

Compliance Requirements

Revised Standards for Registered Training Organisations

*Final Policy Draft*

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### INFORMATION AND TRANSPARENCY

**Information management**

* 1. The RTO must ensure that VET students’ personal information is securely maintained in accordance with applicable privacy laws.
  2. The RTO must securely retain completed VET student assessment items for at least two years following the VET student’s completion of the training product.

**Marketing and advertising**

* 1. Any marketing material or information disseminated by the RTO or on its behalf by a third party must:

1. include or provide links to its RTO code and the code and title of any training product, as published on the National Register
2. accurately represent the services it provides and the training products on its scope of registration, and only advertise or market a training product that is no longer current while it remains on scope and new enrolments are permitted
3. make clear where services are being delivered by a third party on the RTO’s behalf, including distinguishing where:
   1. a third party is recruiting prospective VET students on the RTO’s behalf
   2. a third party is delivering training and assessment on the RTO’s behalf
   3. another RTO is delivering training and assessment on behalf of the RTO
4. distinguish between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO
5. only advertise or market that a training product it delivers will enable VET students to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised
6. include details about any VET Student Loans, government funded subsidy or other financial support arrangements associated with the RTO’s provision of training and assessment
7. only refer to or imply a connection with another person or organisation in its marketing material if the consent of that person or organisation has been obtained.
   1. The RTO must not guarantee, verbally or in writing, that:
8. a VET student will successfully complete a training product on its scope of registration
9. a training product can be completed in a manner which does not meet the requirements of the Standards
10. a VET student will obtain a particular employment outcome where this is outside the control of the RTO.

### INTEGRITY OF NATIONALLY RECOGNISED TRAINING PRODUCTS

**AQF certification documentation**

* 1. The RTO must only issue AQF certification documentation to a VET student whom it has assessed as meeting the requirements of the training product, and must ensure the AQF certification documentation is issued within 30 calendar days of this assessment, provided:

1. the AQF qualification in which the VET student is enrolled is complete, or
2. the VET student has completed one or more units of the qualification and subsequently withdrawn, and
3. all agreed fees the VET student owes to the RTO for that training product have been paid.
   1. The RTO must:
4. maintain registers of AQF qualifications it is authorised to issue and of all AQF qualifications and statements of attainment issued
5. retain records of AQF certification documentation issued for a period of:
   1. seven years if a student completes a training product on or after 1 January 2015
   2. thirty years if a student completes a training product before 1 January 2015
6. ensure records of VET student AQF certification documentation are accessible to current and past VET students
7. provide reports of records of qualifications and statements of attainment issued to its VET Regulator on a regular basis as determined by the VET Regulator.
   1. All testamurs for AQF qualifications issued by the RTO must:
8. include the following information:
   1. the name, RTO code and logo of the issuing organisation
   2. the code and title of the awarded AQF qualification
   3. the NRT Logo in accordance with the NRT Logo Conditions of Use Policy
   4. the authorised signatory
   5. the issuing organisation’s seal, corporate identifier or unique watermark
   6. the words ‘The qualification is recognised within the Australian Qualifications Framework’ or any AQF logo authorised by the AQF Council
9. include the following information where applicable:
10. the industry descriptor, e.g. Engineering
11. the occupational or functional stream, in brackets, e.g. ‘(Fabrication)’
12. where relevant, the words, ‘achieved through Australian Apprenticeship arrangements’
13. where relevant, the State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities)
14. where relevant, the words, ‘these units/modules have been delivered and assessed in <insert language>’ followed by a listing of the relevant units/modules
15. comply with the AQF Qualifications Issuance Policy.
    1. All statements of attainment issued by the RTO must:
16. include the following information:
17. the name, RTO Code and logo of the issuing organisation
18. a list of units of competency (or modules where no units of competency exist) showing their full title and the national code for each unit of competency
19. the NRT Logo in accordance with the NRT Logo Conditions of Use Policy
20. the authorised signatory
21. the issuing organisation’s seal, corporate identifier or unique watermark
22. the words ‘A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units or modules’
23. include the following information where applicable:
24. the words ‘These competencies form part of [code and title of qualification(s)/course(s)]’
25. the words, ‘These competencies were attained in completion of [code] course in [full title]’
26. where relevant, the State/Territory Training Authority logo (only where use of the logo is directed by State/ Territory Training Authorities)
27. where relevant, the words, ‘these units / modules have been delivered and assessed in <insert language>’ followed by a listing of the relevant units/modules.
28. comply with the AQF Qualifications Issuance Policy.
    1. The RTO must not include a VET student’s Student Identifier on a testamur or statement of attainment consistent with the *Student Identifiers Act 2014.*

**Student identifiers**

* 1. The RTO must meet the requirements of the Student Identifier scheme, including:
     1. verifying with the Registrar a Student Identifier provided to it by an individual before using that Student Identifier for any purpose
     2. ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the *Student Identifiers Act 2014*
     3. ensuring that where an exemption described in clause 10(b) applies, it will inform the VET student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar.

**Nationally Recognised Training logo**

* 1. The RTO must only use the Nationally Recognised Training Logo in accordance with the Nationally Recognised Training Conditions of Use Policy.

**Transition of training products**

* 1. Unless otherwise approved by the VET Regulator, the RTO must ensure that:

1. where a training product on its scope of registration is superseded:
   1. no new VET students are enrolled in the superseded training product from the period commencing one year from the date the replacement training product was released on the National Register
   2. all existing VET students’ training and assessment is completed and the relevant AQF certification documentation is issued, or VET students are transferred into the replacement training product, in a timely manner.
2. where an AQF qualification is no longer current and has not been superseded, all VET students’ training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register
3. where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all VET students’ training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register.
   1. The RTO must ensure new VET students do not commence training and assessment in a training product that has expired or been removed or deleted from the National Register.

### ACCOUNTABILITY

**Annual declaration on compliance**

* 1. The RTO must submit an annual declaration on compliance with the VET Quality Framework to the VET Regulator within the relevant reporting period.

**Notification of material changes**

* 1. The RTO must notify the VET Regulator in writing, and as soon as practicable but no later than 10 business days after the RTO becomes aware of the matter, if:
     1. there is a substantial change to its operations or any event that would significantly affect the RTO’s ability to comply with these standards, or
     2. there is a change to the name or contact details of a person who exercises a degree of control or influence over the management or direction of the RTO, or
     3. there are, or are likely to be, other material changes to the operations of the RTO, including changes of ownership.

The RTO must provide such information as the VET Regulator requests in relation to these matters.

**Third party arrangements**

* 1. The RTO must ensure that where services are provided on its behalf by a third party, the provision of those services is subject to a written agreement which includes:
     1. the names of the parties
     2. the start and end date of the agreement
     3. the obligations of the parties
     4. the quality assurance and monitoring mechanisms
     5. a requirement that the third party cooperate with the VET Regulator:

1. in the conduct of audits and the monitoring of its operations
2. by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services
   * 1. conditions and restrictions relating to the use of logos, including the Nationally Recognised Training logo and the RTO’s branding in the delivery of services and advertising and the issuing of AQF certification documentation.
   1. The RTO must notify the VET Regulator:
3. of any written agreement entered into under clause 15 within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
4. within 30 calendar days of the agreement coming to an end.

**Prepaid fee protection measures**

* 1. Where fees are prepaid, there are systems in place to ensure refund of these fees if the RTO is unable to deliver the agreed training and assessment.
  2. Where the RTO requires, either directly or through a third party, a prospective or current VET student to prepay fees in excess of a total of $1,500 (being the threshold prepaid fee amount), the RTO must meet the following fee protection requirements:
     1. If the RTO is a Government Entity or an Australian University and is unable to provide services for which the VET student has prepaid, the RTO must have a policy outlining how the VET student will:

1. be placed into an equivalent course such that the new location is suitable to the VET student; and the VET student receives the full services for which they have prepaid at no additional cost to the VET student, or
2. be paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount.
   * 1. All other RTOs must implement one or more of the following arrangements:
   1. The RTO holds an unconditional financial guarantee from a bank operating in Australia where:
      1. the guarantee is for an amount no less than the total amount of prepaid fees held by the RTO in excess of the threshold prepaid fee amount for each VET student for services to be provided by the RTO to those VET students; and
      2. all establishment and ongoing maintenance costs for the bank guarantee are met by the RTO.
   2. The RTO holds current membership of a Tuition Assurance Scheme approved by its VET Regulator which, if the RTO is unable to provide services for which the VET student has prepaid, must ensure:
      1. the VET student will be placed into an equivalent course such that the new location is geographically close to where the VET student had been enrolled and the VET student receives the full services for which they have prepaid at no additional cost to the VET student; or
      2. if an equivalent course cannot be found, the VET student is paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount.
   3. Any other fee protection measure approved for the RTO by the VET Regulator.

**Public liability insurance**

* 1. The RTO must hold public liability insurance that covers the scope of its operations throughout its registration period.

**Compliance with other requirements**

* 1. The RTO must comply with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

### SCHEDULE 1 – FIT AND PROPER PERSON REQUIREMENTS

**1  Application of Fit and Proper Person Requirements**

 (1) The VET Regulator must have regard to all matters it considers relevant that are specified in this Schedule when determining whether a person specified in subsection (2) is a fit and proper person for the purposes of registration, renewing registration, or maintaining registration as a registered training organisation.

 (2) A person will not be a fit and proper person, if the VET Regulator is satisfied that, having regard to all matters it considers relevant in this Schedule, one or more of the following persons are not a fit and proper person:

 (a)  governing persons of the registered training organisation; or

 (b) any person which exercises a degree of control or influence over the management or direction of the registered training organisation.

Note: The definition of ‘person’ includes a body politic or corporate as well as an individual: see section 2C of the *Acts Interpretation Act 1901*.

Note 2: Subsection (2) does not limit the types of persons which the VET Regulator may have regard to when undertaking a fit and proper person assessment.

**2  Compliance with law**

 (1) Regardless of whether a conviction has been recorded, the VET Regulator may have regard to whether the person has been found guilty of an offence against, or ordered to pay a pecuniary penalty under, a law of the Commonwealth or a State or Territory.

Note: Part VIIC of the *Crimes Act 1914* includes provisions that, in certain circumstances, relieve persons from the requirement to disclose spent convictions and require persons aware of such convictions to disregard them. Nothing in subsection (1) affects the operation of Part VIIC of the *Crimes Act 1914*.

 (2) The VET Regulator may have regard to the seriousness of, and the time elapsed since the offence, conviction, or matter to which the pecuniary penalty relates occurred.

 (3) The VET Regulator may have regard to whether the person is currently involved in proceedings before a court or tribunal.

 (4) The VET Regulator may have regard to whether the person has been found guilty of a foreign offence (within the meaning of section 85ZL of the *Crimes Act 1914*).

**3  Management history**

 (1) The VET Regulator may have regard to whether one or more of the following has been cancelled, revoked, suspended or rejected:

 (a) the person’s registration as a registered training organisation;

 (b) the person’s application for registration or renewal of registration as a registered training organisation;

 (c) the person’s approval as an approved course provider (within the meaning of the *VET Student Loans Act 2016*) or VET provider (within the meaning of the *Higher Education Support Act 2003*);

 (d) subsidy funding arrangements with a State or Territory for the provision of education by the person.

 (2) The VET Regulator may have regard to whether the person has:

 (a) breached a condition of registration; or

 (b) had a condition imposed by way of sanction on a registration, approval or arrangement mentioned in subsection (1) and has breached such a condition.

 (3) The VET Regulator may have regard to whether the person has ever been a manager or director of a registered higher education provider (within the meaning of the *Tertiary Education Quality and Standards Agency Act 2011*) or registered provider (within the meaning of the *Education Services for Overseas Students Act 2000*) at a time that the registered higher education provider or registered provider was determined to have breached a condition of its registration under the:

 (a) *Education Services for Overseas Students Act 2000*; or

 (b) *Tertiary Education Quality and Standards Agency Act 2011*.

 (4) The VET Regulator may have regard to whether the person has ever been involved:

 (a) in the business of delivering courses or other services on behalf of a person that was the subject of regulatory action described in subsections (1), (2) or (3); or

 (b) with an entity at the time that entity was found to have breached a government training contract.

 (5) The VET Regulator may have regard to whether the person has been disqualified from managing corporations under Part 2D.6 of the *Corporations Act 2001*.

**4  Financial record**

  The VET Regulator may have regard to whether the person:

 (a) has been insolvent or bankrupt; or

 (b) has taken steps to take the benefit of any law for the relief of bankrupt or insolvent debtors; or

 (c) has compounded with one or more creditors; or

 (d) has assigned remuneration for the benefit of one or more creditors; or

 (e) has been under external administration (within the meaning of subsection 600H(2) of the *Corporations Act 2001*); or

 (f) has outstanding debts to the Commonwealth.

**5  Provision of information**

  The VET Regulator may have regard to whether the person has provided false or misleading information to any of the following in circumstances where it is reasonable to assume that the person knew that the information was false or misleading:

 (a) a VET Regulator;

 (b) the Tertiary Education Quality and Standards Agency;

 (c) the TPS Director (within the meaning of the *Education Services for Overseas Students Act 2000*), including in the TPS Director’s capacity as the VSL Tuition Protection Director under the *VET Student Loans Act 2016* and the Higher Education Tuition Protection Director under the *Higher Education Support Act 2003*;

 (d) the Minister, the Department or the Secretary;

 (e) an authority of a State or Territory that deals with subsidy funding arrangements for education.

**6  Previous conduct and involvements**

 (1) The VET Regulator may have regard to whether the person has previously been found not to be a fit and proper person for the purposes of one or more of the following:

 (a) the Act;

 (b) the *Australian Education Act 2013*;

 (c) the *Education Services for Overseas Students Act 2000*;

 (d) the *Higher Education Support Act 2003*;

 (e) the *Tertiary Education Quality and Standards Agency Act 2011*;

 (f) the *VET Student Loans Act 2016*;

 (g) subsidy funding arrangements with a State or Territory for the provision of education;

 (h) any other law of the Commonwealth or of a State or Territory.

 (2) The VET Regulator may have regard to whether the person has engaged in conduct that reasonably suggests a deliberate pattern of unethical behaviour.

 (3) The VET Regulator may have regard to any other matter it considers relevant.

**7  Additional considerations**

  The VET Regulator may have regard to whether the public is unlikely to have confidence in the person's suitability to be involved in an organisation that provides, assesses or issues nationally recognised qualifications.

### SCHEDULE 2 – NATIONALLY RECOGNISED TRAINING LOGO CONDITIONS OF USE POLICY

**1  The Nationally Recognised Training Logo**

1. The Nationally Recognised Training (NRT) Logo is a distinguishable mark of quality for promoting and certifying national vocational education and training leading to Australian Qualifications Framework (AQF) certification documentation.
2. The NRT Logo is a registered trademark.

**2  Authorisation to use the NRT Logo**

NVR registered training organisations are authorised to use the NRT Logo in accordance with this policy.

**3  Overarching principles**

1. The NRT Logo may only be used by NVR organisations in accordance with this policy and any requirements imposed in an instrument made under section 185 of the *National Vocational Education and Training Regulator Act 2011*.
2. The NRT Logo may only be used in association with nationally recognised training which may include:
3. training package qualifications
4. accredited qualifications
5. accredited courses
6. training package skill sets
7. units of competency and accredited modules.
8. All nationally recognised training is listed on the National Register (at training.gov.au). The NRT Logo must not be used in a way that creates misleading impressions.

**4  Use of the NRT Logo on AQF certification documentation**

1. The NRT Logo must be depicted on all AQF certification documentation issued by an NVR registered training organisation.
2. The NRT Logo must not be depicted on other testamurs or transcripts of results.

**5  Use of the NRT Logo in other circumstances**

1. The NRT Logo may be used in some other circumstances as detailed below.

*Advertisements and promotional information in any medium (including but not limited to print, television, radio, banners, and internet)*

1. NVR registered training organisations may use the NRT Logo to promote nationally recognised training provided that training is within the organisation’s scope of registration.
2. In using the NRT Logo for this purpose, the organisation must not create the impression that the NRT Logo applies to, or is associated with all training provided by the organisation, if this is not the case.
3. The NRT Logo cannot be used by an organisation where the training is accredited, but is outside the scope of the organisation’s registration. Where training is being promoted and does not meet the requirements stipulated in the VET Quality Framework or is outside the organisation’s scope of registration, it must be made clear the NRT Logo is not associated with that training.
4. Use of the NRT Logo is only permitted where there is a direct relationship to an AQF qualification and/or unit of competency as specified within training packages or VET accredited courses.

*Student information*

1. Where an NVR registered training organisation uses the NRT Logo in promotional material such as brochures, handbooks or prospectuses that also refers to training offered by the organisation, the promotional material must clearly distinguish between nationally recognised training within the scope of the organisation’s registration and any other type of training offered by the organisation.

*Corporate stationery, business cards, buildings, training resources and merchandise*

1. The NRT Logo must not be used on products such as corporate stationery, business cards, building signage, merchandise and marketing products (e.g. mouse pads, pens, satchels, or packaging around products), or learning resources supporting training.

**6  Standards for the use of the NRT Logo**

*Format for reproduction*

1. The NRT Logo can only be reproduced from hard or electronic copies provided by the National VET Regulator.
2. The NRT logo consists of both the triangular shape and the descriptor. The triangle is not to be used without the descriptor. The typeface is Fritz Quadrata. Under no circumstances is the descriptor to be typeset in any other typeface.
3. The complete NRT Logo may be varied in size. The size and position of the NRT Logo on the final product is at the discretion of the product designer. Although the size of the logo may be varied, the proportions of the triangle and the descriptor in relation to each other may not be varied. Under no circumstance is the logo to be reproduced in mirror image or be rotated.

*Two colour reproduction*

1. Where the NRT Logo is reproduced in colour, it must comply with the following colour requirements. Deviation from these colours is not permitted, nor are colours to be swapped around or stippled. The only colours to be used are:

**GREEN PMS 343**    
**RED PMS 192**

*One colour reproduction*

1. Where the NRT Logo is reproduced in one colour, it should preferably be in GREEN PMS 343 or, where this is not suitable, it may be reproduced in black. In some situations the background colour may clash or the logo may not be prominent. In those situations, the black logo may be reversed out to display in white.

**Examples of logo reproduction**



### GLOSSARY

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| --- |
| **Accredited short course** means a course accredited by the VET Regulator in accordance with the Standards for VET Accredited Courses made under subsection 188(1) of the *National Vocational Education and Training Regulator Act 2011* (or the equivalent requirements adopted by a non-referring State) that leads to a statement of attainment.  **Australian Qualifications Framework (AQF)** has the same meaning as in the *National Vocational Education and Training Regulator Act 2011*.  **Authenticated VET transcript** has the meaning given in the *Student Identifiers Act 2014*.  **AQF certification documentation** is the set of official documents that confirms that an AQF qualification or statement of attainment has been issued to an individual.  **AQF qualification** means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.  **Audit** means a compliance audit undertaken by the VET Regulator.  **Conditions of Use** means the Nationally Recognised Training Logo (NRT Logo) Conditions of Use Policy made by the Ministerial Council that outlines the requirements that must be followed when using the NRT Logo.  **Government entity** means:   1. a Department of State of the Commonwealth; or 2. a Department of the Parliament established under the Parliamentary Service Act 1999 of the Commonwealth; 3. an Executive Agency, or Statutory Agency, within the meaning of the Public Service Act 1999 of the Commonwealth; 4. a Department of State of a State or Territory; or 5. an organisation that:    1. is not an entity; and    2. is either established by the Commonwealth, a State or a Territory (whether under a law or not) to carry on an enterprise or established for a public purpose by an Australian law; and    3. can be separately identified by reference to the nature of the activities carried on through the organisation or the location of the organisation whether or not the organisation is part of a department or branch described in paragraph (a), (b), (c) or (d) or of another organisation of the kind described in this paragraph.   **Governing persons** means the person(s) and/or body(ies) that are responsible for overseeing and directing, and exercise a degree of control or influence over, the management or operation of the RTO,including executive officers.  **Nationally Recognised Training Logo** means the logo used nationally to signify training packages and VET accredited courses.  **RTO code** means the registration identifier given to the RTO on the National Register.  **Skill set** means a single unit of competency or a combination of units of competency from one or multiple training packages which link to a licensing or regulatory requirement, or a defined industry need.  **Statement of attainment** means a statement issued to a person confirming that the person has satisfied the requirements of the unit(s) of competency, modules or accredited short course specified in the statement.  **Student Identifier** has the meaning given in the *Student Identifiers Act 2014*.  **Third party** means an entity with which the RTO has an arrangement for that other entity to deliver any of the following services on behalf of the RTO:   * training * assessment * training support services, and * activities related to the recruitment of prospective VET students including marketing, enrolment, induction or collection of fees.   A third party does not include:   * employees of the RTO that deliver training or assessment * other entities that deliver VET student counselling or mediation or provide ICT or other support services * experts who contribute to training or assessment, or * an entity that refers VET students to the RTO where the referring entity does not receive payment from the RTO and the referring entity is a government agency or government funded agency.   **Training product** means AQF qualification, skill set, unit of competency, modules and accredited short course.  **Unit of competency** means the specification of the standards of performance required in the workplace as defined in a training package or accredited course.  **VET Regulator** means:   * the National VET Regulator * a body of a non-referring State that is responsible for the kinds of matters dealt with under the VET legislation for that State. |