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AQTF -

# INTERNAL AUDIT CHECKLIST & EVIDENCE PLAN

(1 NOV 2008)

Internal Audit by David Lee  
for Badge Group Pty Ltd

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**CONDITIONS OF REGISTRATION**

**CONDITION 1: Governance**

The RTO's Chief executive must ensure that the RTO complies with the AQTF 2007 Essential Standards for Registration, and with any other national guidelines approved by the National Quality Council. This applies to all of the operations in its scope of registration as listed on the National Training Information Service (NTIS).

EXPLANATORY NOTES:	LIST EVIDENCE OF COMPLIANCE	ACTIONS REQUIRED
<p>'Guidelines' includes any relevant nationally agreed guidelines (including AQTF 2007 guidelines), determinations or policies of the NQC or the Ministerial Council of Vocational and Technical Education, to which the NQC provides advice.</p> <p>Examples include the "Training and Assessment competencies to be held by trainers and assessors" (Appendix 2) and the "NQC policy on languages for delivering and assessing vocational education and training".</p> <p>"All of its operations" includes those undertaken by other people or organisations on its behalf, such as those delivered through partnership arrangements.</p>	<ul style="list-style-type: none"> <li>Completed Internal Audit (this document)</li> </ul>	
	<ul style="list-style-type: none"> <li>Audit Policy and Procedures (POL04)</li> </ul>	□
	<ul style="list-style-type: none"> <li><b>Forms Audit:</b> <ul style="list-style-type: none"> <li>F04_01 Audit schedule</li> <li>F04_02 AQTF Internal Audit Checklist</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>Copy of "Training and Assessment competencies to be held by trainers and assessors" - Appendix 2 of AQTF 2007</li> </ul>	
	<ul style="list-style-type: none"> <li>Partnerships Policy and procedures (POL28)</li> </ul>	□
	<ul style="list-style-type: none"> <li><b>Forms Partnerships:</b> <ul style="list-style-type: none"> <li>F28_01 MOA Template</li> </ul> </li> </ul>	□
	<ul style="list-style-type: none"> <li>Direct supervision Policy and procedures (POL13)</li> </ul>	□
	<ul style="list-style-type: none"> <li><b>Forms Direct supervision:</b> <ul style="list-style-type: none"> <li>F13_01 Trainer observation assessment form</li> <li>F13_02 Trainer Direct Supervision Record form</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>Recruitment, Selection &amp; Induction policy and procedures (POL31)</li> </ul>	
	<ul style="list-style-type: none"> <li>AQTF 2007 Books</li> </ul>	
	<ul style="list-style-type: none"> <li>AQF Implementation Handbook, third edition, 2002</li> </ul>	
	<ul style="list-style-type: none"> <li>Management of RTO policy &amp; procedures</li> </ul>	□



**CONDITIONS OF REGISTRATION**

	<ul style="list-style-type: none"> <li>• <b>Forms Recruitment, selection &amp; induction:</b> <ul style="list-style-type: none"> <li>• F31_01 Staff file and PD Record</li> <li>• F31_02 Staff Application</li> <li>• F31_03 Trainer/Assessor approval form</li> <li>• F31_04 Staff File note form</li> <li>• F31_05 Trainer/Assessor competency mapping</li> <li>• F31_06 Approved Trainers</li> <li>• F31_07 JDF's (various)</li> <li>• F31_09 Staff Induction Checklist</li> </ul> </li> </ul>	<input type="checkbox"/>
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**COMPLIANT/ COMPLETED ??**

YES       NO

**CONDITION 2: Interactions with the registering body**

The Chief Executive must ensure that the RTO cooperates with its registering body :

- In the conduct of audits and the monitoring of its operations
- By providing accurate and timely data relevant to measures of its performance
- By providing information about significant changes to its operations
- In the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements.

**EXPLANATORY NOTES:**

The registering body's authority to conduct audits and monitor operations is provided by the AQTF 2007 and the relevant state and territory training legislation that establishes the regulatory framework for the registration and audit of training organisations.




Nationally agreed arrangements govern the provision of data relevant to performance, including the quality indicators.

The information required when an RTO makes changes to its operations is set out in nationally agreed forms.

All nationally agreed arrangements and forms are available at <http://www.training.com.au/AQTF2007>.

**LIST EVIDENCE OF COMPLIANCE**

**ACTIONS REQUIRED**

<b>EXPLANATORY NOTES:</b>	<b>LIST EVIDENCE OF COMPLIANCE</b>	<b>ACTIONS REQUIRED</b>
<p>The registering body's authority to conduct audits and monitor operations is provided by the AQTF 2007 and the relevant state and territory training legislation that establishes the regulatory framework for the registration and audit of training organisations.</p> <p>Nationally agreed arrangements govern the provision of data relevant to performance, including the quality indicators.</p> <p>The information required when an RTO makes changes to its operations is set out in nationally agreed forms.</p> <p>All nationally agreed arrangements and forms are available at <a href="http://www.training.com.au/AQTF2007">http://www.training.com.au/AQTF2007</a>.</p>	<ul style="list-style-type: none"> <li>• Audit Policy and Procedures (POL04)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Audit:</b> <ul style="list-style-type: none"> <li>• F04_01 Audit program</li> <li>• F04_02 AQTF Internal Audit Checklist</li> </ul> </li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Management of RTO policy &amp; procedures</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Administration &amp; records management Policy and Procedures (POL02)</li> </ul>	
	<ul style="list-style-type: none"> <li>• <b>Forms Administration &amp; records management:</b> <ul style="list-style-type: none"> <li>• F02_01 Student Training record</li> <li>• F02_02 Participant Attendance Record</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Copy of "Records management guidelines" from TAC</li> </ul>	
	<ul style="list-style-type: none"> <li>• Excel spreadsheet of student enrolments</li> </ul>	<input type="checkbox"/>



Perth Boat School Evidence Plan  
AQTF 2007 Compliance for RTO Registration

**CONDITIONS OF REGISTRATION**

	<ul style="list-style-type: none"> <li>• Access to nationally agreed forms for change to RTO on <a href="http://www.training.com.au/aqtf2007">www.training.com.au/aqtf2007</a></li> </ul>	<input type="checkbox"/>
<b>COMPLIANT /COMPLETED ?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	

**CONDITION 3: Compliance With Legislation**

The RTO must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration. It must ensure that its staff and clients are fully informed of these requirements where they affect their duties or participant in vocational education and training

EXPLANATORY NOTES:	LIST EVIDENCE OF COMPLIANCE	ACTIONS REQUIRED
Relevant commonwealth, state or territory legislation and regulatory requirements' could include requirements about: <ul style="list-style-type: none"> <li>i occupational health and safety;</li> <li>ii workplace harassment, victimisation and bullying;</li> <li>iii anti-discrimination, including equal opportunity, racial vilification, disability discrimination;</li> <li>iv privacy;</li> <li>v vocational education and training;</li> <li>vi apprenticeships and traineeships;</li> <li>vii child protection</li> <li>viii copyright.</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance with legislation policy and procedures (POL08)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Occupational safety, health and environment policy and procedures (POL27)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Equal opportunity policy and procedures (POL15)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Privacy policy and procedures (POL30)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Child protection policy and procedures (POL37)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Copy of:               <ul style="list-style-type: none"> <li>• VET ACT</li> <li>• Privacy Act 1988</li> <li>• OSH Act</li> <li>• Copyright Act</li> <li>• Child protection Act</li> </ul>               ** These can be obtained from the websites:               <ul style="list-style-type: none"> <li>• Austlii website</li> <li>• Slp website</li> </ul> </li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Staff Handbook (website)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• TRM template</li> </ul>	<input type="checkbox"/>
<b>COMPLIANT /COMPLETED ?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	

**CONDITION 4: Insurance**

The RTO must hold insurance for public liability throughout its registration period.

EXPLANATORY NOTES:	LIST EVIDENCE OF COMPLIANCE	ACTIONS REQUIRED
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Perth Boat School Evidence Plan  
AQTF 2007 Compliance for RTO Registration

**CONDITIONS OF REGISTRATION**

Nil	• Insurance policy & procedures (POL20)	<input type="checkbox"/>
	• Quotes on insurance	<input type="checkbox"/>
	• Insurance Record (Document)	<input type="checkbox"/>
<b>COMPLIANT /COMPLETED ?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	

**CONDITION 5: Financial Management**

The RTO must protect fees paid in advance and have a fair and reasonable refund policy

The RTO must have its accounts certified by a qualified accountant to Australian Accounting Standards at least annually, and provide the certificate of accounts to its registering body on request. If the registering body reasonably deems it necessary, the RTO's Chief executive must provide a full audit report of its financial accounts from a qualified and independent accountant.

<b>EXPLANATORY NOTES:</b>	<b>LIST EVIDENCE OF COMPLIANCE</b>	<b>ACTIONS REQUIRED</b>
<p>“Qualified accountant” means - Either a member of one of the following:</p> <p><b>(a)</b> Certified Practicing Accountants Australia</p> <p><b>(b)</b> Institute Of Chartered Accountants Of Australia</p> <p><b>(c)</b> National Institute Of Accountants</p> <p>Or someone who is otherwise registered as an auditor with the Australian Securities and Investments Commission.</p>	• Financial management policy and procedures (POL17)	<input type="checkbox"/>
	• Refunds policy and procedures (POL32)	<input type="checkbox"/>
	• <b>Forms Audit:</b>	
	• F32_01 Refund Application Form	
	• Details of DBA Accounting	<input type="checkbox"/>
	• Accounts payable file	<input type="checkbox"/>
	• Accounts receivable file	<input type="checkbox"/>
	• MYOB	
	• MYOB list of accounts	<input type="checkbox"/>
• Budget	<input type="checkbox"/>	
<b>COMPLIANT /COMPLETED ?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	

**CONDITION 6: Certification and issuing of qualifications and Statements of Attainment**

The RTO must issue to people it has assessed as competent in accordance with the requirements of the Training Package or accredited course, a qualification or statement of attainment (as appropriate) that:

- Meets the Australian Qualifications Framework (AQF) requirements
- Identified the RTO by its national provider number from the National Training Information Service
- Includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use.

The RTO must retain learners' records of attainment of units of competence and qualifications for a period of 30 years.



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**CONDITIONS OF REGISTRATION**

EXPLANATORY NOTES:	LIST EVIDENCE OF COMPLIANCE	ACTIONS REQUIRED
<p>“Assessments” include recognition of prior learning.</p> <p>“Australian qualifications framework requirements” means the current requirements as set out in the AQF Implementation Handbook, amended from time to time and available from: <a href="http://www.aqf.edu.au">http://www.aqf.edu.au</a>.</p> <p>The Nationally Recognised Training logo must be used in accordance with current specifications and conditions of use <a href="http://www.training.com.au">http://www.training.com.au</a></p>	<ul style="list-style-type: none"> <li>• Copy of AQF Handbook, Third edition, 2002</li> </ul>	
	<ul style="list-style-type: none"> <li>• Templates for :               <ul style="list-style-type: none"> <li>• Qualification</li> <li>• SOA</li> <li>• ROA</li> </ul> </li> </ul>	•
	<ul style="list-style-type: none"> <li>• Copy of “Logo Guidelines - nationally recognised training”</li> </ul>	
	<ul style="list-style-type: none"> <li>• Copy of “Logo guidelines - TAC”.</li> </ul>	
	<ul style="list-style-type: none"> <li>• Use of Logos policy and procedures (POL35)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Administration &amp; records management Policy and Procedures (POL02)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Forms marketing and advertising:               <ul style="list-style-type: none"> <li>• F23_01 Marketing and Advertisement approval checklist</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Issue of certification Policy and Procedures (POL21)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Forms Issue of certification:               <ul style="list-style-type: none"> <li>• F21_01 Certification Issuance Authority Form</li> <li>• F21_02 Replacement Certificate</li> </ul> </li> </ul>	
		<ul style="list-style-type: none"> <li>• Certification Issuance Nationally recognised File</li> </ul>
	<ul style="list-style-type: none"> <li>• Excel spreadsheet of certificates issued (in number order)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Excel spreadsheet of student enrolments /records</li> </ul>	<input type="checkbox"/>

COMPLIANT /COMPLETED ?

YES       NO

**CONDITION 7: Recognition of qualifications issue by other RTOs**

The RTO must recognise the AQF qualifications and statements of attainment issued by any other RTO.



**CONDITIONS OF REGISTRATION**

EXPLANATORY NOTES:	LIST EVIDENCE OF COMPLIANCE	ACTIONS REQUIRED
Nil	<ul style="list-style-type: none"> <li>Mutual recognition Policy and Procedures (POL26)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Forms Mutual recognition :               <ul style="list-style-type: none"> <li>F26_01 Mutual recognition application form</li> <li>F26_02 Mutual recognition qualification checklist</li> </ul> </li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Mutual Recognition register</li> </ul>	<input type="checkbox"/>
<b>COMPLIANT?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	

**CONDITION 8: Accuracy and integrity of marketing**

The RTO must ensure that its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. The NRT logo must be employed only in accordance with its conditions of use.

EXPLANATORY NOTES:	LIST EVIDENCE OF COMPLIANCE	ACTIONS REQUIRED
<p>“Ethical and accurate marketing” means, at least:</p> <ul style="list-style-type: none"> <li>Obtaining prior written permission from any person or organisation for use of marketing or advertising material which refers to them</li> <li>Accurate representation of training products and services</li> <li>Ensuring that advertised outcomes are consistent with AQF qualifications or Statements of Attainment</li> <li>Only advertising AQF qualifications or units of competency if they are on the RTO’s scope of registration</li> </ul> <p>“AQF qualifications” broadly includes qualifications, units of competency, groups of units of competency such as skills sets, and accredited short courses.</p>	<ul style="list-style-type: none"> <li>Copy of “Logo Guidelines - nationally recognised training”</li> </ul>	
	<ul style="list-style-type: none"> <li>Copy of “Logo guidelines - TAC”.</li> </ul>	
	<ul style="list-style-type: none"> <li>Use of Logos policy and procedures (POL35)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Marketing and advertising Policy and procedures (POL23)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Forms Marketing and advertising:               <ul style="list-style-type: none"> <li>F23_01 Marketing and advertising approval checklist</li> <li>F23_02 Course Brochures template</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>Marketing and Advertising approval file</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Website</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Course details template</li> </ul>	<input type="checkbox"/>
<b>COMPLIANT /COMPLETED ?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	

**CONDITION 9: Transition to Training Packages / expiry of accredited courses**

The RTO must manage the transition from superseded Training Packages within 12 months of their publication on the National Training Information Service and also manage the transition from superseded accredited courses so that it delivers only currently endorsed Training Packages or currently accredited courses.

EXPLANATORY NOTES:	LIST EVIDENCE OF COMPLIANCE	ACTIONS REQUIRED
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**CONDITIONS OF REGISTRATION**

Nil	<ul style="list-style-type: none"> <li>Transition of TPs Policy and procedures (POL38??)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Development of LAS &amp; resources policy and procedures (POL12)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li><b>Forms</b> Development of LAS &amp; resources:               <ul style="list-style-type: none"> <li>F12_01 LAS Template</li> <li>F12_02 Consultation with Industry</li> <li>Training Resources Manual Template</li> <li>TRM Development Checklist</li> <li>TRM Template Outline</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>Transition mapping forms</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Purchase of TP (including receipts)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>TP @ work emails</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>RTO invoices file for purchases of resources</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Industry update emails</li> </ul>	
		<ul style="list-style-type: none"> <li>Emails of involvement with RE TP review, Bob Rossi, David Magee</li> </ul>
<b>COMPLIANT /COMPLETED ?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	





**ESSENTIAL STANDARDS**

**STANDARD 1**

The RTO provides quality training and assessment across all of its operations.

**ELEMENT 1.1**

The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.

**LIST EVIDENCE OF COMPLIANCE**

**ACTIONS REQUIRED**

- Continuous improvement policy and procedures (POL09)
- **Forms** Continuous improvement:
  - F09\_01 Continuous Improvement request
- Continuous improvement file
- Survey Monkey
- Evaluation and feedback Policy and Procedures (POL16)
- **Forms** Evaluation and feedback:
  - F16\_01 Participant Evaluation Form
  - F16\_02 Trainer Evaluation Form
  - F16\_03 Candidate Evaluation Form
  - F16\_04 Assessor Evaluation Form
  - F16\_05 Customer feedback form
  - F16\_06 Management Evaluation form

**COMPLIANT/ COMPLETED ??**

YES       NO

**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 stakeholders.

**LIST EVIDENCE OF COMPLIANCE**

**ACTIONS REQUIRED**

- Development of LAS & resources policy and procedures (POL12)
- **Forms** Development of LAS & resources:
  - F12\_01 LAS Template
  - F12\_02 Consultation with Industry
  - Training Resources Manual Template
  - TRM Development Checklist
  - TRM Template Outline
- Completed Learning & assessment strategy documents
- REBA licensing requirements
- SASB licensing requirements



**ESSENTIAL STANDARDS**

**STANDARD 1**

The RTO provides quality training and assessment across all of its operations.

	<ul style="list-style-type: none"> <li>• Moderation and Validation Policy and Procedures (POL25)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Moderation and Validation:</b> <ul style="list-style-type: none"> <li>• F25_01 Moderation confidentiality agreement form</li> <li>• F25_02 Moderation evidence</li> <li>• F25_03 Moderation / validation record</li> <li>• F25_04 Moderation outcomes summary</li> <li>• F25_05 Validation of evidence</li> <li>• F25_06 Validation of plan and methods</li> <li>• F25_07 Validation of assessment tools tasks</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Moderation file</li> </ul>	<input type="checkbox"/>

**COMPLIANT/ COMPLETED ??**

YES       NO

**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.

<b>LIST EVIDENCE OF COMPLIANCE</b>	<b>ACTIONS REQUIRED</b>
<ul style="list-style-type: none"> <li>• Training resources x 2</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Assessment resources x 2</li> <li>• RPL resources x 2</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Staff file - Trainer / assessor details, quals etc</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Copy of Training package</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Development of LAS &amp; resources policy and procedures (POL12)</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• <b>Forms Development of LAS &amp; resources:</b> <ul style="list-style-type: none"> <li>• F12_01 LAS Template</li> <li>• F12_02 Consultation with Industry</li> <li>• Training Resources Manual Template</li> <li>• TRM Development Checklist</li> <li>• TRM Template Outline</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li>• Assessment policy and procedures (POL05)</li> </ul>	<input type="checkbox"/>



**ESSENTIAL STANDARDS**

**STANDARD 1**

The RTO provides quality training and assessment across all of its operations.

	<ul style="list-style-type: none"> <li>• <b>Forms Assessment :</b> <ul style="list-style-type: none"> <li>• Assessment cover sheet</li> <li>• Pre Assessment briefing</li> <li>• Post Assessment briefing</li> <li>• Assessment Checklist</li> <li>• Assessment instruments</li> <li>• Third party checklist</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Flexible delivery policy and procedures (POL18)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms flexible delivery :</b> <ul style="list-style-type: none"> <li>• F18_01 Workplace Training and Assessment approval</li> <li>• F18_02 Training Plan</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Online learning platform - Moodle</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Photos of Boat</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• MOA with Vlaming</li> <li>• MOA with Aquarama</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Details of other venues, addresses, parking, site maps etc</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Online resources - moodle</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>•</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>•</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>•</li> </ul>	<input type="checkbox"/>
<p><b>COMPLIANT/ COMPLETED ??</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO	
<p><b>ELEMENT 1.4</b></p> <p>Training and assessment are conducted 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</p> <p>b) Have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) Continue developing their vocational and training and assessment</p>	<p><b>LIST EVIDENCE OF COMPLIANCE</b></p>	<p><b>ACTIONS REQUIRED</b></p>
	<ul style="list-style-type: none"> <li>• Direct supervision Policy and procedures (POL13)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Direct supervision:</b> <ul style="list-style-type: none"> <li>• F13_01 Trainer observation assessment form</li> <li>• F13_02 Trainer Direct Supervision Record form</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Recruitment, Selection &amp; Induction policy and procedures (POL31)</li> </ul>	



**ESSENTIAL STANDARDS**

**STANDARD 1**

The RTO provides quality training and assessment across all of its operations.

competencies to support continuous improvements in delivery of the RTO's services.	<ul style="list-style-type: none"> <li>• <b>Forms Recruitment, selection &amp; induction:</b> <ul style="list-style-type: none"> <li>• F31_01 Staff file and PD Record</li> <li>• F31_02 Staff Application</li> <li>• F31_03 Trainer/Assessor approval form</li> <li>• F31_04 Staff File note form</li> <li>• F31_05 Trainer/Assessor competency mapping</li> <li>• F31_06 Approved Trainers</li> <li>• F31_07 JDF's (various)</li> <li>• F31_09 Staff Induction Checklist</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Staff file - Trainer /assessor details, quals etc</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Copy of "Training and Assessment competencies to be held by trainers and assessors" - Appendix 2 of AQTF 2007</li> </ul>	
	<ul style="list-style-type: none"> <li>• Professional development &amp; performance evaluation policy &amp; procedures (POL29)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Professional development &amp; performance evaluation:</b> <ul style="list-style-type: none"> <li>• F29_01 Performance Review Template</li> <li>• F31_01 Staff file and PD Record</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Assessment policy and procedures (POL05)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Assessment :</b> <ul style="list-style-type: none"> <li>• Assessment cover sheet</li> <li>• Pre Assessment briefing</li> <li>• Post Assessment briefing</li> <li>• Assessment Checklist</li> <li>• Assessment instruments</li> <li>• Third party checklist</li> </ul> </li> </ul>	
<b>COMPLIANT/ COMPLETED ??</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	
<b>ELEMENT 1.5</b>	<b>LIST EVIDENCE OF COMPLIANCE</b>	<b>ACTIONS REQUIRED</b>
Assessment, including Recognition of Prior Learning (RPL): a) Meets the requirements of the	<ul style="list-style-type: none"> <li>• Assessment policy and procedures (POL05)</li> </ul>	<input type="checkbox"/>



**ESSENTIAL STANDARDS**

**STANDARD 1**

The RTO provides quality training and assessment across all of its operations.

<p>relevant training package or accredited course</p> <p>b) Is conducted in accordance with the principles of assessment and rules of evidence</p> <p>c) Meets workplace, and where relevant, regulatory requirements.</p>	<ul style="list-style-type: none"> <li>• <b>Forms Assessment :</b> <ul style="list-style-type: none"> <li>• Assessment cover sheet</li> <li>• Pre Assessment briefing</li> <li>• Post Assessment briefing</li> <li>• Assessment Checklist</li> <li>• Assessment instruments</li> <li>• Third party checklist</li> </ul> </li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Copy of Training package</li> </ul>	
	<ul style="list-style-type: none"> <li>• Development of LAS &amp; resources policy and procedures (POL12)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Development of LAS &amp; resources:</b> <ul style="list-style-type: none"> <li>• F12_01 LAS Template</li> <li>• F12_02 Consultation with Industry</li> <li>• Training Resources Manual Template</li> <li>• TRM Development Checklist</li> <li>• TRM Template Outline</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Moderation and Validation Policy and Procedures (POL25)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Moderation and Validation:</b> <ul style="list-style-type: none"> <li>• F25_01 Moderation confidentiality agreement form</li> <li>• F25_02 Moderation evidence</li> <li>• F25_03 Moderation / validation record</li> <li>• F25_04 Moderation outcomes summary</li> <li>• F25_05 Validation of evidence</li> <li>• F25_06 Validation of plan and methods</li> <li>• F25_07 Validation of assessment tools tasks</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Evaluation and feedback Policy and Procedures (POL16)</li> </ul>	<input type="checkbox"/>



**ESSENTIAL STANDARDS**

**STANDARD 1**

The RTO provides quality training and assessment across all of its operations.

	<ul style="list-style-type: none"> <li>• <b>Forms Evaluation and feedback:</b> <ul style="list-style-type: none"> <li>• F16_01 Participant Evaluation Form</li> <li>• F16_02 Trainer Evaluation Form</li> <li>• F16_03 Candidate Evaluation Form</li> <li>• F16_04 Assessor Evaluation Form</li> <li>• F16_05 Customer feedback form</li> <li>• F16_06 Management Evaluation form</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Mapping templates :           <ul style="list-style-type: none"> <li>• Principles of assessment</li> <li>• Rules of evidence</li> <li>• Dimensions of competency</li> </ul> </li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Assessment resources x 2</li> <li>• RPL resources x 2</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Flexible delivery policy and procedures (POL18)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms flexible delivery :</b> <ul style="list-style-type: none"> <li>• F18_01 Workplace Training and Assessment approval</li> <li>• F18_02 Training Plan</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Emails/letters consulting with industry</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Recognition of prior learning policy and procedures (POL34)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Recognition of prior learning:</b> <ul style="list-style-type: none"> <li>• F34_01 RPL application form</li> <li>• F34_02 RPL Student information</li> <li>• F34_03 RPL tools template</li> <li>• F34_04 RPL Student progress form</li> <li>• F34_05 RPL testimonial template</li> </ul> </li> </ul>	
<p><b>COMPLIANT/ COMPLETED ??</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO	



**ESSENTIAL STANDARDS**

**STANDARD 2**

The RTO adheres to principles of access and equity and maximises outcomes for its clients.

**ELEMENT 2.1**

The RTO continuously improves client services by collecting, analysing and acting on relevant data.

**LIST EVIDENCE OF COMPLIANCE**

**ACTIONS REQUIRED**

- Access & Equity policy and procedures (POL01)
- Evaluation and feedback Policy and Procedures (POL16)
- **Forms** Evaluation and feedback:
  - F16\_01 Participant Evaluation Form
  - F16\_02 Trainer Evaluation Form
  - F16\_03 Candidate Evaluation Form
  - F16\_04 Assessor Evaluation Form
  - F16\_05 Customer feedback form
  - F16\_06 Management Evaluation form
- Survey Monkey subscription
- Continuous improvement policy and procedures (POL09)
- **Forms** Continuous improvement:
  - F09\_01 Continuous Improvement request
- Continuous improvement file

**COMPLIANT/ COMPLETED ??**

YES       NO

**ELEMENT 2.2**

**LIST EVIDENCE OF COMPLIANCE**

**ACTIONS REQUIRED**



**ESSENTIAL STANDARDS**

**STANDARD 2**

The RTO adheres to principles of access and equity and maximises outcomes for its clients.

<p>Before clients enrol or enter into a contract, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.</p>	<ul style="list-style-type: none"> <li>• Website information for clients including:               <ul style="list-style-type: none"> <li>• Course outcomes and pathways (including entry requirements)</li> <li>• Training and assessment arrangements, including RPL</li> <li>• Fees and charges</li> <li>• Selection and enrolment of learners</li> <li>• Client support services (including literacy &amp; numeracy assistance)</li> <li>• Legislative and occupational licensing requirements</li> <li>• Complaints</li> <li>• Appeals</li> <li>• Refunds</li> <li>• Access to own records</li> <li>• Privacy &amp; confidentiality</li> </ul> </li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Continuous improvement policy and procedures (POL09)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Forms Continuous improvement:               <ul style="list-style-type: none"> <li>• F09_01 Continuous Improvement request</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Continuous improvement file</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Marketing and advertising Policy and procedures (POL23)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Forms Marketing and advertising:               <ul style="list-style-type: none"> <li>• F23_01 Marketing and advertising approval checklist</li> <li>• F23_02 Course Brochures template</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Marketing and Advertising approval file</li> </ul>	<input type="checkbox"/>
<p><b>COMPLIANT/ COMPLETED ??</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO	
<p><b>ELEMENT 2.3</b> Employers and other parties who contribute to each learner's training and assessment are engaged in the</p>	<p><b>LIST EVIDENCE OF COMPLIANCE</b></p> <ul style="list-style-type: none"> <li>• Development of LAS &amp; resources policy and procedures (POL12)</li> </ul>	<p><b>ACTIONS REQUIRED</b></p> <input type="checkbox"/>





**ESSENTIAL STANDARDS**

**STANDARD 2**

The RTO adheres to principles of access and equity and maximises outcomes for its clients.

development, delivery and monitoring of training and assessment.	<ul style="list-style-type: none"> <li>Forms Development of LAS &amp; resources:               <ul style="list-style-type: none"> <li>F12_01 LAS Template</li> <li>F12_02 Consultation with Industry</li> <li>Training Resources Manual Template</li> <li>TRM Development Checklist</li> <li>TRM Template Outline</li> </ul> </li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Flexible delivery policy and procedures (POL18)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Forms flexible delivery :               <ul style="list-style-type: none"> <li>F18_01 Workplace Training and Assessment approval</li> <li>F18_02 Training Plan</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>Evaluation and feedback Policy and Procedures (POL16)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Forms Evaluation and feedback:               <ul style="list-style-type: none"> <li>F16_01 Participant Evaluation Form</li> <li>F16_02 Trainer Evaluation Form</li> <li>F16_03 Candidate Evaluation Form</li> <li>F16_04 Assessor Evaluation Form</li> <li>F16_05 Customer feedback form</li> <li>F16_06 Management Evaluation form</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>Continuous improvement policy and procedures (POL09)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Forms Continuous improvement:               <ul style="list-style-type: none"> <li>F09_01 Continuous Improvement request</li> </ul> </li> </ul>	

**COMPLIANT/ COMPLETED ??**       YES       NO

**ELEMENT 2.4**

Learners receive training, assessment and support services that meet their individual needs.

LIST EVIDENCE OF COMPLIANCE	ACTIONS REQUIRED
<ul style="list-style-type: none"> <li>Flexible delivery policy and procedures (POL18)</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Forms flexible delivery :               <ul style="list-style-type: none"> <li>F18_01 Workplace Training and Assessment approval</li> <li>F18_02 Training Plan</li> </ul> </li> </ul>	



**ESSENTIAL STANDARDS**

**STANDARD 2**

The RTO adheres to principles of access and equity and maximises outcomes for its clients.

	<ul style="list-style-type: none"> <li>• Student information on website - including support services, for example:               <ul style="list-style-type: none"> <li>• Mentoring</li> <li>• Disability support</li> <li>• IT support</li> <li>• Telephone, email, networking, and tutorial support</li> <li>• Job search and placement</li> <li>• Personal counselling</li> <li>• Career guidance</li> <li>• Study skills programs.</li> </ul> </li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Access &amp; Equity policy and procedures (POL01)</li> </ul>	
	<ul style="list-style-type: none"> <li>• Mutual recognition Policy and Procedures (POL26)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Forms Mutual recognition :               <ul style="list-style-type: none"> <li>• F26_01 Mutual recognition application form</li> <li>• F26_02 Mutual recognition qualification checklist</li> </ul> </li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Compliance with legislation policy and procedures (POL08)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Recognition of prior learning policy and procedures (POL34)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Forms Recognition of prior learning:               <ul style="list-style-type: none"> <li>• F34_01 RPL application form</li> <li>• F34_02 RPL Student information</li> <li>• F34_03 RPL tools template</li> <li>• F34_04 RPL Student progress form</li> <li>• F34_05 RPL testimonial template</li> </ul> </li> </ul>	
<p><b>COMPLIANT/ COMPLETED ??</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO	
<p><b>ELEMENT 2.5</b></p>	<p><b>LIST EVIDENCE OF COMPLIANCE</b></p>	<p><b>ACTIONS REQUIRED</b></p>
<p>Learners have timely access to current and accurate records of their participation and</p>	<ul style="list-style-type: none"> <li>• Issue of certification Policy and Procedures (POL21)</li> </ul>	<input type="checkbox"/>



**ESSENTIAL STANDARDS**

**STANDARD 2**

The RTO adheres to principles of access and equity and maximises outcomes for its clients.

progress.

- **Forms Issue of certification:**
  - F21\_01 Certification Issuance Authority Form
  - F21\_02 Replacement Certificate
- Student information on website
- Excel spreadsheet of student enrolments
- Recognition of prior learning policy and procedures (POL34)
- **Forms Recognition of prior learning:**
  - F34\_04 RPL Student progress form

**COMPLIANT/ COMPLETED ??**

YES  NO

**ELEMENT 2.6**

Complaints and appeals are addressed efficiently and effectively.

**LIST EVIDENCE OF COMPLIANCE**

**ACTIONS REQUIRED**

- Appeals policy and procedures (POL03)
- **Forms Appeals :**
  - F03\_01 Appeals lodgement form
  - F03\_02 Appeals progress form
- Appeals register spreadsheet
- Customer Complaints policy and procedures (POL11)
- **Forms Customer Complaints:**
  - F11\_01 Complaint lodgement form
  - F11\_02 Complaint progress form
- Complaint register spreadsheet
- Staff information on the website - regarding appeals and complaints
- Student information on website



**ESSENTIAL STANDARDS**

**STANDARD 2**

The RTO adheres to principles of access and equity and maximises outcomes for its clients.

	<ul style="list-style-type: none"> <li>• Continuous improvement policy and procedures (POL09)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms</b> Continuous improvement:             <ul style="list-style-type: none"> <li>• F09_01 Continuous Improvement request</li> </ul> </li> </ul>	
<p><b>COMPLIANT/ COMPLETED ??</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO	



### ESSENTIAL STANDARDS

#### STANDARD 3

Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the registered training organisation operates.

#### ELEMENT 3.1

The RTO uses a systematic and continuous improvement approach to the management of operations.

#### LIST EVIDENCE OF COMPLIANCE

#### ACTIONS REQUIRED

- Audit Policy and Procedures (POL04)
- Forms Audit:
  - F04\_01 Audit program
  - F04\_02 AQTF Internal Audit Checklist
- Management of RTO policy & procedures
- Business planning Policy and Procedures (POL06)
- Forms Business planning :
  - F06\_01 Business Plan
- Policies and procedures available to all staff on website
- Recruitment, Selection & Induction policy and procedures (POL31)
- Forms Recruitment, selection & induction:
  - F31\_01 Staff file and PD Record
  - F31\_02 Staff Application
  - F31\_03 Trainer/Assessor approval form
  - F31\_04 Staff File note form
  - F31\_05 Trainer/Assessor competency mapping
  - F31\_06 Approved Trainers
  - F31\_07 JDF's (various)
  - F31\_09 Staff Induction Checklist

- Compliance with legislation policy and procedures (POL08)

- Continuous improvement policy and procedures (POL09)



**ESSENTIAL STANDARDS**

**STANDARD 3**

Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the registered training organisation operates.

	<ul style="list-style-type: none"> <li>• <b>Forms Continuous improvement:</b> <ul style="list-style-type: none"> <li>• F09_01 Continuous Improvement request</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Moderation and Validation Policy and Procedures (POL25)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Moderation and Validation:</b> <ul style="list-style-type: none"> <li>• F25_01 Moderation confidentiality agreement form</li> <li>• F25_02 Moderation evidence</li> <li>• F25_03 Moderation / validation record</li> <li>• F25_04 Moderation outcomes summary</li> <li>• F25_05 Validation of evidence</li> <li>• F25_06 Validation of plan and methods</li> <li>• F25_07 Validation of assessment tools tasks</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Evaluation and feedback Policy and Procedures (POL16)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Evaluation and feedback:</b> <ul style="list-style-type: none"> <li>• F16_01 Participant Evaluation Form</li> <li>• F16_02 Trainer Evaluation Form</li> <li>• F16_03 Candidate Evaluation Form</li> <li>• F16_04 Assessor Evaluation Form</li> <li>• F16_05 Customer feedback form</li> <li>• F16_06 Management Evaluation form</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>•</li> </ul>	
	<ul style="list-style-type: none"> <li>•</li> </ul>	

**COMPLIANT/ COMPLETED ??**

YES       NO



Perth Boat School Evidence Plan  
AQTF 2007 Compliance for RTO Registration

<b>ELEMENT 3.2</b>	<b>LIST EVIDENCE OF COMPLIANCE</b>	<b>ACTIONS REQUIRED</b>
<p>The RTO monitors training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the AQTF 2007 Essential Standards for Registration.</p>	<ul style="list-style-type: none"> <li>• Audit Policy and Procedures (POL04)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Forms Audit:               <ul style="list-style-type: none"> <li>• F04_01 Audit program</li> <li>• F04_02 AQTF Internal Audit Checklist</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Partnerships Policy and Procedures (POL28)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Forms Partnerships:               <ul style="list-style-type: none"> <li>• F28_01 MOA template</li> </ul> </li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Moderation and Validation Policy and Procedures (POL25)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Forms Moderation and Validation:               <ul style="list-style-type: none"> <li>• F25_01 Moderation confidentiality agreement form</li> <li>• F25_02 Moderation evidence</li> <li>• F25_03 Moderation / validation record</li> <li>• F25_04 Moderation outcomes summary</li> <li>• F25_05 Validation of evidence</li> <li>• F25_06 Validation of plan and methods</li> <li>• F25_07 Validation of assessment tools tasks</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>•</li> </ul>	
	<ul style="list-style-type: none"> <li>•</li> </ul>	
<b>COMPLIANT/ COMPLETED ??</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	
<b>ELEMENT 3.3</b>	<b>LIST EVIDENCE OF COMPLIANCE</b>	<b>ACTIONS REQUIRED</b>
<p>The RTO manages records to ensure their accuracy and integrity.</p>	<ul style="list-style-type: none"> <li>• Administration &amp; records management Policy and Procedures (POL02)</li> </ul>	



Perth Boat School Evidence Plan  
AQTF 2007 Compliance for RTO Registration

	<ul style="list-style-type: none"> <li>• <b>Forms Administration &amp; records management:</b> <ul style="list-style-type: none"> <li>• F02_01 Student Training record</li> <li>• F02_02 Participant Attendance Record</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Excel spreadsheet of student enrolments</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Management of RTO policy &amp; procedures</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Continuous improvement policy and procedures (POL09)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Continuous improvement:</b> <ul style="list-style-type: none"> <li>• F09_01 Continuous Improvement request</li> </ul> </li> </ul>	
	<ul style="list-style-type: none"> <li>• Audit Policy and Procedures (POL04)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Audit:</b> <ul style="list-style-type: none"> <li>• F04_01 Audit program</li> <li>• F04_02 AQTF Internal Audit Checklist</li> </ul> </li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• Issue of certification Policy and Procedures (POL21)</li> </ul>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>• <b>Forms Issue of certification:</b> <ul style="list-style-type: none"> <li>• F21_01 Certification Issuance Authority Form</li> <li>• F21_02 Replacement Certificate</li> </ul> </li> </ul>	
<b>COMPLIANT/ COMPLETED ??</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	