 27.1b, 28.1c
- Australian Quality Training Framework (AQTF), *d*, 2.6a, 2.6b
- see also *Standards for Registered Training Organisations*
- authority, 2.1, 2.2b, 4.6a
- briefing auditors/audit teams, 6.1b, 20
- cancellation of registration, 12, 24.9
- see also sanctions
- commercial interests, independence from, 2.7, 10
- see also conflict of interest
- commitment to comply, 10
- committees, 2.4, 4.3b
- community representatives, audit feedback from, 21.3c
- competence, see qualifications (skills, competence)
- competency, units of, *d*, 24.6, 27.2, 28.1a, 28.1b
- complaints, see appeals, complaints and disputes
- compliance and non-compliance, 10
- application for registration/renewal, 14.3e i
  - information for training organisations, 13.1d
  - prior verification, to determine extent of audit for renewal of registration, 16.8
  - see also audits; non-compliance
- conduct of audits, 2.6c, 21
- confidentiality, 5, 10
- as contract condition, 3.1, 5.2
  - interviews by auditors, 21.4
- conflict of interest, 2.5-2.7
- auditors, 2.6, 10, 18.3, 18.4, 19.1d
  - contractors, 3.1, 10.1
- consultancy services, 2.7
- consultation, 2.3
- course accrediting bodies, 27.1a
  - registering bodies, 11.4, 12
- continuous improvement, 4.5b, 14.3e vi, 16.4b
- contracting and contractors, 3, 4.3d iii, 5.2, 10.1
- contextualisation, 28.1g

corrective actions, 11.2a, 11.2d, 11.2e  
     audits, 4.4b, 16.4d  
     extension of scope approvals, 24.8  
     quality system procedures, 4.3d i  
     timeframes, 16.5, 16.6, 24.3  
 course accreditation, *see* accreditation; state or territory  
     course accrediting body  
 course design, 28  
 courses, *d*, 26-8  
 credit transfer, 28.1f  
 customisation, 28.1g  
 delegation of functions, 2.2  
 design of courses, 28  
 disputes, *see* appeals, complaints and disputes  
 documents and documentation, 4.2, 4.3, 4.6-4.8  
     application for registration/renewal, 14.3e iii, 14.3e v  
     appeals, complaints and disputes, 11.2a  
     audit teams to be provided with, 20.1a  
     course accreditation, proof of, 28.2  
     audits, reporting, 3.2, 4.4c, 23  
     personnel duties and responsibilities, 6.2b, 9.2b  
     quality system, 4.3, 4.4c, 4.5c  
     registration certificates, 24.4, 25.1  
     *see also* records and record management  
 duty statements, 6.2b, 9.2b  
     *see also* functions and duties of bodies  
 employers, auditor interviews of, 21.3b  
 equity, *see* access and equity  
 evaluation, *d*, 16-25  
     information about, 13.1a, 19.1  
     national strategic, *d*, 14.3e vi  
     ongoing, of courses, 28.1h  
     personnel responsible for, 6.1, 6.2  
 experts, technical, 7-8, 18.2c  
 explanatory material, 1.3  
 feedback on audits, 23.1  
 fees, 4.6c, 13.1b, 14.4  
 flexible learning and assessment, *d*, 28.1e  
 functions and duties of bodies, 4.3a, 4.3b  
     contracting out, 3  
     delegating, 2.2  
     *see also* accreditation; audits; registration  
 head office of training organisations, 14.2, 22.2  
 impartiality, 2.5, 11.2b, 24.2  
 independent advice, 1.4  
 industry representatives, audit feedback from, 21.3c  
 internal audits, *see* audits  
 interviews, by auditors, 21.3, 21.4  
  
 legislative authority, 4.6a  
 logos, 25  
 misleading statements or conduct, 14.3e iii, 14.3e iv, 25.2  
 monitoring (review)  
     auditors and technical experts performance, 6.1e,  
     8.1b, 8.1c  
     courses, 28.1h  
     document and version control procedures, 4.7  
     personnel performance, 6.2c, 9.2c  
     quality systems, 4.5a  
 multi-site sampling, 19.1c, 22  
 multi-site training organisations, *d*, 22  
     *see also* state or territory, RTOs operating in more  
     than one  
 national recognition, *d*, 1.2, 26.2  
 national strategic evaluations, *d*, 14.3e vi  
 national training framework (NTF), *d*, 14.3e vi  
 National Training Information Service (NTIS), *d*, 15, 26  
 National Training Quality Council (NTQC), 1.4, 28.1g  
 nationally recognised training (NRT) logo, *d*, 25  
 non-compliance, *d*, 4.3d i, 4.4b, 16.5  
     sanctions, *d*, 1.2, 16.5  
     *see also* compliance; corrective actions  
 NRT logo, *d*, 25  
 on-line operations, auditing of, 22.7, 22.8  
 organisation standards, 2  
 organisational charts, 4.3a  
 pathways, 28.1d  
 performance criteria for assessment (course design), 28.1b  
 period of registration, *d*  
 personnel, 4.4a, 6-10  
     *see also* auditors/audit teams  
 policies and procedures  
     analysis required in audits, 16.4e  
     audit teams to be provided with, 20.1a  
     commitment to comply, 10  
     conflict of interest, 2.5  
     course accreditation, 27.1, 28.1  
     document and version control, 4.7  
     documenting, 4.6b, 4.6d, 13.1a  
     quality system, 4.3c, 4.3d  
 preparation for audit, 17  
 procedures, *see* policies and procedures  
 qualifications (skills, competence), *d*  
     auditors, 18.1, 18.2  
     personnel responsible for course accreditation  
     functions, 9.2a

personnel responsible for evaluation and registration  
     functions, 6.2a  
     technical experts, 7  
     see also Australian Qualifications Framework  
 quality, *d*, 3.2, 4  
 quality system, 4  
 re-audits, 24.3  
 records and record management, see documents and  
     documentation; policies and procedures  
 registered training organisations (RTOs), *d*  
 registration, *d*, 13-25  
     certificates, 24.4  
     information about, 4.6, 13  
     logos, 25.1  
     national recognition, 1.2  
     period, *d*  
     personnel responsible for, 6  
     responsibility for, 1.1, 3.2  
     see also audits; state or territory registering bodies  
 renewal of registration, *d*, 14, 16.2d, 16.8  
 related body, f14.3d i  
 reports, see documents and documentation  
 reviews, see audits; monitoring  
 risk management, *d*, 16.2, 16.6, 16.8, 22.4, 22.5  
 RTOs, see registered training organisations  
 sampling, multi-site, 19.1c, 22  
 sanctions, *d*, 1.2, 16.5  
 scope of registration, *d*, 15.1d, 15.2  
     applications, 14.3b, 14.3e ii, 24.6, 24.8  
 short-term venues and workplaces, auditing of, 22.7, 22.8  
 skills, see qualifications (skills, competence)  
 staff (personnel), 4.4a, 6-10  
     see also auditors/audit teams  
  
 standards, *d*  
*Standards for Registered Training Organisations*, 1.2, 1.3, 16.3  
     application for registration/renewal, 14.3e i  
     assessment guidelines, 28.1b  
     exception of standard 2.1 in audit, 16.1, 21.1  
     extension of scope applications and, 24.6  
     information about, 13.1d, 19.1b  
     non-compliance established, 16.5, 16.6  
     see also audits  
 state or territory, RTOs operating in more than one,  
     14.2, 15.2, 15.3  
     audits, 16.9, 22.3  
     changing registration, 24.9  
     complaints against, 11.3, 11.4  
     sanctions, 12  
 state or territory course accrediting body, *d*, 1-5,  
     15.4, 26-28  
     appeals, complaints and disputes, 11  
     personnel, 9  
 statements of attainment, *d*, 1.2, 26.2, 27.1b ii, 27.1b iii  
 strategic evaluations, see national strategic evaluations  
 strategic industry audits, *d*, 14.3e vii, 16.2c, 16.7  
 students, audits and, 21.3a, 21.3d  
 technical experts, 7-8, 18.2c  
 timeframes for audits, 16.2, 19.1e, 21.2  
 timeframes for corrective actions, 16.5, 16.6, 24.3  
 training of personnel, 2.6a  
     auditors, 6.1b  
 Training Packages, *d*, 26.1, 27, 28.1b, 28.1f  
 units of competency, *d*, 24.6, 27.2, 28.1a, 28.1b  
 value adding during audits, 2.6d

