Summary mapping and treatment of non-compliances – Standards for RTOs against SNRs

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
1.1	4.2 (part)	15.2 (part)	• Standards now refer to 'amount of training they provide' with regard to strategies and practice. • (related) The AQF Volume of Learning must be observed from 1 January 2015 unless there is a sound educational rationale for any significant variations. • Standards now refer to '… strategies and practices'. • Standards now require that strategies and practices enable each learner to achieve requirements.	• In the first instance, RTOs should be compliant with this – it has been common knowledge that the AQF was expected to be fully implemented and complied with from 1 January 2015. • Should a provider be found not compliant at audit with requirements related to 'amount of training' or volume of learning, they will be required, as part of the rectification process, to: 1. Develop and submit revised training and assessment strategies that comply with the clause 2. Develop and submit a plan or similar for implementation of the revised strategies that means the provider will be compliant with all aspects of the clause and the AQF by no later than 1 July 2015.
1.2	-	-	• Standards now require that 'amount of training' is determined relative to learner's existing skills and knowledge and mode of delivery.	• In the first instance, RTOs should be compliant with this – it has been common knowledge that the AQF was expected to be

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
				fully implemented and complied with from 1 January 2015. • Should a provider be found not compliant with requirements related to 'amount of training', an action plan or similar that, if fully implemented, will mean the provider will be compliant with all aspects of this clause by no later than 1 July 2015.
1.3	4.3 (part)	15.3 (part)	• Standards now explicitly state that staff, facilities, resources and equipment must be in place for the RTO's entire scope of registration at all times.	• Nil required
1.4	4.2 (part)	15.2 (part)	• Equivalent	• Nil required
1.5 1.6	4.2 (part) 4.3 (part) 5.4	15.2 (part) 15.3 (part) 16.4	• Standards now explicitly require that training and assessment practices are informed by industry engagement. • Standards now require that the currency of trainers and assessors industry skills be informed by industry engagement.	• Should a provider be found not compliant with requirements related to current industry skills of trainers and assessors being informed by industry, an action plan or similar that, if fully implemented, will mean the provider will be compliant with all aspects of this clause by no later than 1 July 2015.
1.7	5.5	16.5	• Equivalent	• Nil required

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements

1.8	4.5 (part)	15.5 (part)	• Equivalent, although some differences:
			  ○ Principles of assessment and rules of evidence are now in the body of the Standards, rather than definitions - definitions of both have changed.
			  ○ 4.5/15.5 (c) not addressed in new standards (assessment meeting workplace/regulatory requirements).
				• Nil required

1.9 1.10 1.11	-	-	• Standards now require that validation be carried out by independent person/s and include more explicit requirements about what the validation process involves. • Specific timeframes are itemised for ensuring whole of RTO's scope is validated over a five-year period, with 50% of scope within first 3 years of that period. • While there are significant new expectations in this clause, the requirement from a compliance perspective is to have developed and be implementing an ongoing systematic process, so compliance is demonstrated by having a plan in place and having implemented the relevant parts of the plan at the time of an audit.	• Nil required
1.12	-	-	• Standards now have an explicit requirement that individual learners are offered RPL.	• Nil required

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
1.13 1.14 1.15 1.16	4.4 NSSC determination for training and assessor competencies	15.4 NSSC determination for training and assessor competencies	• A 'diploma or higher level qualification in adult education' is acceptable for *trainers and assessors* with no need to demonstrate equivalence to TAE40110. **From commencement of standards until 31 December 2015:** • There is no change to minimum requirements except that a 'diploma or higher level qualification in adult education' is acceptable with no need to demonstrate equivalence to TAE40110. **From 1 January 2016:** • *Trainers and assessors* must hold TAE40110 Certificate IV in Training and Assessment (or successor) or a diploma or higher level qualification in adult education – 'demonstrated equivalence of competencies' is not acceptable from that date. • *Assessors* must hold TAE40110 Certificate IV in Training and Assessment (or successor) or one of the Assessor Skill Sets (or successor) – 'demonstrated equivalence of competencies' is not acceptable from that date.	• Nil required due to delayed implementation

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
1.17 1.18 1.19 1.20	NSSC determination for training and assessor competencies (part B only)	NSSC determination for training and assessor competencies (part B only)	**From commencement of standards until 31 December 2015:** • There is no change to minimum qualification or experience requirements for *individuals working under the supervision of a trainer*. **From commencement of standards:** • *Individuals working under the supervision of a trainer* must not determine assessment outcomes • There are new specific requirements that, for *individuals delivering training and assessment under supervision*, the RTO: ○ determine and put in place: ▪ the level of the supervision required ▪ any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence ○ ensure that *trainers providing supervision* monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision. **From 1 January 2016:** • *Individuals working under the supervision of a trainer* must hold TAESS00007 Enterprise Trainer – Presenting Skill Set (or successor) or TAESS008 Enterprise Trainer – Mentoring Skill Set	• Nil required due to delayed implementation of full clause

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
			(or successor) or TAESS00003 Enterprise Trainer and Assessor Skill Set (or successor) – 'demonstrated equivalence of competencies' is no longer acceptable from that date.	
1.21 1.22 1.23 1.24 1.25	-	-	**Prior to 1 January 2016**, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment: a) hold the training and assessment qualification at least to the level being delivered; or b) have demonstrated equivalence of competencies. **From 1 January 2016**, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered. **From 1 January 2017**, to deliver the training and assessment qualification specified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment: a) hold the qualification specified in Item 5 of Schedule 1; or b) work under the supervision of a trainer that meets the	• Nil required, due to delayed implementation

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
			requirement set out in (a) above. The RTO must ensure that any individual working under supervision under Clause 1.23 b) holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes. Note: from 1 January 2017, the requirements set out in Clause 1.22 continue to apply to any other AQF qualification or skill set from the Training and Education Training Package (or its successor). From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).	
1.26 1.27	14.1 14.2 ASQA General Direction - Transition and teach-out	25.1 25.2 ASQA General Direction - Transition and teach-out	• Standards now expand on and clarify requirements to deliver current training products • Replaces ASQA's 'General Direction—Transition and teach-out' • Expectations of Standards are much clearer than general direction • Standards explicitly give VET regulators ability to approve exemptions • Because standards have removed additional 'teach out' period and also remove 'genuine disadvantage' clause, some RTOs	• Where an RTO is found not compliant, an action plan or similar that, if fully implemented, will mean the provider will be compliant with all aspects of these clauses by no later than 1 July 2015.

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
			may be disadvantaged where students are already in or about to enter 'teach out' status. • New requirement that learners may not be commenced in a training product that has been removed or deleted may impact some providers that have enrolled students into these in good faith and committed resources to the delivery.	
2.1	7.3	18.1	• Equivalent	• Nil required
2.2	4.1	15.1	• Standards now specify that information from quality indicator data, validation outcomes, client and trainer and assessor feedback and complaints and appeals is used to inform continuous improvement	• Nil required
2.3	-	-	• Standards now require RTOs to have a written agreement with all parties delivering services on behalf of the RTO • Note that 'services' includes recruitment of students and learner support services as well as training and assessment.	• Where an RTO is found not compliant with this clause, it must put in place written agreements with third parties delivering services on its behalf during the standard audit rectification cycle.
2.4	6.3	17.3	• Standards now explicitly require RTOs to systematically monitor services provided by third parties. • Due to expansion of definition of 'services' to include recruitment of students, providers are potentially required to monitor a much	• Where an RTO is found not compliant, an action plan or similar that, if fully implemented, will mean the provider will be compliant with all aspects of this clause by

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
			broader range of arrangements.	no later than 1 July 2015.
3.1	12.1 (part)	23.1 (part)	• Standards now explicitly require that AQF certification documentation is only issued to a person assessed as competent.	• Nil required
3.2 3.3 3.4	12.1 12.3	23.1 23.3	• Through Schedule 5, Standards incorporate current NSSC policy on Application of the AQF Qualifications Issuance Policy within the VET Sector. • Standards now require that AQF certification documentation is issued within 30 days of course completion.	• Where an RTO is found not compliant with regard to issuing of certification documentation within 30 days only, an action plan or similar that, if fully implemented, will mean the provider will be compliant with all aspects of these clauses by no later than 1 July 2015.
3.5	12.2	23.2	• Standards now explicitly state that credit must be granted to learners (unless licensing or regulatory requirements prevent) that have completed units of competency or modules.	• Nil required
3.6	12.5	23.5	• Standards include additional requirements not in current standards, largely because of USI scheme not being in place when existing standards were created. • Additional requirement to notify potential learners where a USI exemption is in place.	• Nil required • Note that **all** RTOs are required to comply with 3.6 from 1 January 2015.

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements

4.1	13.1
	13.2
		24.1
		24.2
			• Via Schedule 4, brings conditions of use of NRT logo into Standards (noting that conditions of use in that schedule are incomplete)
			• Standards have more specific requirements related to advertising and marketing by bodies other than the RTO:
			  ○ distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by another party through a subcontracting arrangement
			• Additional new explicit requirements in Standards that information:
			  ○ includes its RTO Code;
			  ○ refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained
			  ○ includes the title and code of any AQF qualification, skill set, or VET course referred to in that information, as published on the National Register
			  ○ only advertises or markets that an AQF qualification, skill set or VET course that it delivers will enable learners to obtain a licensed or regulated outcome if this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised
			  ○ includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements
				• Nil required

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
			○ does not guarantee that: ▪ a learner will successfully complete an AQF qualification, skill set or VET course on its scope of registration; or ▪ an AQF qualification, skill set or VET course can be completed in a manner which does not meet the requirements of Clause 1.1; or ▪ a learner will obtain a particular employment outcome where this is outside the control of the RTO.	
5.1 5.2	5.3	16.3	• Standards have more specific requirements related to provision of information to learners, specifically: ○ the code, title and currency of the AQF qualification, skill set or VET course to which the learner is to be enrolled, as published on the National Register ○ the services the RTO will provide to the learner including the: ▪ estimated duration of the services ▪ expected locations at which the services will be provided ▪ expected modes of delivery ▪ name and contact details of any third party which will provide training and assessment to the learner	• Nil required

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
			○ the RTO's obligations to the learner, including that the RTO: ▪ is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation ▪ will advise the learner in advance of any changes to the services, including new subcontracting arrangements or a change to existing subcontracting arrangements ▪ the learner's rights, including: ▪ details of the RTO's complaints and appeals process required by Standard 6 ▪ if the RTO, or a third party delivering services on behalf of the RTO, closes or ceases to deliver a unit or units that the learner is enrolled in ○ the learner's obligations: ▪ in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services ▪ any requirements the RTO requires the learner to meet to enter and successfully complete their chosen AQF qualification, skill set or VET course	

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
			▪ any materials and equipment that the learner must provide; the educational and support services available to the learner.	
5.3	11.2	22.2	• Standards specifically state that protection requirements only apply to fees collected from individual learners.	• Nil required
5.4	-	-	• Standards have specific requirement that learners be advised as soon as practicable about any changes to services	• Nil required
6.1 6.2	5.7	16.7	• Standards have specific requirements that an RTO must have a policy or policies for managing complaints and appeals.	• Nil required
6.3 6.4 6.5	-	-	• Standards have specific requirements on how complaints and appeals are to be managed, including: ○ requirements that external review of complaints/appeals be available ○ specific requirements that the RTO must inform complainants/appellants when a compliant or appeal will take longer than 60 days to finalise ○ specific requirements that the RTO must maintain records of complaints and appeals and take corrective action on outcomes	• Nil required

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
6.6	-	-	• Standards clarify that an overarching organisational complaints and appeals policy is acceptable in certain contexts and that policies specific to the RTO are not required if the overarching policy covers the activities of the RTO.	• Nil required
7.1	-	-	• Standards specify new requirement that executive officers and high managerial agent have sufficient authority to ensure the RTO complies with the Standards • Via Schedule 3, brings fit and proper person requirements into Standards.	• Nil required
7.2	11.1	22.1	• Equivalent	• Nil required
7.3	11.3	22.3	• 'Option 3' has been removed, meaning Standards now do not specify any requirements for fees in advance less than $1500 - where an RTO does not collect more than $1500 in advance, no action is required • TAS can now be approved by the VET regulator • Government entities are now required to have formal policies in place relating to fee protection (these entities have no other options, but do not need to take other action and are no longer required to meet protection options).	• For government entities and universities only – where an RTO is found not compliant with regard to having implemented a policy addressing learner fee protection only, an action plan or similar that, if fully implemented, will mean the provider will be compliant with all aspects of this clause by no later than 1 July 2015.

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
7.4	10.1	21.1	• Equivalent	• Nil required
7.5	12.4	23.4	• Equivalent	• Nil required
8.1	8.2	19.1	• Equivalent	• Nil required
8.2	-	-	• Standards include an explicit requirement that third parties co-operate with the VET regulator.	• Nil required
8.3	-	-	• Standards include an explicit requirement equivalent to the current ASQA Notification of material change or event requirement that ASQA be notified when commencing or dissolving an arrangement with another organisation to deliver services on the RTO's behalf.	• Nil required
8.4	-	-	• Standards now require an annual declaration from RTOs on their compliance with the Standards.	• Nil required
8.5	9.1	20.1	• Equivalent	• Nil required
8.6	9.2	20.2	• Standards now only require that staff and clients are informed about changes to legislative and regulatory requirements.	• Nil required

Standards for RTOs	SNR (initial)	SNR	Summary of changes	Transition arrangements
-	5.1	16.1	• Standards no longer explicitly require meeting the needs of clients, only of learners.	• No longer audited
-	5.2	16.2	• Standards no longer explicitly require continuous improvement of 'client services'	• No longer audited
	5.6	16.6	• Standards no longer require that learners have access to records of 'participation and progress'.	• No longer audited
-	6.1 6.2 6.4	17.1 17.2 17.4	• Standard 7 requires that 'The RTO has effective governance and administration arrangements in place', but detail in current standards is not included.	• No longer audited

-	7.1
	7.2
		18.2	• Standards no longer require applicants to demonstrate:
			  ○ objectives as an RTO
			  ○ business planning
			• Standards no longer require applicants or RTOs to demonstrate how decision making will be informed by trainers and assessors.
				• No longer audited

-	8.1	-	• Standards no longer require applications to become an RTO be accompanied by a self-assessment against the VET Quality Framework.	• Nil required – initial registration process will be changed to reflect new standards.