



# Code of Practice

## ASQA Auditors and Course Accreditation Assessors

In carrying out their duties, auditors and course accreditation assessors will observe the following principles at all times:

- honesty and integrity
- respect and courtesy
- confidentiality
- procedural fairness
- competence
- due care and diligence.

### Honesty and integrity

Auditors and course accreditation assessors will:

- behave in a fair manner and without favouritism, patronage or prejudice
- ensure their personal beliefs or opinions do not influence their findings
- take reasonable steps to avoid any real or apparent conflict of interest, including disclosing any material or personal interest related to their duties, in accordance with ASQA policies
- not accept any inducement, gift or other benefit while carrying out their duties, in accordance with ASQA policies
- cooperate fully with any official investigation about the manner in which they have carried out their duties, and
- cooperate fully with any Freedom of Information request.

### Respect and courtesy

Auditors and course accreditation assessors will:

- treat everyone with respect, courtesy, honesty, fairness and equity
- not respond in kind to intimidating, hostile or offensive behaviour
- not personally criticise any staff, contractor or representative of an RTO, applicant or course owner
- when interviewing individuals, provide information about their role and explain how their comments will contribute to judgments about compliance.



## Confidentiality

Auditors and course accreditation assessors will maintain appropriate confidentiality and will not:

- improperly use information gained in the course of their duties, or
- disclose any information gained in the course of their duties unless authorised or required by law.

## Procedural fairness

Auditors and course accreditation assessors will:

- allow reasonable opportunities for evidence to be presented
- provide sound reasons to support findings of non-compliance, and
- allow an opportunity for non-compliances identified at an audit or course accreditation evaluation to be responded to before making a recommendation, as per ASQA processes.

## Competence

Auditors and course accreditation assessors will hold the following qualifications and units of competency (or their successors), as a minimum:

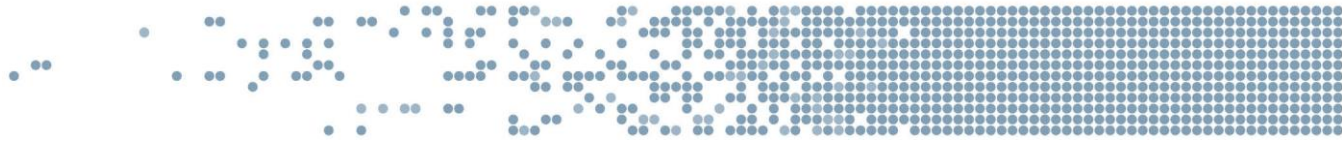
### Auditors

- TAE40110 Certificate IV in Training and Assessment
- BSB51607 Diploma of Quality Auditing
- BSBAUD402B Participate in a quality audit
- BSBAUD501B Initiate a quality audit
- BSBAUD503B Lead a quality audit
- BSBAUD504B Report on a quality audit
- TAEASS502B Design and develop assessment tools
- TAEDES501A Design and develop learning strategies
- TAEASS503A Lead assessment validation processes

### Course accreditation assessors

- TAE40110 Certificate IV in Training and Assessment
- BSB51607 Diploma of Quality Auditing
- TAEDES402A Use training packages and accredited courses to meet client needs
- TAEDES504A Research and develop units of competency.

Auditors and course accreditation assessors will participate in ongoing skill and knowledge development relevant to their duties.



## Due care and diligence

Auditors and course accreditation assessors will carry out their duties in a manner which is:

### Systematic

Activities will be conducted in a systematic manner, based on an appropriate sampling strategy where appropriate, to ensure that confidence can be placed in the findings, conclusions and recommendations.

### Outcome-focused

The primary role of auditors and course accreditation assessors is to determine whether the RTO, applicant or course owner has complied with the requirements of the relevant standards, based on the evidence provided.

Wherever possible, the evidence will relate to outcomes from implementation of systems and processes. If that implementation has not achieved the outcome/s required by the relevant standards, examination of the systems or processes may be required.

Where systems or processes have not yet been implemented (e.g. during an audit relating to initial registration as an RTO), the systems and processes will be examined to confirm whether, when these are fully deployed, they will result in the RTO, applicant or course owner complying with the requirements of the relevant standards.

### Evidence-based

Findings about compliance are based on valid, current, sufficient and authentic evidence.

No preconceptions are held about the form evidence may take and judgements will be based solely on the evidence presented, without bias.

The judgment about how evidence is related to compliance will be guided by these questions:

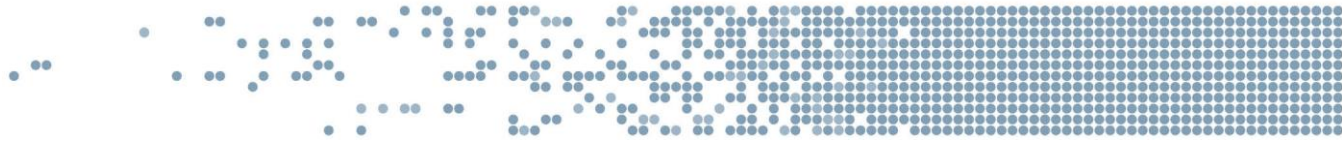
- Is the evidence clearly related to the relevant standard?
- Is the evidence current?
- Has sufficient evidence been provided for a judgment about compliance to be made?
- Is the evidence authentic?

The judgement will be determined by focusing on the following points:

- 'This is the standard'
- 'This is the evidence you have provided'
- 'Here is a gap and it is for these reasons'.

### Flexible

Evidence requirements will accommodate the organisation's size and scope of operations and the context in which it operates. A 'one size fits all' approach to evidence of compliance will not be used.



## Fair, open and transparent

The RTO, applicant or course owner will be informed about the process in advance and given a reasonable opportunity to provide evidence of compliance.

The RTO, applicant or course owner will be informed of the processes for lodging complaints and appeals about the process and outcomes.

Where on-site activities are conducted, RTOs, applicants and course owners will be provided with at least two weeks' notice, unless unusual circumstances apply or the RTO, applicant or course owner agrees otherwise.

The process and outcomes will be made clear to the RTO, applicant or course owner, including by:

- ensuring they understand the process and the implications of non-compliance
- informing them about the opportunity they will be given to address any non-compliance identified
- encouraging questions and providing clear and unambiguous responses, and
- advising the RTO, applicant or course owner who they can contact if they have any questions or concerns.