

AQTF 2010 Essential Standards for Initial Registration

CONDITIONS OF REGISTRATION

CONDITION 1 – GOVERNANCE

The organisation's Chief Executive must identify how he or she will ensure that it will comply with the AQTF 2010 Essential Standards for Registration and any national guidelines approved by the National Quality Council. This applies to all of the operations within the RTO's scope of registration, as listed on the National Training Information Service.

The organisation must be able to demonstrate to its registering body what its intended objectives as an RTO are, what market analysis it has undertaken on the demand for its proposed training and assessment services (i.e. projected enrolments), and what risk assessment it has completed for its proposed scope of operations.

The organisation's senior officers and directors or substantial shareholders who are in a position to influence the management of the organisation must satisfy fit and proper person requirements unless these requirements have already been met through other legislative provisions.

The organisation must also explicitly demonstrate how it will ensure the decision making of senior management is informed by the experiences of its trainers and assessors.

CONDITION 2 – INTERACTIONS WITH THE REGISTERING BODY

The application for initial registration must be accompanied by a self-assessment report of the organisation's compliance with the AQTF 2010 Essential Standards for Initial Registration.

The organisation's Chief Executive must identify how it will ensure that the organisation will cooperate with its registering body:

- in the conduct of audits and the monitoring of its operations
- by providing accurate and timely data relevant to measures of its performance
- by providing information about significant changes to its operations
- in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements
- by providing a statement of its financial viability, an annual report, and / or a business plan on request of the registering body.

CONDITION 3 – COMPLIANCE WITH LEGISLATION

The organisation must identify how it will comply with relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration. It will also identify how it will ensure that its staff and clients are fully informed of these requirements that affect their duties or participation in vocational education and training.

CONDITION 4 – INSURANCE

The organisation must hold insurance for public liability sufficient for its registration period.

CONDITION 5 – FINANCIAL MANAGEMENT

The organisation must identify how it will provide the following fee information to each client:

- the total amount of all fees including course fees, administration fees, materials fees and any other charges
- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee

- the nature of the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course
- the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment, and
- the organisation's refund policy.

Where the organisation intends collecting student fees in advance it must ensure it complies with one of the following acceptable options for collecting student fees paid in advance:

- (Option 1) – the RTO will be administered by a state, territory or commonwealth government agency
- (Option 2) – the RTO will hold current membership of an approved Tuition Assurance Scheme, or
- (Option 3) – the RTO will not accept payment of more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to costs yet to be incurred on behalf of the student for tuition or other services yet to be delivered to the student does not exceed \$1,500.
- (Option 4) – the RTO will hold an unconditional financial guarantee from a bank operating in Australia for the full amount of funds held by the RTO which are prepayments from students (or future students) for tuition to be provided by the RTO to those students.

The organisation must provide financial projections for the first two years of operation certified by a qualified Accountant to Australian Accounting Standards, with its application for initial registration.

CONDITION 6 – CERTIFICATION & ISSUING OF QUALIFICATIONS & STATEMENTS OF ATTAINMENT

The organisation must identify how it will issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or accredited course, a qualification or statement of attainment (as appropriate) that:

- meets the Australian Qualifications Framework (AQF) requirements
- identifies the RTO by its national provider number from the National Training Information Service
- includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.

The organisation must have a student records management database in place that has the capacity to provide the registering body with AVETMISS compliant data.

The organisation must identify how it will provide returns of its client records of attainment of units of competence and qualifications to its registering body on a regular basis, as determined by the registering body

CONDITION 7 – RECOGNITION OF QUALIFICATIONS ISSUED BY OTHER RTOS

The organisation must confirm that it will recognise the AQF qualifications and Statements of Attainment issued by any other RTO.

CONDITION 8 – ACCURACY AND INTEGRITY OF MARKETING

The organisation must demonstrate that its proposed marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. The NRT logo must be employed only in accordance with its conditions of use.

CONDITION 9 – TRANSITION TO TRAINING PACKAGES/EXPIRY OF ACCREDITED COURSES

The organisation must identify how it will manage the transition from superseded Training Packages within 12 months of their publication on the National Training Information Service

and the transition from superseded accredited courses so that it will deliver only currently endorsed Training Packages or currently accredited courses.

STANDARDS

Standard 1: The RTO provides quality training and assessment across all of its operations

- 1.1 The organisation has a defined continuous improvement strategy that allows for the collection and analysis of data. The strategy includes implementation of continuous improvement activities for training and assessment.
- 1.2 Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and have been developed in consultation with industry.
- 1.3 Staff, facilities, equipment, and training and assessment materials to be used by the organisation are consistent with the requirements of the Training Package or accredited course and the organisation's own training and assessment strategies.
- 1.4 The organisation has a defined strategy, procedures and measures to ensure training and assessment services are conducted by trainers and assessors who:
 - (a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and
 - (b) have the relevant vocational competencies at least to the level being delivered or assessed, and
 - (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken and
 - (d) continue to develop their VET knowledge and skills as well as their industry currency and trainer/assessor competence.
- 1.5 The organisation has a defined strategy and procedures in place to ensure that assessment, including RPL:
 - (a) will meet the requirements of the relevant Training Package or accredited course

- (b) will be conducted in accordance with the principles of assessment and the rules of evidence
- (c) will meet workplace and, where relevant, regulatory requirements.
- (d) is systematically validated.

Standard 2 The organisation has strategies in place to adhere to the principles of access and equity and to maximise outcomes for its clients.

- 2.1 The organisation has a strategy in place detailing how they will establish and meet the needs of clients and a defined continuous improvement strategy that allows for the collection and analysis of data. The strategy includes implementation of continuous improvement activities for client services.
- 2.2 The organisation has in place a process and mechanism to provide all clients information about the training, assessment and support services to be provided, and about their rights and obligations, prior to enrolment.
- 2.3 Where identified in the learning and assessment strategy, the organisation has engaged or has a defined strategy in place to engage with employers or other parties who contribute to each learner's training and assessment on the development, delivery and monitoring of training and assessment.
- 2.4 The organisation has a defined process and mechanism in place to ensure learners receive training, assessment and support services that meet their individual needs.
- 2.5 The organisation has a defined process and mechanism in place to ensure learners have timely access to current and accurate records of their participation.
- 2.6 The organisation has a defined complaints and appeals process that will ensure learners' concerns are reviewed and addressed where appropriate, and complaints and appeals are addressed effectively and efficiently.

Standard 3 The organisation has in place management systems that will be responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO will operate.

- 3.1 The organisation has a strategy in place detailing how the management of its operations will ensure clients receive the services detailed in their agreement with the organisation. The organisation has a defined continuous improvement strategy that uses a systematic continuous improvement approach to the management of operations.
- 3.2 Where applicable, the organisation has a defined process and mechanism to monitor training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the AQTF 2010 *Essential Standards for Initial Registration*.
- 3.3 The organisation has a defined strategy and process to manage records to ensure their accuracy and integrity.