

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

Applicant Details			
Applicant Name	Exercise Research Australia Pty Ltd	TOID	22490
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Audit Team			
Audit Firm	ShineWing Australia	Lead Auditor	John Molenaar
Auditor/s		Other Attendees	Melissa Arkinstall, Managing Director Simon Lovett, Education Manager Adrienne Bratchford, Training Coordinator George Karagiannakis, Training Quality Coordinator
Registering Body Details			
Contact Person	Julie Florence		
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Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	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
2016 VRQA Guidelines Audited	3.1, 3.2	4.1,4.2	
Audit Date/s	August 2020		
RTO Background			
Organisation background			
Exercise Research Australia (ERA)			
<p>Exercise Research Australia (ERA) has a 17-year history that started in high performance sport, assisting AFL clubs, as well as the Victorian Institute of Sport. This has progressed into the education space over the last 10 years, with the ability to bridge the gap between theory and practice in VCE PE and Vocational Training (specifically Allied Health and Fitness). ERA entered the vocational education and training sector in 2010, initially through offering business allied health courses, to improve the quality of graduates entering the allied health and fitness industries. ERA aims to provide students with high quality training that is industry relevant, supported by commercial provision of these services.</p> <p>ERA was founded in 2004 to deliver high performance sports testing with a vision to working with both elite and sub-elite athletes. Achieving National accreditation in 2005, ERA became a Nationally Accredited Sports</p>			

testing facility. The education services were launched in 2007, commencing with key presentations at sports coaching workshops at the Victorian Physical Education Teacher Conferences and progressed to VCE PE school programs. In 2010 ERA registered as a Registered Training Organisation, initially delivering Certificates in Fitness. The University Internship Program was launched in 2016, utilising its expertise in high performing sports and science education. ERA opened an exercise and rehabilitation clinic in 2017 providing valuable learning outcomes for student interns and a much needed service to the community.

The ERA facilities are the first of their kind, providing students with the opportunity to learn practical skills in a high-performance sport science laboratory and fully equipped gymnasium. A number of teaching classrooms offer the use of the latest technology to maximise learning. The ERA team of industry experts, who are also practicing professionals, are motivated by their ability to provide clients with the essential skills and knowledge sought by industry groups and employers. As an employer of allied health and fitness graduates, ERA brings both industry currency and professional expertise to the training environment that brings significant benefits to both students and industry alike.

ERA areas of operation include:

- Offering University Internships
- Supporting the delivery of VCE Physical Education support programs
- Telehealth programs, supporting community members to 'Achieve Your Health & Fitness Goals Without Leaving Home'
- Delivering the International Society for the Advancement of Kinanthropometry (ISAK) qualification
- Providing a community exercise and rehabilitation clinic, offering clinical guidance to members of the local community that aims to improve their health outcomes.

The ERA education and sports science teams are comprised of a number of enthusiastic, qualified and dedicated professionals who have first-hand experience in specialised education and testing services. From the selection of industry partners, to the equipment in their facility, ERA aims to deliver optimum outcomes.

RTO Background

In 2010 ERA registered as a Registered Training Organisation, initially delivering Certificates in Fitness. The current Scope of Registration includes one qualification: *HLT43015 Certificate IV in Allied Health Assistance (Physiotherapy)*. This qualification is offered to 1st, 2nd or 3rd year university students studying a Bachelor of Exercise and Sports Science or another exercise, or allied health related undergraduate degree and thus have knowledge of body systems. They are typically under 25 years of age, studying concurrently and are not usually employed directly in the allied health industry.

The qualification is delivered over a 12-month period in conjunction with the learners completing their Degree qualification. The Intern Program involves learners in a number of master classes and access to industry experiences including ERA Strength and Conditioning/Coaching, Lab Testing, Field Testing to develop knowledge of and skills in the preparation and delivery of lab and field testing, the generation of testing reports, blood lactate analysis (schools services), hydration analysis, the delivery of strength and conditioning principles and the development of individualised program plans.

In addition, learners will have access to the ERA Physiotherapy Mentor Program, which provides students with exposure to physiotherapists working in multiple settings and enables them to obtain valuable experience in strategically chosen face-to-face classes. It also provides students with a mentor who can provide insight into the industry and discuss both career and study pathways available in Allied Health.

ERA enrolls approximately one hundred learners in the *HLT43015 Certificate IV in Allied Health Assistance (Physiotherapy)* each year. All learners are currently enrolled in a Bachelor of Exercise and Sports Science or another exercise, or allied health related undergraduate degree and complete that qualification in conjunction with an ERA Internship. Most students are eligible for Skills First funding.

ERA employs four part-time trainers/assessors and one assessor who maintain industry currency through continuing to work part-time in sectors of the allied health industry and physiotherapy.

A key element of the learning and assessment program includes practical activities at the ERA facilities in gymnasium and clinical workshops, online learning and assessment through the 'CANVAS' LMS and workplace practical experience through work placement.

Summary of audit findings

ERA provided evidence, through Dropbox file transfer, with access to the ERA 'CANVAS' LMS that enabled the review of learning and assessment resources and completed student assessments. The learning and assessment resources, activities and tasks were extensive and provided adequate opportunities for learners to demonstrate understanding of knowledge and skills. The LMS system maintained all records of student progress. Ready access to trainers and mentors supported learners to complete tasks.

Two areas of non-compliance were identified:

- At Standard 2.2, mechanisms for the collecting of student feedback on the effectiveness of student support mechanisms had not been implemented.
- At Standard 1.5, inadequate records were maintained to confirm that candidates had interacted with clients and/or groups, to complete required unit assessment tasks while on placement, with the minimum number of required of clients and/or groups.

A review of current learning and assessment resources will ensure that required modifications are made to Third Party Reports, to enable the recording of observed demonstrations, with the required number of clients/groups in a workplace.

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Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
HLT43015	<i>Certificate IV in Allied Health Assistance (Physiotherapy)</i> Units: HLTAHA003 Deliver and monitor a client-specific physiotherapy program HLTAHA011 Conduct group sessions for individual client outcomes CHCAGE001 Facilitate the empowerment of older people	4-6 Theobald Street, Thornbury VIC 3071

Interviewee(s) – Staff name and position; employer name and position	
Six students via Zoom Meeting	Students: Certificate IV in Allied Health Assistance (Physiotherapy)
Adrienne Bratchford	Trainer/assessor: Certificate IV in Allied Health Assistance (Physiotherapy)
Sarah Leeming	Trainer/assessor: Certificate IV in Allied Health Assistance (Physiotherapy)

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
All face to face training is delivered at 4-6 Theobald Street, Thornbury VIC 3071		

Third party Arrangements –	Yes	No
Do the RTO's third party arrangements match the information provided by the VRQA?	X	
No third party or auspice arrangements had been entered into for the delivery and assessment of units.		

¹ Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

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Audit Summary - AQTF Conditions of Registration

AQTF Conditions Place an X in the appropriate column		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		

Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1	X		
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	
Standard 2	X		
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		
Standard 3	X		
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		
Summary of Non-Compliance²			
<p>SF.1.5.1 For the unit assessments sampled, records of workplace observation of the demonstration of skills, to meet the specific unit assessment requirements were not adequately maintained. Each unit sampled required specific demonstration of skills through working with clients and/or groups, in a simulated environment and in the workplace, working with real people,</p> <p>SF.2.2.1 Though Exercise Research Australia Pty Ltd had collected data for the continuous improvement of its services, information related specifically to the effectiveness of client services, to enable the analysing and acting upon relevant information to ensure that student services met student needs, was not provided.</p>			

² SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.

Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
1. Governance, Financial viability and Management systems			X
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
2. Transparency and oversight of third parties			X
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)	X		
3.1 – Vocational & Industry skill requirements	X		
3.2 – Training and Assessment (TAE) skill requirements	X		
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
4. Delivery of training and assessment services	X		
4.1 – Training and assessment practices	X		
4.2 – Amount of training	X		
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
5. Annual Declaration of Compliance			X
5.1 – Annual Declaration of Compliance			X

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Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration Audit		
CF.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit	N/A
CONDITION 2 - Interactions with the Registering Body		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration Audit		
CF. 2	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit	N/A

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CONDITION 3 - Compliance with Legislation		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Allied Health Internship - Student Handbook • Registration Form template • Child safe policy • Meeting legislative requirements Policy and Procedure • General Team Meeting - 24062020 (June) • General Team Meeting - 29072020 (July) • Pandemic Policy and Procedure • VET Induction Program 		
CF.3.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd had identified and implemented relevant Commonwealth, State or Territory legislation and regulatory requirements that were relevant to its operations and its scope of registration. It ensured that its staff and clients were fully informed of these requirements that affected their duties or participation in vocational education and training through staff induction programs, providing updates at general team meetings and in the Allied Health Internship – Student Handbook.</p>	N/A

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CONDITION 4 - Insurance		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration Audit		
CF. 4	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit	N/A

CONDITION 5 - Financial Management		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration Audit		
CF. 5	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit	N/A

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CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment	Compliant
Evidence/Documentation Reviewed	
<ul style="list-style-type: none"> • Qualifications and SOAs Issuance Policy and Procedure • Sample Certificate - HLT43015 Certificate IV in Allied Health Assistance (on 16 April 2020) • Sample Statement of Results - HLT43015 Certificate IV in Allied Health Assistance - Enrolment date, unit code and title, result. • Sample SOA - HLTAAP001 Recognise healthy body systems and HLTAAP002 Confirm physical health status 21 May 2020 • Award Register Contact Report • Responsibilities were identified in the RACI (Responsible, accountable, consulted and informed) Matrix. • Records Management Policy and Procedure • Qualifications and SOAs Issuance Policy and Procedure • SVTS Validation History Report • VETtrak License Agreement • NCVET AVETMISS Software Register • Enrolment Form • Claim Management Process Map • RACI (Responsible, accountable, consulted and informed) Matrix. • NAT00120 and NAT00130 of the latest SVTS submission (31 July) • Snapshots of Online Registration Form • Online Registration USI section • Online Registration USI Student Privacy • Template Registration Form • Enrolment and Pre-Training Review Policy and Procedure • USI Compatible SMS Register 	

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CF.6.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd had issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF) TGA. The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service. A sample of a certificate, Statement of Results and Statement of Attainment were provided for review. The Award Register Report identified awards issued in 2019. This included a total of 134 awards for the qualification HLT43015 Certificate IV in Allied Health Assistance.	N/A
CF.6.2.	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years. Records from the SMS were provided that identified the awards issued in 2019, as a sample of the records maintained. The Qualifications and SOAs Issuance Policy and Procedure identified retention periods.	N/A
CF.6.3.	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd had a student records management system, (VETtrak), in place that had the capacity to provide the registering body with AVETMISS compliant data. Responsibilities were identified in the RACI matrix.	N/A
CF.6.4.	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2020 through monthly SVTS reporting, copies of the NAT files, confirmed submission of data on 31 July 2020.	N/A

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CF.6.5.	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd met the requirements for implementation of a national unique student identifier. Applicants are required to apply for a USI during the application phase. The USI section of the online application form contains information about how the applicant can obtain a USI. All USIs are recorded and verified in ERA's SMS, VETtrak.</p>	<p>N/A</p>

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CONDITION 7 - Recognition of Qualifications Issued by other RTOs		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Allied Health Internship - Student Handbook • Example of CT Application - HLT43015 Certificate IV in Allied Health Assistance 2/5/2020 • Example of CT Implementation • Recognition of Qualifications and Credit Transfer Policy and Procedure • Student Enrolment Privacy Notice. • Allied Health Internship - Student Handbook 		
CF.7.1	Finding	Required Rectification(s)
	<ul style="list-style-type: none"> • Exercise Research Australia Pty Ltd had procedures in place (Recognition of Qualifications and Credit Transfer Policy and Procedure) for the recognition of AQF Qualifications and Statements of Attainment issued by any other RTO. Students were informed in the Allied Health Internship - Student Handbook. 	N/A

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CONDITION 8 - Accuracy and Integrity of Marketing		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Accredited Marketing • Consent Enrolment Form • Consent Rego Form • ERA Program Outline HLT43015 • Media Consent Form • Non-Accredited Marketing Email Example (Schools Product) • Marketing and Advertising Policy and Procedure • Marketing Checklist • Allied Health Internship - Student Handbook • Marketing and Advertising Policy and Procedure • 2020 Program Enrolment Form 		
CF.8.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd had ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration. A number of samples of marketing and information materials were reviewed including website, Facebook and Instagram sources, and the Allied Health Internship Certificate IV in Allied Health Assistance (Physiotherapy) HLT43015 Program Outline. The NRT logo was employed in accordance with its conditions of use. The Marketing and Advertising Policy and Procedure outlined the procedures and conditions to be adopted.</p>	N/A

Improvement Opportunities

The Allied Health Internship Certificate IV in Allied Health Assistance (Physiotherapy) – HLT43015 - the Student Handbook included the use of the NRT logo on the front cover. The logo was used adjacent to the 'ERA exercise research Australia'. Though the NRT logo was permitted to be used on student information (brochures, course handbooks, prospectuses, etc), its use was only to be used in direct association with an accredited qualification, unit, or course.

Exercise Research Australia Pty Ltd would benefit by ensuring that the use of the NRT logo was used only in direct association with an accredited qualification, unit or course and not in direct association with the organisation's identifier.

The 2020 Program Enrolment Form - 15. Enrolment Terms and Conditions requested the student to opt out of:

IMAGE & TESTIMONIAL USE PERMISSION ERA reserves the right to use photographs or videos of students taken during the training course delivery for media and promotional purposes. Under the agreement of enrolment ERA reserves the rights for the usage of your image and or testimonial in the Marketing and Advertising materials of ERA.

Exercise Research Australia Pty Ltd would benefit by, in the interests of transparency and commitment to student privacy, including an 'opt in' procedure and to provide information about how and where images will be used and for the applicable time period.

Exercise Research Australia Pty Ltd would benefit by maintaining a Register of Marketing Materials approved for publication.

Exercise Research Australia Pty Ltd would benefit by maintaining a Register of Images used in marketing and promotional materials and identifying the name of the student image used, the purpose for its use and the timeframe within which the image will be used together with the date that authority for use was provided by the learner.

Exercise Research Australia Pty Ltd would benefit by identifying qualifications using the TGA nomenclature – *Qualification Code* followed by *Unit Title*.

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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Transition from Superseded Training Products Policy and Procedure • RTO TGA Report 		
CF.9.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd had provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA. ERA had only one qualification on scope, i.e. HLT43015 Allied Health Internship Certificate IV in Allied Health Assistance (Physiotherapy) from the Health Training Package endorsed in 2015, which was the current qualification.</p>	N/A

Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Continuous Improvement Policy and Procedure • Continuous Improvement Register • 2019 QI Repot • 2019 Survey Summary • 020320 - Physiohealth (Placement Feedback) 		
SF.1.1.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd collected, analysed and acted on relevant data for continuous improvement of training and assessment as identified in the Continuous Improvement Register 2017-2020.</p> <p>Feedback was sought from learners through the QI Survey tool and the ERA Course Completion Questionnaire – Learner (2019 - eight surveys completed), however the Continuous Improvement Register did not include feedback from learners that would improve learning and assessment arrangements. There was no evidence provided, that actions identified and implemented, had been periodically reviewed to ensure that they were effective.</p>	N/A

Improvement Opportunities
<p>Feedback was sought from learners through the QI Survey tool and the ERA Course Completion Questionnaire – Learner (2019 – eight surveys completed), however the Continuous Improvement Register did not include feedback from learners that would improve learning and assessment arrangements. There was no evidence provided that actions identified and implemented had been periodically reviewed to ensure that they were effective.</p>

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Exercise Research Australia Pty Ltd would benefit by including feedback from learners in the Continuous Improvement Register and identifying/implementing actions that would confirm that learner feedback had been acted on.

Exercise Research Australia Pty Ltd would benefit by including in the Continuous Improvement Register, for each action, date for the review of the effectiveness of the action/s in addressing feedback received and to confirm that all actions had been effectively implemented.

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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
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Training and Assessment Policy and Procedure • Training and Assessment Strategy HLT43015 Certificate IV in Allied Health Assistance (Physiotherapy) (Version identifier - signed by Education Manager, Simon Lovett 24/7/2020) • Program Structure and Delivery Schedule • Industry Engagement Register • Program Placement Partners • Human Resources – Staff Matrix – Trainers and Assessors • Training and Assessment Resources Summary 		
SF.1.2.1	Finding	Required Rectification(s)
	Strategies for training and assessment met the requirements of the relevant Training Package and were developed in consultation with industry. Industry Engagement Summary was provided which included feedback from four industry partners including health and compliance specialists. A list of Placement Partners confirmed adequacy of placement options for learners.	N/A

Improvement Opportunities

Exercise Research Australia Pty Ltd included in training and assessment arrangements, information about delivery and assessment staff and required training and assessment qualifications. Exercise Research Australia Pty Ltd would benefit by including in the TAS the vocational qualification/s and experience requirements of trainers/assessors.

Exercise Research Australia Pty Ltd would benefit by obtaining feedback from employers/industry about what they consider the experience of trainers/assessors for the qualification should be, in order to deliver an effective program to the industry standard.

The Training and Assessment Strategy for the qualification HLT43015 Certificate IV in Allied Health Assistance (Physiotherapy) included a rationale for the amount of training and referred to the existing skills, knowledge and experience of candidates. Exercise Research Australia Pty Ltd would benefit by including, the existing skills, knowledge and experience of candidates, as identified in the learner cohort section of the TAS ('Our students') and link the student cohort information, entry requirements and the learner support available to candidates, to the rationale for the amount of training.

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
Evidence/Documentation Reviewed	
<p>Staff information, facilities, equipment and training and assessment materials for the following qualifications and units:</p> <p>HLT43015 Certificate IV in Allied Health Assistance (Physiotherapy) Units: HLTAHA003 Deliver and monitor a client-specific physiotherapy program HLTAHA011 Conduct group sessions for individual client outcomes CHCAGE001 Facilitate the empowerment of older people</p> <p>'Virtual Facility Tour' provided an overview of the location and setting of the training. Statutory Declaration required. Sample of resources maintained in 'CANVAS' portal, including information about support services and assessment materials that the students had access to. Trainer Guide - trainer progression through the modules of delivery. Equipment list for each session. Mapping document for the selected units.</p> <p>HLTAHA003 Deliver and monitor a client-specific physiotherapy program - Physio cluster HLTAHA011 Conduct group sessions for individual client outcomes – Musculoskeletal rehabilitation cluster CHCAGE001 Facilitate the empowerment of older people – AHA older adults general elective cluster</p> <p>Student learning resources reviewed included:</p> <ul style="list-style-type: none"> • CANVAS' LMS - Platform and program induction module. • Visual coaching pro (VCP) tutorials. • Lecture notes, module notes, screencasts, videos and additional resources including documents and website – available on 'CANVAS'. • Practical face to face workshop materials. • 'CANVAS' discussion boards • Zoom online meetings • Tutorial session materials. 	

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Physical facilities include:

- Gymnasium
- Structured clinical environment
- High Performance Laboratory
- Gymnasium
- Exercise and rehabilitation
- Classroom – capacity 25 students
- Lecture room – capacity 25 students
- Staffroom

Training and assessment resources:

Identified in VET Delivery OneNote resource.

ERA team members involved in the delivery and assessment of this qualification had access to the following resources:

- VET Delivery OneNote
 - Module actions
 - Class preparation
 - Module plans and resources
 - Class overview (student details and LL&N needs) and class schedule
- Latest copy of assessment tools used for this qualification located in SharePoint
- Current version of the units of competency, assessment requirements, relevant Training Package and resource links were found on www.training.gov.au
- Trainer marking guides (located within the assessment tool)
- Support materials, equipment and facilities to meet the requirements of each unit of competency and successfully implement the program:
 - Module notes
 - Lectures (PowerPoint and PDF files)
 - Fully equipped gym
 - Mobility aids
 - Screencasts
 - Laptops and projectors/smart boards
 - iPads

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- Online LMS: 'CANVAS'
- Student placement software (Sonia)
- Student management system (VETtrak)
- Workshop outlines
- Physical equipment required for all workshops
- Zoom Meeting program
- Industry technology – Visual Coaching Pro
- Professional development program

HLTAHA003 Deliver and monitor a client-specific physiotherapy program - Becoming a Physiotherapy Assistant

- 'CANVAS' LMS
- Session Outlines - Topics
- Topic Notes
- Understanding WHS
- Workplace incidents and manual handling
- Mobility aids
- Manual handling
- Documentation and SOAP notes
- Ethics in practice
- Post-operative total hip and knee replacements
- Emergency evacuation
- Rehab client case study
- Placement portfolios
- Assessment tasks
- Assessor Marking Guides

HLTAHA011 Conduct group sessions for individual client outcomes – Musculoskeletal Rehabilitation cluster

- 'CANVAS' LMS
- Session Outlines - Topics

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- Topic notes
- Understanding your patient
- Program Plan
- Delivering your rehab program
- Documenting your rehab session
- Injury rehabilitation pathway preparation
- AHA roles and responsibilities in the rehab environment
- Hydrotherapy and rehabilitation
- Delivering a group program
- Reporting client outcomes
- Musculoskeletal Rehabilitation - Placement Portfolio
- Assessment tasks
- Assessor Marking Guides

CHCAGE001 Facilitate the empowerment of older people – AHA older adults general elective cluster

- 'CANVAS' LMS
- Modules of learning
- Session Outlines – Topics
- Topic notes:
 - Group exercise program plan
 - Group exercise program implementation
 - Group exercise program modification
 - GE Program modification project
 - Older Adults Student Placement Portfolio
 - Assessment tasks
 - Assessor Marking Guides

Trainer/assessor information of four part-time trainers/assessors and one assessor – see Standard 1.4.

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SF.1.3.1	Finding	Required Rectification(s)
	<p>Staff, facilities, equipment and training and assessment materials used by the RTO were consistent with the requirements of the Training Package and the RTO's own training and assessment strategies. ERA provided a video of facilities which included classroom, lecture room, gymnasium, structured clinical environment, high performance laboratory, exercise and rehabilitation laboratory. Learning and assessment resources were maintained in the 'CANVAS' LMS and were reviewed for the sample of units.</p> <p>Exercise Research Australia Pty Ltd had provided a Statutory declaration, signed by the Simon Lovett, Education Manager on 24/08/2020 confirming that:</p> <ol style="list-style-type: none"> 1. The Facility Tour video of the Exercise Research Australia Head Office and training location provided for the purpose of the VRQA re-registration audit was completed in April/May of 2020 and is a true and accurate representation of the training location at the time of audit (August 2020). 2. Attached to this Statutory declaration is a resources list of all the equipment utilised for the HLT43015 - Certificate IV in Allied Health Assistance. This equipment list provides an accurate representation of the resources available at the time of audit (August 2020). 	<p>N/A</p>

Improvement Opportunities
<p>Exercise Research Australia Pty Ltd would benefit by including in the TAS, or providing reference to the source of or providing an attachment to the TAS, that identifies the specific equipment requirements for the delivery and assessment of each unit.</p> <p>Exercise Research Australia Pty Ltd would benefit by obtaining feedback from employers/industry about what they consider the experience of trainers/assessors for the qualification should be, in order to deliver an effective program to the industry standard.</p>

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<p>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Trainer/assessor information for the following qualifications and units:</p> <p>HLT43015 Certificate IV in Allied Health Assistance (Physiotherapy) Units: <i>HLTAHA003 Deliver and monitor a client-specific physiotherapy program</i> <i>HLTAHA011 Conduct group sessions for individual client outcomes</i> <i>CHCAGE001 Facilitate the empowerment of older people</i></p> <p>Trainer and Assessor Register Trainer files for the following:</p> <ul style="list-style-type: none"> • Trainer/assessor: Sarah Leeming 19/6/2018 • Trainer/assessor: Daniel Browne 1/4/2019 • Trainer/assessor: Ben Lennard 8/8/2019 • Trainer/assessor: Adam Heath 16/1/2020 <p>Assessor files for the following assessor:</p> <ul style="list-style-type: none"> • Nick Meehan 1/3/2018 <p>Trainer/assessor interviews:</p> <ul style="list-style-type: none"> • Adrienne Bratchford • Sarah Leeming 	

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SF.1.4.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd employs four part-time trainers/assessors and one assessor. Each trainer/assessor delivers for one group of students (20 – 25 students). Enrolments in 2020 include 104 students. Two trainers/assessors were interviewed via Zoom, as part of the Desk Audit.</p> <p>A review of trainer/assessor information of four part-time trainers/assessors and one assessor confirmed that training and assessment was delivered by trainers and assessors who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed and evidence was provided that they held industry currency and industry skills directly relevant to the training/assessment being undertaken. Professional development logs provided information about how they continued to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p> <p>Trainers/assessors interviewed at audit, confirmed that they were provided with adequate support and opportunities for professional development. They provided input to training and assessment arrangements through TAS development and fortnightly General Team Meetings.</p>	<p>N/A</p>

Improvement Opportunities
<p>Exercise Research Australia Pty Ltd included in training and assessment arrangements, information about delivery and assessment staff and required training and assessment qualifications. Trainer/assessor register identified the higher education academic qualifications held, however, vocational qualifications relevant to the qualification and units being delivered were not identified.</p> <p>Exercise Research Australia Pty Ltd would benefit by including in the TAS, the vocational qualification and experience requirements of trainers/assessors and including in trainer/assessor files, the vocational qualifications held.</p>

<p>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL): 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.</p>	<p>Non-Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Assessment strategies for the following qualifications and units:</p> <p>HLT43015 Certificate IV in Allied Health Assistance (Physiotherapy) Units: <i>HLTAHA003 Deliver and monitor a client-specific physiotherapy program</i> <i>HLTAHA011 Conduct group sessions for individual client outcomes</i> <i>CHCAGE001 Facilitate the empowerment of older people</i></p> <p>Validation Policy and Procedure Validation Schedule 2017 - 2019 RPL Handbook Applicant Guide RPL Assessor Guide RPLHLT43015 skills and experience checklist Human Anatomy and Physiology RPL HLT43015 - Applicant Evidence Summary Validation BR Building Relationships 20/10/2017</p> <ul style="list-style-type: none"> • Communicate and Work in Health or Community Services • Work with Diverse People <p>Validation IP Inclusive Programming 22/01/2019</p> <ul style="list-style-type: none"> • CHCDIS007 - Facilitate the empowerment of people with disability • CHCLAH003 - Participate in the planning, implementation and monitoring of individual leisure and health programs <p>Validation PH Physical Health 02/12/2019</p> <ul style="list-style-type: none"> • Recognise healthy body systems 	

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- Confirm Physical Health Status

'CANVAS' resources for unit samples including all assessments and candidate completed assessments.
RPL Handbook for both the assessor and applicant referred to the two additional evidence capture documents.

HLTAHA003 Deliver and monitor a client-specific physiotherapy program

Assessment tasks:

1. Soap Note
2. Understanding your patient
3. AHA Case Handover
4. Deliver an individual treatment program
5. Deliver a group mobility session
6. Observation: Emergency evacuation procedure
7. Professional standards of a PA
8. AHA knowledge and skill requirements
9. Delivering & monitoring therapeutic treatment and exercise
10. Medical terminology & abbreviations
11. Observation: Ethical practice
12. Placement portfolios:
13. Placement Portfolio Section One,
14. Placement Portfolio Section Two,
15. Placement Portfolio Section Three
16. Placement Portfolio Section Four

Sample of Student Files – completed assessments 2019

- Ashleigh Fuller
- Harry Jennings
- Courtney Nugegoda
- Tianah Talbot
- Mina Vranesevic

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HLTAHA011 Conduct group sessions for individual client outcomes

Assessments tasks:

1. AHA roles and responsibilities in the rehab environment
2. Understanding your patient
3. Program plan
4. Delivering your rehab program
5. Document your rehab session
6. Injury rehabilitation pathway
7. Delivering a group program
8. Reporting client outcomes
9. REHAB practical placement portfolio

Sample of Student Files – completed assessments 2019

- Ashleigh Fuller
- Harry Jennings
- Courtney Nugegoda
- Tianah Talbot
- Mina Vranesevic

CHCAGE001 Facilitate the empowerment of older people

Summary of Assessment tasks:

- Risk Stratification
- Initial consult and risk stratification
- Program plan
- Program implementation
- Program modification
- PSE Implementation of modified program
- GE Getting to know your group
- GE Program plan

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- GE Program implementation
- GE Program modification
- IP Initial consult and risk stratification
- IP Program plan and implementation
- Older adults' practical placement portfolio

Sample of Student Files – completed assessments 2019

- Ashleigh Fuller
- Harry Jennings
- Courtney Nugegoda
- Tianah Talbot
- Mina Vranesevic

SF.1.5.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd had provided information about assessments for units through a link to the “CANVAS” LMS system. This included information for candidates about the assessment tasks to be completed, templates for completing assessments, and assessment record sheets. Assessments included quizzes to confirm understanding of areas of knowledge, group activities to demonstrate communication, planning, implementation and review skills, demonstration of the application of skills in the simulated environments and demonstration of skills in a workplace setting, working with real people. Assessors and workplace supervisors confirm the skills that are demonstrated by candidates in the workplace. Students’ completed assessments and assessment records were maintained in “CANVAS” and were readily accessible to the assessor and the students through online access.</p> <p>The review of the assessment resources and instruments, and completed sample of completed student assessments, confirmed that assessments, including Recognition of Prior Learning (RPL), met the requirements of the relevant Training Package, qualification and sample of units and were conducted in accordance with the</p>	<p>Exercise Research Australia Pty Ltd is required to review candidate assessment instructions and modify to identify the requirement for candidates to access and use relevant organisation policies and procedures, in the completion of workplace tasks in:</p> <ul style="list-style-type: none"> • responding to the goals and aspirations of at least 2 older people, 1 in a simulated environment and 1 in the workplace • employing flexible, adaptable and person-centred approaches to empower the individual • recognising and responding appropriately to situations of risk or potential risk

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principles of assessment and the rules of evidence. Assessments met the workplace regulatory requirements and were systematically validated.

For the unit assessment sampled, records of workplace observation of the demonstration of skills, to meet the specific unit assessment requirements were not adequately maintained. Each unit sampled required specific demonstration of skills through working with clients in a simulated environment and in the workplace, working with real people,

HLTAHA011 Conduct group sessions for individual client outcomes
The unit assessment requirements - Performance Evidence - identified that there must be evidence that the candidate has planned and conducted 3 group sessions, 1 in a simulated environment and 2 in the workplace, to meet a range of individual client outcomes. Third party reports completed by workplace supervisors identified the learner's skills observed in the workplace in the conduct of group sessions. The identification of the conduct of two specific groups was not included in the records maintained, identifying a summary/profile of the group and the date of the conduct of each session.

CHCAGE001 Facilitate the empowerment of older people
The unit Assessment Conditions identified that the following conditions must be met for this unit: use of suitable facilities, equipment and resources, including relevant organisation policies and procedures. The unit assessment tasks for the unit did not identify the requirement to access and use relevant organisation policies and procedures.

HLTAHA003 Deliver and monitor a client-specific physiotherapy program
The unit assessment requirements - Performance Evidence - identified that there must be evidence that the candidate has assisted in the delivery of therapeutic practices for physiotherapy programs for at least 3 clients receiving different treatments, 1 in a simulated environment and 2 in the workplace. Third party reports completed by workplace supervisors identified the learner's skills observed in the workplace in the delivery of therapeutic practices for physiotherapy programs. The identification of the delivery of therapeutic practices for physiotherapy programs for two clients, was not included in the records maintained, identifying a summary/profile of the client and the date of the conduct of each session.

HLTAHA003 Deliver and monitor a client-specific physiotherapy program
Exercise Research Australia Pty Ltd is required to review Third Party Assessment records and modify to enable the workplace supervisor to confirm that the candidate has assisted in the delivery of therapeutic practices for physiotherapy programs for at least two clients receiving different treatments, in the workplace, including a summary/profile of the client and the date of the conduct of each session.

For all unit assessments:
Exercise Research Australia Pty Ltd is required to review Third Party Assessment records and modify to enable the workplace supervisor to confirm that the candidate has satisfactorily conducted the work with individual clients, or groups, to the task requirements and the number of clients and groups as identify in each unit assessment requirements, including a summary/profile of the client /group and the date of the conduct of each session.

Exercise Research Australia Pty Ltd is required to review all unit Assessment requirements - Assessment Conditions, to identify requirements and to modify candidate assessment instructions to identify these conditions, for example, 'use of suitable facilities, equipment and resources, including relevant organisation policies and procedures', in the completion of workplace assessment tasks.

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Improvement Opportunities

Student 'End of Course Survey' collated comments, for students who completed the qualification in 2019, identified that some students initially had difficulty in navigating the "CANVAS" LMS, particularly for submission of assessments.

To ensure that all candidates are able to complete and submit assessments and ensure they are not disadvantaged, it would be beneficial to include student feedback in the Continuous Improvement Register and identify actions taken to ensure that all learners are able to effectively access, complete and submit assessments in "CANVAS".

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2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Allied Health Internship - Student Handbook • Enrolment and Pre-Training Review Policy and Procedure • Course Suitability Form • Sample of completed Course Suitability form completed by Nathan Pace • Implementation Meeting • Evidence of Student Support (Shari Stevens) • March 20 Intake Learning needs notes • March 20 Intake Implementation Meeting Notes 		
SF.2.1.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd had established the needs of clients and delivered services to meet these needs.	N/A

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2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Non-Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • 2020 Internal Audit Checklist • Continuous Improvement Policy and Procedure • Add Continuous Improvement Register • QI Report 2018 • QI Report 2019 • "Canvas" Post Module Survey • "Canvas" Post Module Survey Analysis Report 		
SF.2.2.1	Finding	Required Rectification(s)
	<p>Though Exercise Research Australia Pty Ltd had collected data for the continuous improvement of its services, information related specifically to the effectiveness of client services, to enable the analysing and acting upon relevant information to ensure that student services met student needs, was not provided. The End of Course Survey and the Quality Indicator Student Engagement Survey obtained information of the students' learning and assessment experiences, however feedback on the effectiveness of student services accessed by students was not collected.</p>	<p>Exercise Research Australia Pty Ltd is required to develop and implement mechanisms to collect relevant data to support continuous improvement of client services which includes collection of appropriate data, the analysis of the data to identify improvement opportunities and how ERA intends to monitor the implementation of the improvement opportunities.</p>
Improvement Opportunities		
<p>Exercise Research Australia Pty Ltd would benefit by considering alternative approaches to collecting student feedback, such as the conduct of periodic student focus groups to identify:</p> <ul style="list-style-type: none"> • Student support services accessed by students • How effective these services were 		

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- How student support services may be improved
- Additional student support services that may be beneficial
- What is working well and what is not working so well.

Student 'End of Course Survey' collated comments, for students who completed the qualification in 2019, identified that some students initially had difficulty in navigating the "CANVAS" LMS, particularly for submission of assessments.

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
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • VET Application Pathways - Marketing Links - Marketing Comms • Allied Health Internship - Student Handbook • Registration form sample • Enrolment Form sample • Statement of Fees sample • PTR and Enrolment Process Map • Student Interviews – Zoom interview of six students 2020 		
SF.2.3.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd delivered the one qualification HLT43015 Certificate IV in Allied Health Assistance, as part of an internship program, in conjunction with a related University degree. Initial information about the qualification and internship program was provided by the host university and students were directed to ERA for more detailed information. The ERA website included comprehensive information about the internship program, delivered in conjunction with the qualification. Information sessions, individual interviews and personalised follow up, ensured that students had adequate access to information and sufficient information, before students enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.</p>	N/A

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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
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Two Practical Placement employers – June 2020 feedback on the TAS: 2/3/2020 Provider Feedback Example and 19/2/2020 - Frankston Hospital visit. • Sample documents for five student records sampled. • Practical Placement Agreement • Placement documents: <ul style="list-style-type: none"> • Practical Placement – Host • Practical Placement – Student • Practical Placement – Supervisor • Sample Sonia Activity Log • Completed Student Placement Logbooks for five student files sampled • Placement Agreement University and TAFE/RTOI Student Clinical Placement Agreement 14/2/2018 • Provider Feedback for 2/3/2020 - five entries • 19/2/2020 - Frankston Hospital visit records • Practical Placement Host Organisation Handbook • Practical Placement Student Handbook • Practical Placement Supervisor Handbook • Full insurance information about making a Workcover claim 		
SF.2.4.1	Finding	Required Rectification(s)
	The employers contributed significantly to each learner's training and assessment and were engaged in the development, delivery and monitoring of training and assessment. Employers initially provided feedback on the training and assessment arrangements. This information was included in the Training and Assessment Strategy.	N/A

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<p>Employers also provided opportunities for Practical Placement. Appropriate agreements had been entered into between the Host Organisation and ERA, ERA and the Student, the Student and Host Organisation. Records of Practical Placement activities were maintained in Placement Log Books.</p> <p>Workcover insurance arrangements were identified in the Student, Host Employer and ERA Handbooks, though not in Placement Agreements. The Placement Handbook included information about 'How to make a claim under WorkCover' sighting that all enrolled students in a VET qualification would have Worker's Compensation coverage under the Victorian Department of Education's WorkCover insurance - Gallagher Basset, 2/333 Collins Street, Melbourne VIC 3001. This information was not included in the Placement Agreements, the insurance information about Workcover varied to the information included in the Placement Handbooks.</p>	
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<p>Improvement Opportunities</p>
<p>Exercise Research Australia Pty Ltd would benefit by including the following information about Workcover Insurance in Placement Agreements - 'How to make a claim under WorkCover' sighting that all enrolled students in a VET qualification would have Worker's Compensation coverage under the Victorian Department of Education's WorkCover insurance - Gallagher Basset, 2/333 Collins Street, Melbourne.</p>

2.5 - Learners receive training, assessment and support services that meet their individual needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Interviews with five 2019 students • Review of five sampled student files – completed assessments, notes on student support services provided • Sample of communications – for one student - WD communication <ul style="list-style-type: none"> • Deferral confirmation • Re-commencement email correspondence • Updated Training Plan email • Student Support evidence 		
SF.2.5.1	Finding	Required Rectification(s)
	Student interviews and review of a sample of student files confirmed that Exercise Research Australia Pty Ltd had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs.	N/A

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2.6 - Learners have timely access to current and accurate records of their participation and progress.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • LMS (“CANVAS”) - schedule, assessment dates, upcoming events, and current status of assessment results. • Screenshots of what students can see on ‘CANVAS’ in relation to their progress and participation in training. • For five students 2019 enrolments and files sampled: <ul style="list-style-type: none"> • LMS Assessment Feedback • LMS Class Calendar • LMS Intake Announcements • LMS Intake Announcements 2 		
SF.2.6.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress. The ‘CANVAS’ LMS records were available throughout their training and included records of progress, feedback from trainers/assessors and completion data.	N/A

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2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Complaints and Appeals webpage • Complaints and Appeals Policy and Procedure • Complaints Register • Allied Health Internship - Student Handbook 		
SF.2.7.1	Finding	Required Rectification(s)
<p>Exercise Research Australia Pty Ltd provided appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. The complaints and appeals procedures included procedures for students to appeal a complaints decision and the source for an independent external mediator was identified, including the VRQA. Information about the complaints and appeals procedures was available on the ERA website - Complaints and Appeals Policy and Procedure and the Allied Health Internship - Student Handbook. One complaint had been processed in the last three years (10/9/2019). This was registered as an informal complaint. Details were maintained in the Complaint's Register.</p>		N/A

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3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Policies and procedures, guidelines and instructions to ensure compliance with the AQTF, as sampled through the Desk Audit • Sample of minutes – fortnightly General Team Meetings • Allied Health Internship - Student Handbook • Registration Form - sample • Enrolment Form - sample • Statement of Fees - sample • RACI – sample entries 		
SF.3.1.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd had developed and implemented a Quality Management System and Learning Management System to ensure that quality standards were effectively implemented. Policies and Procedures identified the roles and responsibilities of staff in implementing the systems. The Education Manager, Training Coordinator and the Training Quality Manager held key responsibilities for ensuring the effective implementation of the Quality Management System.</p> <p>Exercise Research Australia Pty Ltd management of its operations ensured clients received the services detailed in their agreement with the RTO.</p>	N/A

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3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.		Compliant
<ul style="list-style-type: none"> • 2020 Internal Audit Checklist • Continuous Improvement Policy and Procedure • Continuous Improvement Register • QI Report 2018 • QI Report 2019 • Canvas Post Module Survey • Canvas Post Module Survey Analysis Report • March 20 Intake Learning needs notes • March 20 Intake Implementation Meeting Notes • Evidence Guide – Preparation for Re-registration Desk Audit • Sample minutes - General Team Meetings 		
SF.3.2.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd used a systematic and continuous improvement approach to the management of operations. The Evidence Guide prepared in readiness for the Re-registration Desk Audit, confirmed that Exercise Research Australia Pty Ltd had conducted an effective review of its operations. The sample of General Team Meeting Minutes and the Continuous Improvement Register included evidence of staff participation in reviews and identification of areas for improvement.</p>	N/A

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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.		Not audited
Exercise Research Australia Pty Ltd does not have third parties delivering training on its behalf.		
SF.3.3.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd does not have third parties delivering training on its behalf.	N/A

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3.4 - The RTO manages records to ensure their accuracy and integrity.		Compliant
<ul style="list-style-type: none"> • VETtrak Licence Agreement • Records Management Policy and Procedure - usi_compatible_sms_register_2020_updated_22720 • AVETMISS Register • Continuous Improvement Policy and Procedure • Enrolment and Pre-Training Review Policy and Procedure • Enrolment Pack QA Checklist • PD - Education Manager • PD - Training Quality Coordinator 		
SF.3.4.1	Finding	Required Rectification(s)
	<p>Samples of records and documents reviewed during the Re-registration Desk Audit confirmed that Exercise Research Australia Pty Ltd managed records to ensure their accuracy and integrity. The Records Management Policy and Procedure identified strategies for file management, version control, backup procedures and archiving. Records were largely managed as digital files which provided version control and currency.</p>	N/A

Detailed Findings – 2016 VRQA Guidelines for VET Providers

GUIDELINE 1.1 - An RTO must ensure that it has a current strategic plan and a detailed business plan which have been approved by its governing body.

**Not Audited in
Phase 2 audit**

- a) An RTO ensures the strategic plan details the overall vision, mission, board of directors and strategic directions of the RTO and clearly indicates that provision of vocational education is a primary purpose of the RTO.
 - b) An RTO ensures the business plan details the operational and workforce development arrangements for a three year period that incorporates:
 - i. description of the business including an organisation chart, courses, location(s) and facilities
 - ii. a continuous improvement plan or risk management strategy
 - iii. a work force development plan
 - iv. strategic alliances with other education or service providers or third party arrangements
 - v. training and assessment delivery including proposed facilities and delivery hours

Not audited as part of this Re-registration Audit

GF 1.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit	N/A

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<p>GUIDELINE 1.2 - An RTO demonstrates its financial viability and its capacity to sustain quality VET into the future by ensuring it has a three year financial plan that includes:</p> <ul style="list-style-type: none"> a) projected student enrolments by qualifications b) a range of financial indicators, including <ul style="list-style-type: none"> i. cash flow ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1) iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1) c) the VET provider shows that it has a financial guarantor with the capacity to service the guarantee and/or to demonstrate sufficient working capital to operate for at least 6 months without tuition fees. d) details about whether any person involved in the management or provision of courses by the RTO meets any of the descriptions listed in section 4.3.11(2) of the Act. 		<p>Not audited in Phase 2 audit</p>
<p>Not audited as part of this Re-registration Audit</p>		
GF 1.2	Finding	Required Rectification(s)
	<p>Not audited as part of this Re-registration Audit</p>	<p>N/A</p>

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<p>GUIDELINE 1.3 - An RTO ensures that it has management systems that include:</p> <ul style="list-style-type: none"> a) management information including: <ul style="list-style-type: none"> I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds) II. a physical address of the company in Victoria for the purposes of serving notices III. details of the directors, CEO/PEO and senior management members with associated police checks and Working With Children Checks if students are under 18 years of age IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria V. contact arrangements for the CEO/PEO including during holidays and other closure periods VI. a physical addresses for the location of financial, student and staff records including archives and computer back up storage b) a financial management system including a system for managing student fee payments and student refunds c) a student records management system that includes the capacity to provide the VRQA with AVETMISS compliant data and to ensure that copies of student records are <ul style="list-style-type: none"> I. not able to be withheld from the RTO; and II. able to be provided in electronic and print versions, at no cost to the VRQA in the event that the VET provider ceases operations d) a staff records management system including arrangements which ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills. 		<p>Not audited in Phase 2 audit</p>
<p>Not audited as part of this Re-registration Audit</p>		
<p>GF 1.3.1 Finding</p>	<p>Required Rectification(s)</p>	
<p>Not audited as part of this Re-registration Audit</p>	<p>N/A</p>	

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<p>GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:</p> <ul style="list-style-type: none"> a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that: <ul style="list-style-type: none"> i. for an RTO with anticipated ongoing operation of less than 150 equivalent full time students or an annual student fee turnover of less than \$1.5m per annum, persons are appointed with suitable qualifications and experience; and ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience. 		<p>Not audited in Phase 2 audit</p>
<p>Not audited as part of this Re-registration Audit</p>		
GF 1.4	Finding	Required Rectification(s)
	<p>Not audited as part of this Re-registration Audit</p>	<p>N/A</p>

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<p>GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.</p> <ul style="list-style-type: none"> • A <i>third party</i> means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO. • <i>Services</i> mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services. 		Not audited
Evidence/Documentation Reviewed		
<p>Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
GF 2.1.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:		Not audited
<ul style="list-style-type: none"> a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and b) for the purposes of the conduct of any audit or monitoring of its operations. 		
Evidence/Documentation Reviewed		
<p>Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
GF 2.2.1	Finding	Required Rectification(s)
<p>Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		<p>N/A</p>

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 2.3 – An RTO notifies the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:		Not audited
<ul style="list-style-type: none"> a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and b) within 30 calendar days of the agreement coming to an end. 		
Evidence/Documentation Reviewed		
<p>Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
GF 2.3.1	Finding	Required Rectification(s)
<p>Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		<p>N/A</p>

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

<p>GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:</p> <ul style="list-style-type: none"> a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party. 		Not audited
<p>Evidence/Documentation Reviewed</p> <p>Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
GF 2.4.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

<p>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO t provides, in print or through referral to an electronic copy, current and accurate information that:</p> <ul style="list-style-type: none"> a) enables the student to make informed decisions about undertaking training with the RTO and b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf 		<p>Not audited</p>
<p>Evidence/Documentation Reviewed</p> <p>Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
GF 2.5.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.		Not audited
Evidence/Documentation Reviewed		
Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
GF 2.6.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:		Not audited
<ul style="list-style-type: none"> a) the RTO, its trainers, assessors or other staff; b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or c) a student of the RTO. 		
Evidence/Documentation Reviewed		
Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
GF 2.7.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.		Not audited
Evidence/Documentation Reviewed		
Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
GF 2.8.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

<p>GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:</p> <ul style="list-style-type: none"> a) vocational competencies at least to the level being delivered and assessed; b) current industry skills directly relevant to the training and assessment being provided; and c) current knowledge and skills in vocational training and learning that informs their training and assessment. <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4		
GF 3.1.1	Finding	Required Rectification(s)
	A review of trainer/assessor information confirmed that training and assessment was conducted by trainers/assessors who had vocational competencies at least to the level being delivered and assessed, current industry skills directly relevant to the training and assessment being provided, and current knowledge and skills in vocational training and learning that informed their training and assessment.	N/A

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4		
GF 3.2.1	Finding	Required Rectification(s)
	Training and assessment was delivered by appropriately qualified trainers/assessors.	N/A

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 3.3 Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.		Not audited
Evidence/Documentation Reviewed		
Exercise Research Australia Pty Ltd does not provide assessment only services.		
GF 3.3.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd does not provide assessment only services.	N/A

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 3.4 Where the RTO, in delivering training and assessment, engages an individual who is not a qualified trainer and/or assessor, the individual works under the supervision of a qualified trainer and/or assessor and must not determine assessment outcomes.		Not audited
Evidence/Documentation Reviewed		
Exercise Research Australia Pty Ltd does not have trainers/assessors working under supervision.		
GF 3.4.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd does not have trainers/assessors working under supervision.	N/A

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:		Not audited
<ul style="list-style-type: none"> a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines; b) has vocational competencies at least to the level being delivered and assessed; and c) has current industry skills directly relevant to the training and assessment being provided. 		
Evidence/Documentation Reviewed		
<p>Exercise Research Australia Pty Ltd does not have trainers/assessors working under supervision.</p>		
GF 3.5.1	Finding	Required Rectification(s)
<p>Exercise Research Australia Pty Ltd does not have trainers/assessors working under supervision.</p>		<p>N/A</p>

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.		Compliant
Evidence/Documentation Reviewed		
See Standard 1.2		
GF 4.1.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd training and assessment strategies and practices, including the amount of training it provided, were consistent with the requirements of the Training Packages and enabled each student to meet the requirements for each unit of competency in which the student was enrolled and a rationale for this amount of training was provided.</p> <p>The Training and Assessment Strategy identified the cohort of learners and entry requirements, that collectively identified the learner cohort and their attributes and the learning and assessment arrangements and duration, consistent with the needs of the learner.</p>	N/A

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

<p>GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:</p> <ul style="list-style-type: none"> a) the existing skills, knowledge and the experience of the student; b) the mode of delivery; and c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification. 	<p>Compliant</p>
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Evidence/Documentation Reviewed

See Standard 1.2

<p>GF 4.2.1 Finding</p>	<p>Required Rectification(s)</p>
<p>Exercise Research Australia Pty Ltd had identified a duration for the qualification HLT43015 Certificate IV in Allied Health Assistance (Physiotherapy), and had determined the amount of training it provided to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.</p> <p>The Training and Assessment Strategy identified the cohort of learners and entry requirements, that collectively identified the existing skills, knowledge and experience of candidates.</p>	<p>N/A</p>

Improvement Opportunities

The Training and Assessment Strategy for the qualification HLT43015 Certificate IV in Allied Health Assistance (Physiotherapy) included a rationale for the amount of training and referred to the existing skills, knowledge and experience of candidates. Exercise Research Australia Pty Ltd would benefit by including, the existing skills, knowledge and experience of candidates, as identified in the learner cohort section of the TAS ('Our students') and link the student cohort information, entry requirements and the learner support available to candidates, to the rationale for the amount of training.

GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an 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) of these Guidelines.		Not audited
Evidence/Documentation Reviewed		
Exercise Research Australia Pty Ltd does not deliver a qualification or assessor skill set from the Training and Education Training Package.		
GF 4.3.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd does not deliver a qualification or assessor skill set from the Training and Education Training Package.	N/A

GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.		Not audited
Evidence/Documentation Reviewed		
Exercise Research Australia Pty Ltd does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
GF 4.4.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

<p>GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment:</p> <p>a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.</p>		<p>Not audited</p>
<p>Evidence/Documentation Reviewed</p> <p>Exercise Research Australia Pty Ltd does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>		
GF 4.5.1	Finding	Required Rectification(s)
	<p>Exercise Research Australia Pty Ltd does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>	<p>N/A</p>

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 4.6 - An RTO ensures that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 of these Guidelines and does not determine assessment outcomes.		Not audited
Evidence/Documentation Reviewed		
Exercise Research Australia Pty Ltd does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
GF 4.6.1	Finding	Required Rectification(s)
	Exercise Research Australia Pty Ltd does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A

Audit Date: August 2020

RTO: Exercise Research Australia Pty Ltd

GUIDELINE 4.7 - An application to add any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor) to an RTO's scope of registration has only be granted if an RTO has:	Not audited
<ul style="list-style-type: none"> a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3. 	

Not audited as part of this Re-registration Audit

GF 4.7	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit	N/A

GUIDELINE 5.1 - An RTO registered with the VRQA has provided an annual declaration of compliance with the AQTF Essential Conditions and Standards for Continuing Registration (the AQTF Standards) and these Guidelines, and in particular whether it:	Not audited
<ul style="list-style-type: none"> a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and c) has training and assessment strategies and practices in place that ensure that all current and prospective students are or will be trained and assessed in accordance with the requirements of the AQTF Standards and these Guidelines. 	

Not audited as part of this Re-registration Audit

GF 5.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit	N/A