

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

RTO Details			
RTO Name	Exercise Research Australia	TOID	22490
Address	4–6 Theobald Street, THORNBURY, 3071		
	Website	<a href="http://exerciseresearch.com.au">http://exerciseresearch.com.au</a>	
Registration Contact	Dr Melissa Arkinstall		
Phone Number	9480 1800	Email	<a href="mailto:melissa@exerciseresearch.com.au">melissa@exerciseresearch.com.au</a>
Audit Team			
Audit Firm	Quorum QA Australia	Auditor/s	Chloe Dyson
Registering Body Details			
Contact Person	Emma Hickingbotham		
Phone Number	9032 1562	Email	<a href="mailto:vet.audit@edumail.vic.gov.au">vet.audit@edumail.vic.gov.au</a>
Audit Details			
Type of Audit	<b>Re-registration Audit</b>		
Conditions Audited	1, 3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.4
VRQA Guidelines Audited	1, 2, 4, 5		
Audit Date/s	10/12/15 – 11/12/15		
RTO Background			
<p>Exercise Research Australia (ERA) has been operating for five years. The Director is supported by a Business Manager and Chief Financial Officer. There are nine trainers employed by the organisation. There is also an Office Administrator and Media IT Officer. The Director is a member of La Trobe University's Sport, Exercise and Rehabilitation Research Focus Area Advisory Board and also sits on the National Accreditation Committee (NAC) for Sports Science in Australia, a quality assurance body.</p> <p>University students are the primary clients, although there are some students who enrol after completing their VCE. The university students are studying Health Science related degrees and undertake programs with ERA to gain practical skills as well as gaining qualifications that will allow them to work during their tertiary studies and to increase their employability post-graduation. School leavers have typically completed fitness subjects as part of their VCE. Some students are able to participate in an accelerated program (5/6 months, instead of 12), if they have completed related study.</p> <p>Universities promote ERA programs and ERA staff provides program overviews to students on campus. The universities and ERA work together to provide complementary programs.</p> <p>All programs are conducted at the RTO, which has a gym and provides a physiotherapy clinic to the local community for no cost. Aspects of programs (allied health) are delivered at La Trobe Bendigo and at Racing</p>			

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

Victoria (apprentice jockeys, also undertaking the Certificate III and Certificate IV in Fitness), although students in these two programs complete the majority of their programs at Thornbury.

All programs are eligible for government funding and there are some fee-for-service students.

Recently the RTO has moved from solely face-to-face delivery to a blended delivery model. Students have access online to 6500 Visual Coaching tutorials, virtual meetings, PowerPoint slides with an audio commentary and assessments. Students attend workshops every fortnight and these workshops are a combination of skills development and participation in activities with clients.

Students participate in the free clinic by working with the physiotherapist and designing and implementing programs for physiotherapy clients, in a controlled environment. The physiotherapist provides students with feedback about their work with clients. Students work with teachers and Year 9 students from Thornbury Secondary College, providing personal training programs. Students also run fitness sessions for the kindergarten group at Clifton Kindergarten.

The Certificate IV Qualifications include a mandatory placement of 24 hours. Although this is not a requirement of the Training Package, the RTO feels that students benefit from working alongside physiotherapists and allied health assistants.

The RTO does not intend to extend its scope of registration in the near future, preferring to concentrate on expanding its continuing education offerings. It is currently in the process of developing the clinical physiology side to its business. A clinical physiologist has been employed, whose role is carrying out ECG testing and managing long-term conditions with clients. It is anticipated that the Allied Health and Exercise Physiology aspects of program delivery would benefit from the real world application of skills that the clinic would provide.

The RTO was found to be compliant in the AQTF Standards and Conditions for Registration as well as the VRQA Guidelines for Registration. A number of suggestions for improvement were made during the audit.

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

Qualifications/Units Audited <sup>1</sup>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
SIS40210	Certificate IV Fitness	Thornbury
HLT32512	Certificate IV Allied Health Assistance	Thornbury
HLT32412	Certificate III Allied Health Assistance	Thornbury
BSB40407	Certificate IV Small Business Management	Thornbury

Interviewee(s) – Staff name and position; employer name and position	
Melissa Arkinstall – Director and Trainer	Tori Carroll – Business Manager and Trainer
Simon Feros – Allied Health Trainer	Emma Gallaher – Fitness Trainer
Students (4) – Allied Health and Fitness	

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	

---

<sup>1</sup> Samples have been selected in accordance with the *VRQA VET Audit Sampling Methodology*

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

### Audit Summary - AQTF Conditions of Registration

AQTF Conditions		Compliant	Non - Compliant	Not audited
1	Governance	X		
2	Interactions with the Registering Body			X
3	Compliance with Legislation	X		
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	X		
7	Recognition of Qualifications Issued by other RTOs	X		
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses	X		
<b>Summary of Non-Compliance<sup>2</sup></b>				
NA				

<sup>2</sup> CF = Condition Finding. Finding references are aligned to the Detailed Findings section of this report.

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

### Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<b>Standard 1</b>	<b>X</b>		
1.1 – Continuous Improvement Strategy	X		
1.2 – Training and Assessment Strategies	X		
1.3 – Training and Assessment Resources	X		
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies	X		
<b>Standard 2</b>	<b>X</b>		
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services	X		
2.3 – Provision of Information to Clients	X		
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy	X		
<b>Standard 3</b>	<b>X</b>		
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations	X		
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management	X		
<b>Summary of Non-Compliance<sup>3</sup></b>			
<b>NA</b>			
<b>Strengths</b>			
<p>The RTO has very well developed industry networks and its online system for blended delivery is accessible and engaging. Students commented on the high quality of delivery, feedback and support provided by the RTO.</p> <p>Its online RTO Management system encourages staff to participate and engage in the continuous improvement of the RTO.</p>			

<sup>3</sup> SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

### Audit Summary – VRQA Guidelines for VET Providers

VRQA Guidelines	Compliant	Non - Compliant	Not audited
<b>1. Governance, Probity and Compliance</b>	<b>X</b>		
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems	X		
1.4 – Organisational Governance			X
1.5 – Academic/Educational Governance	X		
1.6 – Change Reporting			X
<b>2. Quality Assurance, Review and Evaluation Processes</b>	<b>X</b>		
2.1 – Course Quality	X		
2.2 – Cheating and Plagiarism	X		
2.3 – Quality Education and Training	X		
<b>3. Student Enrolment Records and Certification</b>	<b>X</b>		
3.4 – Provision of Courses to Domestic Students			X
<b>4. Student Learning Outcomes and Welfare Services</b>	<b>X</b>		
4.1 – Maximum Daily Hours of Attendance	X		
4.2 – Out of Hours Attendance	X		
4.4 – Student Safety	X		
<b>5. Teaching, Learning and Assessment</b>	<b>X</b>		
5.1 – Capacity to Deliver Scope of Registration	X		

#### Summary of Non-Compliance<sup>4</sup>

NA

<sup>4</sup> GF = Guideline Finding. Finding references are aligned to the Detailed Findings section of this report.

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

### Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance			Compliant
CF.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	WWC Checks – Senior staff Police checks – Senior staff RTO Declaration	NA

  

CONDITION 2 - Interactions with the Registering Body			Not audited
CF.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	NA		

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

CONDITION 3 - Compliance with Legislation			Compliant
CF.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Compliant		<ul style="list-style-type: none"> <li>• Staff Handbook</li> <li>• VELG membership</li> <li>• Student Handbook</li> <li>• Work placement agreements</li> <li>• File: VET updates</li> </ul>	NA

  

CONDITION 4 - Insurance			Not audited
CF.4.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
NA			

  

CONDITION 5 - Financial Management			Not audited
CF.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
NA			



## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment			Compliant
CF.6.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Compliant		<ul style="list-style-type: none"> <li>• Qualifications and Statements of Attainment issuance procedure</li> <li>• Examples of Statements of attainment on student files</li> <li>• Sample Certificates and Statements of Attainment</li> <li>• VETtrak</li> <li>• Records Management procedures (also includes VRQA requirement)</li> </ul>	NA

CONDITION 7 - Recognition of Qualifications Issued by other RTOs			Compliant
CF.7.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Compliant		<ul style="list-style-type: none"> <li>• Student Handbook</li> <li>• Recognition of Qualifications issued by other RTOs policy</li> <li>• Pre-training review checklist</li> <li>• Student statement of results</li> </ul>	NA
<b>Improvement Opportunities</b>			
It is suggested that the RTO distinguish between credit transfer and National Recognition in the Student Handbook.			

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

CONDITION 8 - Accuracy and Integrity of Marketing			Compliant
CF.8.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	<ul style="list-style-type: none"> <li>• Course flyers</li> <li>• Marketing material checklist</li> <li>• Website: <a href="http://exerciseresearch.com.au">http://exerciseresearch.com.au</a> (accessed 09/12/15)</li> </ul>	NA

CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses			Compliant
CF.9.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	<ul style="list-style-type: none"> <li>• Strategies for training and assessment</li> <li>• Transition meeting notes</li> <li>• Discussions with Director and Business Manager</li> </ul>	NA

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

### Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.			Compliant
SF.1.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Compliant		<ul style="list-style-type: none"> <li>• Continuous improvement policy and procedure</li> <li>• Continuous improvement strategy</li> <li>• Feedback from Trainers/Assessors template</li> <li>• Internal audit 2014</li> <li>• Continuous Improvement Board</li> <li>• Minutes from meetings – evidence of improvements to online system in response to feedback</li> <li>• VET Board – feedback on staff portal</li> <li>• Quality Indicator report 2015 and action taken</li> </ul>	NA

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.			Compliant
SF.1.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Compliant		<p><b>HLT32512 Certificate IV Allied Health Assistance</b></p> <p><b>BSB40407 Certificate IV Small Business Management</b></p> <p><b>HLT32412 Certificate III Allied Health Assistance</b></p> <p><b>SIS40210 Certificate IV Fitness</b></p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• Strategies for training and assessment</li> <li>• Delivery and assessment schedules</li> <li>• Timetables</li> <li>• Module overviews</li> <li>• Industry consultation surveys</li> <li>• Trainer and assessor guide</li> </ul>	NA
<b>Improvement Opportunities</b>			
<p>The activities that occur in a simulated work environment, which are very strong, are described, sometimes minimally, in the assessment tools and other documents provided to students. It is suggested that the description of simulated environments, including the specific activities students participate in, are added to the 'Simulated work environments' section of the strategies in order to provide a comprehensive guide.</p>			

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.			Compliant
SF.1.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Compliant		<p><b>HLT32512 Certificate IV Allied Health Assistance</b></p> <p>Units reviewed:</p> <p><i>HLTAH401C Deliver and monitor client-specific exercise program</i></p> <p><i>HLTAH402C Assist with physiotherapy treatments and interventions</i></p> <p><b>BSB40407 Certificate IV Small Business Management</b></p> <p>Units reviewed:</p> <p><i>BSBSMB401A Establish legal and risk management requirements of small business</i></p> <p><i>BSBSMB403A Market the small business</i></p> <p><b>HLT32412 Certificate III Allied Health Assistance</b></p> <p>Units reviewed:</p> <p><i>HLTAH301C Assist with an allied health program</i></p> <p><i>HLTIN301C Comply with infection control policies and procedures</i></p> <p><b>SIS40210 Certificate IV Fitness</b></p>	NA

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

	<p>Units reviewed:</p> <p><i>SISFFIT415A Work collaboratively with medical and allied health professionals</i></p> <p><i>SISFFIT314A Plan and deliver exercise to older clients with managed conditions</i></p> <p><b>Evidence</b></p> <ul style="list-style-type: none"> <li>• Learning materials</li> <li>• Strategies for training and assessment</li> <li>• Discussion with trainers and students</li> <li>• Student files</li> </ul>	
--	---	--

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:			<b>Compliant</b>
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 Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.			
SF.1.4.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	<b>HLT32512 Certificate IV Allied Health Assistance</b> <b>BSB40407 Certificate IV Small Business Management</b> <b>HLT32412 Certificate III Allied Health Assistance</b> <b>SIS40210 Certificate IV Fitness</b> <b>Evidence</b> <ul style="list-style-type: none"> <li>• Staff files</li> <li>• Discussions with staff</li> <li>• Professional development procedure</li> <li>• Professional development schedule</li> <li>• Professional development records</li> </ul>	NA
Improvement Opportunities			
The PD procedure explains how opportunities for professional development are provided to staff, but does not describe the RTO's requirements of staff regarding professional development. It is suggested that the procedure is adjusted to accommodate these requirements.			

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):			<b>Compliant</b>
a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated.			
SF.1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	<p><b>HLT32512 Certificate IV Allied Health Assistance</b></p> <p>Units reviewed:</p> <p><i>HLTAH401C Deliver and monitor client-specific exercise program</i></p> <p><i>HLTAH402C Assist with physiotherapy treatments and interventions</i></p> <p><b>BSB40407 Certificate IV Small Business Management</b></p> <p>Units reviewed:</p> <p><i>BSBSMB401A Establish legal and risk management requirements of small business</i></p> <p><i>BSBSMB403A Market the small business</i></p> <p><b>HLT32412 Certificate III Allied Health Assistance</b></p> <p>Units reviewed:</p> <p><i>HLTAH301C Assist with an allied health program</i></p> <p><i>HLTIN301C Comply with infection control policies and procedures</i></p>	NA



## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

	<p><b>SIS40210 Certificate IV Fitness</b></p> <p>Units reviewed:</p> <p><i>SISFFIT415A Work collaboratively with medical and allied health professionals</i></p> <p><i>SISFFIT314A Plan and deliver exercise to older clients with managed conditions</i></p> <p><b>Evidence:</b></p> <ul style="list-style-type: none"> <li>• Validation policy and procedure</li> <li>• Validation template</li> <li>• Validation schedule</li> <li>• Validation records</li> <li>• Assessment tools</li> <li>• RPL self-assessment checklists</li> <li>• Assessor tool</li> <li>• RPL Applicant Handbook</li> <li>• RPL Assessor Handbook</li> </ul>	
<b>Improvement Opportunities</b>		
<ul style="list-style-type: none"> <li>• RPL is sufficient to meet the principles of assessment and the rules of evidence; however, the RPL assessment tools are not strong. Opportunities for improvement were discussed with the Business Manager at audit.</li> <li>• Assessor information could be more comprehensive in relation to the administration of the tasks.</li> </ul>		

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.			Compliant
SF.2.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	<p><b>Evidence:</b></p> <ul style="list-style-type: none"> <li>• Course application</li> <li>• LLN assessment (pre-training review)</li> <li>• Computer literacy test (pre-training review)</li> <li>• Internet literacy (pre-training review)</li> <li>• Independent learning (pre-training review)</li> <li>• Trello Board – access to real time support over internet</li> </ul> <p>Support</p> <ul style="list-style-type: none"> <li>• Additional tutorials</li> <li>• Assistive technology</li> <li>• Online forums</li> <li>• Phone assistance</li> <li>• Compulsory catch up sessions where someone has failed the second attempt</li> <li>• Student interviews</li> </ul>	NA

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.			Compliant
SF.2.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	Evidence: <ul style="list-style-type: none"> <li>• Continuous improvement policy and procedure</li> <li>• Continuous improvement strategy</li> <li>• Feedback from Trainers/Assessors template</li> <li>• Internal audit 2014</li> <li>• Continuous Improvement Board</li> <li>• Minutes from meetings – evidence of improvements to online system in response to feedback</li> <li>• VET Board – feedback on staff portal</li> <li>• Quality Indicator report 2015 and action taken</li> </ul>	NA

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.			Compliant
SF.2.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Compliant		<ul style="list-style-type: none"> <li>• Student Handbook</li> <li>• Interview schedule</li> <li>• Marketing materials</li> </ul>	NA

2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.			Compliant
SF.2.4.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Compliant		<b>SIS40210 Certificate IV in Fitness</b> <b>HLT42512 Certificate IV Allied Health Assistance</b> <ul style="list-style-type: none"> <li>• Delivery host handbook</li> <li>• Work placement agreements</li> <li>• Supervisor's evaluation</li> <li>• Log book</li> </ul>	NA

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

2.5 - Learners receive training, assessment and support services that meet their individual needs.			Compliant
SF.2.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant – Refer AQTF 2.1, 2.3	Refer AQTF 2.1, 2.3	NA

2.6 - Learners have timely access to current and accurate records of their participation and progress.			Compliant
SF.2.6.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliance	<ul style="list-style-type: none"> <li>• Student Handbook</li> <li>• Assessment policy</li> <li>• Student access to records procedure</li> <li>• Student progress reports</li> <li>• Student portal – Canvas – access to progress against tasks</li> </ul>	NA

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.			Compliant
SF.2.7.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Compliant		Evidence <ul style="list-style-type: none"> <li>• Complaints and appeals procedure</li> <li>• Complaints and appeals template (on Trello)</li> <li>• Complaints (4) – resolved according to RTO processes</li> </ul>	NA

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.			Compliant
SF.3.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Compliant		<ul style="list-style-type: none"> <li>• Student application for enrolment</li> <li>• Pre-training interview checklist and pre-training review</li> <li>• Mid and end of year student surveys</li> </ul>	NA

  

3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.			Compliant
SF.3.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Compliant		<ul style="list-style-type: none"> <li>• Continuous Improvement policy and procedure</li> <li>• Continuous Improvement strategy</li> <li>• Feedback from Trainers/Assessors template</li> <li>• Internal audit 2014</li> <li>• Continuous Improvement Board</li> <li>• Minutes from meetings – evidence of improvements to online system in response to feedback</li> <li>• VET Board – feedback on staff portal</li> <li>• Quality Indicator report 2015 and action taken</li> </ul>	NA

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

<b>3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.</b>			<b>Not audited</b>
SF.3.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	NA	NA	NA

<b>3.4 - The RTO manages records to ensure their accuracy and integrity.</b>			<b>Compliant</b>
SF.3.4.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	<ul style="list-style-type: none"> <li>USI Requirement in application for enrolment</li> <li>VETtrak</li> <li>Canvas – feedback to students</li> <li>Records management procedure</li> </ul>	NA



## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

### Detailed Findings – VRQA Guidelines for VET Providers

<b>GUIDELINE 1.1 - The provider must present a current strategic plan and a detailed business plan which have been approved by its governing body.</b>			<b>Not audited</b>
<b>GF.1.1.1</b>	<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>
NA		NA	NA
<b>GUIDELINE 1.2 - The provider must demonstrate its financial viability and its capacity to sustain quality VET operations into the future.</b>			<b>Not audited</b>
<b>GF.1.2.1</b>	<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>
NA		NA	NA
<b>GUIDELINE 1.3 - The provider must provide information about its management systems.</b>			<b>Compliant</b>
<b>GF.1.3.1</b>	<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>
Compliant		Director: Police check, WWC, Statutory declaration	NA
<b>GUIDELINE 1.4 - The provider must have appropriate governance structures in place.</b>			<b>Not audited</b>
<b>GF.1.4.1</b>	<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>
NA		NA	NA

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

GUIDELINE 1.5 - Consistent with its overall governance arrangements the provider must have appropriate academic/educational governance arrangements.			Compliant
GF.1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	<ul style="list-style-type: none"> <li>Correspondence from: External consultants for specific areas of business; Deakin University and La Trobe University (input to programs)</li> </ul>	NA

GUIDELINE 1.6 - The provider must report significant changes in its control, management or operations to VRQA and other regulatory agencies.			Not audited
GF.1.6.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	NA	NA	NA

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

GUIDELINE 2.1 - The provider must demonstrate that it is able to monitor course quality, externally moderate student performance and drive continuous improvement in course delivery.			Compliant
GF.2.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	<ul style="list-style-type: none"> <li>Validation schedule</li> <li>Validation policy and procedure</li> <li>Examples of validation including students' completed assessment</li> </ul>	NA

  

GUIDELINE 2.2 - The provider must demonstrate that it has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices.			Compliant
GF.2.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	<ul style="list-style-type: none"> <li>Plagiarism and Cheating procedure</li> <li>Student Handbook</li> </ul>	NA
Improvement Opportunities			
<p>The Plagiarism and Cheating procedure would be strengthened by providing more comprehensive information about how to identify plagiarism and cheating. Also, the RTO has in place strategies to prevent plagiarism and cheating, but they are not described in the procedure.</p>			

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

GUIDELINE 2.3 - The provider must demonstrate that they can provide quality education and training to students			Compliant
GF.2.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	Refer AQTF 1.1 and 1.5	NA

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

<b>GUIDELINE 3.4 - For provision of courses to domestic students (students who do not hold Student Visas) a provider who is not exempt under the provisions of any Ministerial Direction, Order, Regulation or Act must:</b> <ul style="list-style-type: none"> <li>• be a member of a Tuition Assurance Scheme for domestic students or</li> <li>• obtain appropriate tuition fee insurance, or bank guarantee sufficient to meet refund of fees paid in advance or</li> <li>• only accept student tuition payments in arrears.</li> </ul>			<b>Not audited</b>
<b>GF.3.4.1</b>	<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>
	NA		

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

<b>GUIDELINE 4.1 - A provider must not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).</b>			<b>Compliant</b>
<b>GF.4.1.1</b>	<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>
	Compliant	Student Handbook	NA
<b>GUIDELINE 4.2 - A provider must not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).</b>			<b>Compliant</b>
<b>GF.4.2.1</b>	<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>
	Compliant	Student Handbook	NA
<b>GUIDELINE 4.4 - Providers must indicate the measures they intend to take to address matters of student safety.</b>			<b>Compliant</b>
<b>GF.4.4.1</b>	<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>
	Compliant	<ul style="list-style-type: none"> <li>• Student Handbook</li> <li>• Site review</li> </ul>	NA

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 10–11 December 2015

**RTO:** Exercise Research Australia

GUIDELINE 5.1 - The provider must demonstrate that they have the capacity to deliver and assess ALL the courses requested/on the scope of registration.			Compliant
GF.5.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Compliant	Refer AQTF 1.2, 1.3, 1.4 and 1.5.	NA