

Tool

Self-assessment for applications to change scope of RTO registration

# Introduction

## About this self-assessment

If your RTO is in its first two years of registration and you wish to add new training products to your scope of registration, you must complete this self-assessment and submit it and relevant evidence with your application in [asqanet](https://asqanet.asqa.gov.au/Account/Login?ReturnUrl=%2F), ASQA’s online application and registration management portal.

If the application is to transition to revised training products that are already on your RTOs scope – you are excluded from the requirement to complete this self-assessment.

The process of completing this tool will help you to:

* review your organisation’s systems and processes against key requirements of the *Standards for Registered Training Organisations (RTOs) 2015* (the Standards) relating to training and assessment and regulatory compliance and governance
* ensure you are prepared to deliver quality training and assessment in the new scope items applied for in this application
* provide evidence and information that ASQA will use to assess your application.

Scope of the self-assessment

This self-assessment does not:

* cover all requirements of the Standards
* prescribe how your organisation must provide training and assessment
* identify all evidence required for compliance with the Standards.

ASQA may assess compliance with standards/clauses not referenced in this self-assessment as part of the application process.

When lodging your application to change your scope of registration, you will need evidence of compliance with **every standard**.

## Additional Information

An audit will occur to assess compliance of the following against the VET Quality Framework under the authority of the *National Vocational Education and Training Regulator Act 2011* (the Act):

* the responses and the supporting evidence provided as part of this self-assessment
* the responses and the supporting evidence provided with the Financial Viability Risk Assessment tool

A representative of the Australian Skills Quality Authority may (but is not required to) contact me to seek clarification related to claims made in this self-assessment, and accompanying application documentation.

There will be no further opportunity during the audit process to provide additional evidence for assessment.

The audit process will generally review compliance against the following Clauses for all training products included in the change to scope application but the audit scope may be expanded at any time during the audit:

* Training and Assessment - 1.1, 1.2, 1.3
* Regulatory Compliance/Governance - 7.2

If non-compliance is identified during the audit process, ASQA may refuse the application for change to scope.

## How to complete this self-assessment

The self-assessment allows you to confirm that your organisation has developed appropriate processes and systems that meet the requirements of the Standards.

To complete this self-assessment, you are required to:

* assess your organisation’s compliance with the standards/clauses relating to training and assessment and regulatory compliance and governance and provide evidence to support your answers
* complete the evidence checklist showing that you have attached all necessary evidence

### Providing evidence

You must:

* provide evidence as requested
* create a separate compressed file (zip file) for training and assessment and regulatory compliance and governance
* use the checklist to identify the evidence you should include
* upload each zip file into asqanet when submitting this self-assessment.

It is also recommended that you include an index listing all evidence provided. This index should be uploaded into asqanet.

### Tips for completing this tool

* Refer to ASQA’s [User's guide to the Standards for RTOs 2015](https://www.asqa.gov.au/file/11776/download?token=pUBtnWG1) when developing your responses.
* Complete and review the self-assessment before submitting a final version with your Application to change scope of RTO registration.
* If the form does not include enough space for your response to a question, please attach a separate document. The document title should include the number of the question in relates to, and you should list any such documents in your index.

# Your organisation

## Organisation details

|  |  |
| --- | --- |
| **Organisation’s legal name:** | |
| Trading name/s: | sle |
| Self-assessment completed by | |
| Name: |  |
| Role within organisation: |  |
| Date completed: |  |
| Consultant | |
| Did a consultant assist with completion of this self-assessment or the application to change scope of RTO registration?  No  Yes  If yes, please provide details: | |
| Name of consultant: |  |
| Consultant’s organisation name: |  |
| Nature of consultancy | The consultant is contracted to assist with the application to change scope of RTO registration.  The consultant is contracted to assist with the application to change scope of RTO registration to provide ongoing compliance support.  Other (please provide details) |

## Application overview

Please provide a summary of the application, addressing the following points; the summary should be no more than one page in length.

* What prompted the decision to apply for the new training products?
* If the training products are in a new industry area, what consultation/research determined there was an industry or client need for the training and assessment services to be provided?

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# Self-assessment

## Section 1—Training and assessment

RTOs are responsible for having effective training and assessment strategies and practices. This includes providing a sufficient ‘amount of training’ to meet the requirements of the training product and for students to develop the skills and knowledge they need. To deliver quality training and assessment, RTOs also need adequate staffing, resources and facilities.

### Training and assessment strategies

This section of the self-assessment requires you to have training and assessment strategies in place, that include the amount of training and assessment to be provided for each training product you intend to deliver and ensure that it is sufficient for the intended student cohort.

The **amount of training** is the time it takes for learners to be taught and practice the skills and knowledge required to demonstrate competency prior to assessment. Time spent completing assessment tasks is not included in the amount of training.

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| **Standards for RTOs—Clause 1.1** |
| The RTO’s training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled. |

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| **Standards for RTOs—Clause 1.2** |
| For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:  the existing skills, knowledge and the experience of the learner;  the mode of delivery; and  where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification. |

#### Self-assessment against the Standards/clauses relating to training and assessment strategies

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Yes** | **No** | **N/A** |
| Strategies for training and assessment have been prepared for each mode of delivery and/or client cohort for each training product you have applied to have on the scope of registration. |  |  |  |
| Each training and assessment strategy includes the training product code and title. |  |  |  |
| Each training and assessment strategy contains the entry requirements for the training product, including:  any requirements set by the relevant training package or accredited course  requirements set by your organisation (for example, if you require a student to be a job-seeker)  attributes that may affect a student’s ability to complete the desired training product (e.g. English-language proficiency). |  |  |  |
| Each training and assessment strategy sets out the delivery structure of the training product, including:  units being offered—core and elective  pre or co-requisite units of competency  sequencing of delivery and assessment  amount of training (not including assessment)  possible variations for students with different learning needs  delivery mode—face-to-face at RTO premises, face-to-face at workplace, online, distance or mixed delivery method  work placement (if relevant to the training product). |  |  |  |
| Each training and assessment strategy defines the client cohort for the relevant training product, including:   * who they are * what experience will they have. |  |  |  |
| Each training and assessment strategy defines the assessment methods for the relevant training product, including:  how assessment is to be conducted, including assessment during work placement  timing of assessment  assessment resources. |  |  |  |
| Each training and assessment strategy defines the resources needed for delivery:  learning  human  physical. |  |  |  |
| The training and assessment strategies are consistent with the requirements of the training package and training product (including each unit of competency or module that makes up the training product), and the intended practice. |  |  |  |
| The amount of training for each training product:  is sufficient to address the complexity of the training product, and gives students sufficient time to fully absorb all required skills and knowledge and develop, practice and apply the skills and knowledge prior to assessment.  takes into consideration the existing skills and experience of the cohort of students and the mode of delivery. |  |  |  |
| A rationale is documented and can be provided where the amount of training to be provided to each learner is of short duration. |  |  |  |
| A process for the review of all strategies for training and assessment has been developed to respond to required changes. |  |  |  |

#### Provide information to support your compliance with the Standards/clauses relating to training and assessment strategies

Do you want to provide any additional information to support your compliance with clauses 1.1 and 1.2?

If referring to supporting documentation, please include the name of the document.

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#### **Attach evidence to support your compliance with the Standards/clauses relating to** training and assessment strategies

Attach evidence to support compliance, including:

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| --- | --- | --- |
|  | **Yes** | **N/A** |
| strategies for training and assessment for each training product/cohort. |  |  |
| rationale for any training product that will be delivered in a duration shorter than that recommended for the AQF level. (If applicable.) |  |  |
| any other relevant evidence showing compliance with clauses 1.1 and 1.2. |  |  |

### Resources, staffing and facilities

This section asks you to assess your learning resources, staffing and facilities. You will be asked to provide information on any shared facilities.

Before you submit an application to change your scope of registration, learning resources must be sourced, configured and ready for delivery for all training products requested in the application. Learning resources must be sufficient for the intended initial cohort of students. Invoices or quotes for learning resources are not sufficient evidence.

You must have learning resources available for all requested training products—not just for a limited number of units.

For staffing resources, a signed formal employment contract is not required; however, you will be expected to provide evidence that each trainer and assessor has agreed to commence employment after registration. Resumes or job descriptions alone are not sufficient evidence.

For more information, refer to ASQA’s general direction [Resourcing requirements—for applicants seeking initial registration or change to scope of registration.](https://www.asqa.gov.au/news-publications/publications/general-directions/resourcing-requirements-initial-registration-or-change-scope)

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| **Standards for RTOs—Clause 1.3** |
| The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:   1. trainers and assessors to deliver the training and assessment; 2. educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment; 3. learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and 4. facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment. |

#### Self-assessment against the Standards/clauses relating to resources, staffing and facilities

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| --- | --- | --- | --- |
|  | **Yes** | **No** | **N/A** |
| Learning resources (including equipment necessary for practical training) are available for all training products requested in the Application to Change Scope of Registration. |  |  |  |
| Learning resources have been contextualised to ensure students receive training that addresses all requirements of the training product in a manner appropriate to the student cohort. |  |  |  |
| Learning resources and support systems for students undertaking distance or online training will be accessible to those students during their enrolment.  For example, students will be able to access necessary software, Wi-Fi, and/or password details during the enrolment period. |  |  |  |
| If students are required to undertake work placement as part of their training and assessment, your organisation has sourced placement venues and confirmed that:   * Sufficient and appropriately skilled staff are available at the workplace venue to supervise, train and if necessary provide assessment advice for the number and type of students. * The venue allows students to access all necessary experiences/scenarios to demonstrate competence against the requirements of the training product. * The venues are safe and able to accommodate the intended number of students. |  |  |  |
| If students are expected to source their own placements, processes are in place for ensuring that students are informed that they are required to source their own placements. |  |  |  |
| For face to face training and assessment, all delivery locations either:   * are owned by the applicant * have a current lease arrangement * are the subject of a written agreement to be leased pending registration   will be leased as required. *(This option will only be appropriate for training products that don’t have specific site/resource requirements beyond facilities that can be rented. The use of short term hire locations must align with training and assessment strategies).* |  |  |  |
| If training and assessment is to be conducted at a specific employer’s premises, this is recorded in the contractual agreement with the employer. |  |  |  |
| For face-to-face training and assessment, all delivery locations:   * are large enough for the initial cohort and contain suitable facilities such as breakrooms or toilets (considering any other organisations using the same venue) * are set up to be ready for the commencement of training and assessment. |  |  |  |
| The organisation has obtained necessary council approvals (if appropriate to the jurisdiction) for all premises to be used as educational facilities. |  |  |  |
| The organisation has developed processes to ensure that for all assessment conducted in a simulated environment, the simulated environment replicates the workplace and meets the training package requirements. |  |  |  |
| The organisation has sourced sufficient and qualified staff (in line with clauses 1.13-1.20) for the initial student cohort and the proposed timetabling. |  |  |  |
| The organisation has confirmed access to sufficient educational and support services to support the number of students for each training product. |  |  |  |
| Business planning includes a process for reviewing the sufficiency and adequacy of learning resources as the organisation/student numbers grow, and the Financial Viability Risk Assessment Tool reflects potential costs of growth. |  |  |  |

#### Shared delivery locations

List any new delivery locations that will be used for the additional training products applied for in this change to scope application?

|  |  |  |
| --- | --- | --- |
| Location address | Training product delivered at location | Training/Assessment type |
|  |  |  |
|  |  |  |

|  |  |  |
| --- | --- | --- |
|  | Yes | No |
| Are any delivery locations shared with any other organisation? |  |  |
| If yes, provide the other organisation names: | | |
| List response here: | | |

#### Provide information to support your compliance with the Standards/clauses relating to resources, staffing and training

Do you want to provide any additional information to support your compliance with Standard 1.3?

If referring to supporting documentation, please include the name of the document

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#### Attach evidence to support your compliance with the Standards/clauses relating to resources, staffing and facilities

Attach evidence to support compliance, including:

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| --- | --- | --- |
|  | **Yes** | **N/A** |
| workplace resource lists and agreements confirming access to facilities, equipment and range of work directly relevant to training package requirements |  |  |
| class scheduling or timetabling documentation |  |  |
| a list of learning resources and equipment available for each training product (i.e. these have been purchased and can be provided on request) |  |  |
| evidence of agreements with new trainers/assessors to commence employment. |  |  |
| For new delivery locations | | |
| approval from Local Government Authority for use as an educational facility (where available in the council area) |  |  |
| leasing agreements/venue hire agreements |  |  |
| title deeds for locations owned by applicant |  |  |
| floor plans for premises used by the applicant |  |  |
| other information to demonstrate compliance with the relevant Standards/clauses. |  |  |

Section 2—Regulatory compliance and governance

* + 1. Financial Viability Risk Assessment

This section of the self-assessment requires you to ensure your organisation will continue to satisfy the Financial Viability Risk Assessment Requirements with the proposed changes to your business operations as a result of the change to scope application.

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| **Standards for RTOs—Clause 7.2** |
| The RTO satisfies the [*Financial Viability Risk Assessment Requirements*](https://www.legislation.gov.au/Details/F2011L01405) |

#### Attach evidence showing compliance with the Standards/clauses relating to financial viability risk assessment requirements

Attach evidence to support compliance, including:

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| --- | --- | --- |
|  | **Yes** | **N/A** |
| a completed Financial Viability Risk Assessment tool (If you have been trading as an RTO for less than a year, select New Registration (Start Up) as the application type. If you have been trading longer than one year, please select New Registration (Existing) as the application type). |  |  |
| supporting evidence as indicated by the Financial Viability Risk Assessment tool (noting that it is not a requirement to submit an accountants certificate with the Financial Viability Risk Assessment tool when it is being provided as part of a change to scope application). |  |  |

# Supporting evidence checklist

This list includes all mandatory evidence that you are required to submit to ASQA with this completed self-assessment.

You may also submit additional relevant evidence for each part of the self-assessment.

|  |  |  |
| --- | --- | --- |
| **Stage of student journey** | **Zip File Attached** | **Zip File/document names** |
| Training and assessment |  |  |
| Strategies for training and assessment for each training product/cohort  Rationale for any training product that will be delivered in a duration shorter than that recommended for the AQF level. (If applicable.)  workplace resource lists and agreements confirming access to facilities, equipment and range of work directly relevant to training package requirements  class scheduling or timetabling documentation  a list of learning resources and equipment available for each training product (i.e. these have been purchased and can be provided on request)  evidence of agreements with new trainers/assessors to commence employment  For new delivery locations  approval from Local Government Authority for use as an educational facility (where available in the council area)  leasing agreements/venue hire agreements  title deeds for locations owned by applicant  floor plans for premises used by the applicant |  |  |
| **Regulatory compliance/governance** |  |  |
| Completed Financial Viability Risk Assessment tool and supporting evidence |  |  |