Audit tool - CRICOS

Commonwealth Register of Institutions and Courses for Overseas Students
(Initial and continuing registration)

About this tool: This tool is a resource to be used by auditors to guide the collection of evidence to determine a provider's compliance with the ESOS framework.

Details of non-compliance are not recorded in an audit tool. If the evidence does not support a finding of compliance, the non-compliance is reported in full in the audit report.

Note: If auditing ELICOS, please use the ELICOS Working papers in addition to the CRICOS audit tool.

ORGANISATION DETAILS	
Legal name	**x**
Trading name/s	x
CRICOS number	x
RTO number	x

AUDIT TEAM	
Lead auditor	**x**
Auditor/s	x

AUDIT DETAILS	
Application number/s	**x**
Audit number/s	x

NATIONAL CODE OF PRACTICE FOR REGISTRATION AUTHORITIES AND PROVIDERS OF EDUCATION AND TRAINING TO OVERSEAS STUDENTS 2007

PART C REGISTRATION ON CRICOS

Course/s can only be approved for registration on the *Commonwealth Register of Institutions and Courses for Overseas Students* (CRICOS) where the course/s meet/s the following requirements:

SECTION 7 Course duration

7.1 Original finding: Not reviewed

Y	N	Evidence:
☐	☐	Does the course meet the relevant Australian Qualifications Framework or those of any other appropriate quality or accreditation framework, if an appropriate framework exists?
☐	☐	Is the course being undertaken on a full-time basis?
☐	☐	The course duration does not exceed the time required for completing the course on the basis of the normal amount of full time study?

Optional: Essential notes/temporary reminders only -

7.2 Original finding: Not reviewed

Y	N	Evidence (Note: Evidence for initial and change registration applications may have already been assessed by ASQA's Accreditation team. If so, this is NOT audited):
☐	☐	Is the ELICOS course being undertaken on a full time basis?

Optional: Essential notes/temporary reminders only -

7.3 Original finding: Not reviewed

Y	N	NA	Evidence:
☐	☐	☐	Does the course duration include approved holiday periods?
☐	☐	☐	Does the course duration include any approved periods of work-based training?
☐	☐		Is the course duration appropriate when taking into account the course structure (that is the number of compulsory terms or semesters each academic year)?
☐	☐	☐	Where the course duration is not specified by the accrediting authority, is the proposed course duration based on a minimum of 20 scheduled course contact hours per week (as per definition of 'scheduled course contact hours in The National Code)?

Optional: Essential notes/temporary reminders only -

SECTION 8 Work-based training

8.1 Original finding: Not reviewed

Y	N	Evidence:
☐	☐	Is work-based training a requirement to gain the qualification?
☐	☐	Does the registered provider have appropriate arrangements for the supervision and assessment of overseas students undertaking work-based training?

Optional: Essential notes/temporary reminders only -

SECTION 10 Arrangements with other providers

10.2 Original finding: Not reviewed

Y	N	Evidence:
☐	☐	Has ASQA been informed of the arrangements?
☐	☐	Is the provider suitable for registration in light of its connection with and responsibility for the course?

Optional: Essential notes/temporary reminders only -

SECTION 12 Maximum number of students

12.1 Original finding: Not reviewed

Y	N	NA	Evidence:
Do the following meet the requirements for the maximum number of students approved or applied for?			
☐	☐		premises
☐	☐	☐	approved arrangements with other providers
☐	☐		facilities
☐	☐		resources

☐	☐	equipment	
☐	☐	materials	
☐	☐	☐	ratio of staff to student numbers (ELICOS only)

Optional: Essential notes/temporary reminders only -

NATIONAL CODE OF PRACTICE FOR REGISTRATION AUTHORITIES AND PROVIDERS OF EDUCATION AND TRAINING TO OVERSEAS STUDENTS 2007

PART D STANDARDS FOR REGISTERED PROVIDERS

STANDARD 1 Marketing and information practices – Registered providers ensure that marketing of their education and training services is professional, accurate and maintains the integrity and reputation of the industry.

1.1 Original finding: Not audited

Y	N	Evidence:
☐	☐	Does the registered provider ensure the marketing of its education and training services is/will be undertaken in a professional manner and maintains the integrity and reputation of the industry and registered providers?

Optional: Essential notes/temporary reminders only -

1.2 Original finding: Not audited

Y	N	Evidence:
☐	☐	Are the registered provider's name and CRICOS number clearly identified in written marketing and other material for students, including electronic form?
As the registered provider must not give false or misleading information or advice, are all:		
☐	☐	claims of associations between providers true and accurate?
☐	☐	employment outcomes associated with a course true and accurate?
☐	☐	references to automatic acceptance into another course true and accurate?
☐	☐	possible migration outcomes true and accurate?
☐	☐	other claims relating to the registered provider, its course or outcomes associated with the course true and accurate?

Optional: Essential notes/temporary reminders only -

1.3 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐	☐	Where the registered provider actively recruits a student to transfer from another registered provider this does not conflict with its obligations under Std 7?

Optional: Essential notes/temporary reminders only -

STANDARD 2 Student engagement before enrolment - registered providers recruit students in an ethical and responsible manner and provide information that enables students to make informed decisions about studying with the registered provider in Australia. Registered providers ensure students' qualifications, experience and English language proficiency are appropriate for the course for which enrolment is sought.

2.1 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐		Prior to accepting a student, or an intending student, for enrolment in a course, does/will the registered provider provide in print or through referral to an electronic copy, current and accurate information?
Does this information include the following:			
☐	☐		the requirements for acceptance into a course, including the minimum level of English language proficiency, educational qualifications or work experience required and whether course credit may be applicable?
☐	☐		the course content and duration, qualification offered if applicable, modes of study and assessment methods?
☐	☐		campus locations and a general descriptor of facilities, equipment and learning and library resources available to students?
☐	☐		details of any arrangements with another registered provider, person or business to provide the course or part of the course?
☐	☐		indicative course-related fees, including advice on the potential for fees to change during the student's course and applicable refund policies?
☐	☐		information about the grounds on which the student's enrolment may be deferred, suspended or cancelled?
☐	☐		a description of the ESOS framework made available electronically by DEST (or its successors)?
Relevant information on living in Australia, including:			
☐	☐		• cost of living
☐	☐		• accommodation options, and
☐	☐	☐	• where relevant, schooling obligations and options for school-aged dependants of intending students, including that school fees may be incurred?

Optional: Essential notes/temporary reminders only -

2.2 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐		Does the registered provider have documented procedures to assess whether the student's qualifications, experience and English language proficiency are appropriate for the course?
☐	☐	☐	Has the registered provider implemented these procedures?

Optional: Essential notes/temporary reminders only -

STANDARD 3 Formalisation of enrolment – written agreements between registered providers and students set out the services to be provided, fees payable and information in relation to refunds of course money.

3.1 Original finding: Not audited

Y	N	NA	Evidence:

☐	☐	☐	Has the registered provider entered into a written agreement that is signed or otherwise accepted by the student (or the student's parent or legal guardian if the student is under 18 years of age), concurrently with or prior to accepting course money from the student?

Does/will the registered provider's written agreement:

☐	☐	identify the course/s in which the student is to be enrolled and any conditions on his or her enrolment?
☐	☐	provide an itemised list of course money payable by the student?
☐	☐	provide information in relation to refunds of course money?
☐	☐	set out the circumstances in which personal information about the student may be shared between the registered provider and the Australian Government, designated authorities, and if relevant the Tuition Protection Service (TPS)?
☐	☐	advise the student of his or her obligation to notify their registered provider of a change of address while enrolled in the course?

Optional: Essential notes/temporary reminders only -

3.2 Original finding: Not audited

Y	N	Evidence:

The registered provider must include in the written agreement the following information, which is to be consistent with the requirements of the ESOS Act, in relation to refunds of course money in the case of student and provider default. Does the written agreement include:

☐	☐	the amounts that may or may not be repaid to the student (including any course money collected by education agents on behalf of the registered provider)?
☐	☐	processes for claiming a refund?
☐	☐	a plain English explanation of what happens in the event of a course not being delivered?
☐	☐	the statement "This agreement, and the availability of complaints and appeals processes, does not remove the right of the student to take action under Australia's consumer protection laws"?

Optional: Essential notes/temporary reminders only -

STANDARD 4 Education Agents – registered providers take all reasonable measures to use education agents that have an appropriate knowledge and understanding of the Australian international education industry and do not use education agents who are dishonest or lack integrity.

4.1 Original finding: Not audited

Y	N	NA	Evidence:

Does the:

☐	☐	☐	registered provider have a written agreement with each education agent it engages to formally represent it?
☐	☐		agreement specify the responsibilities of the education agent and the registered provider and the need to comply with the requirements of the National Code?
☐	☐		agreement include processes for monitoring the activities of the education agent, including where corrective action may be required?
☐	☐		agreement include termination conditions, including providing for termination in the circumstances outlined in Std 4.4?

Optional: Essential notes/temporary reminders only -

4.2 **Original finding:** Not audited

Y	N	Evidence:
☐	☐	Does the registered provider ensure that its education agents have/will have access to its up-to-date and current marketing information as set out in Std 1?

Optional: Essential notes/temporary reminders only -

4.3 **Original finding:** Not audited

Y	N	Evidence:
☐	☐	Has the registered provider accepted students from an education agent, or entered into an agreement with an education agent?
If no, select not audited and proceed to Std 5, if yes does the registered provider only accept students from an education agent, or enter into an agent agreement with an education agent, where the registered provider knows or reasonably suspects the agent has not:		
☐	☐	engaged in, or previously been engaged in dishonest practices, including the deliberate attempt to recruit a student where this clearly conflicts with the obligations of registered providers under Standard 7 (Transfer between registered providers)?
☐	☐	facilitated the enrolment of a student who the education agent believes will not comply with the conditions of their student visa?
☐	☐	used PRISMS to create CoEs for other than genuine students?
☐	☐	provided immigration advice when not authorised to do so under the Migration Act 1958?

Optional: Essential notes/temporary reminders only -

4.4 **Original finding:** Not audited

Y	N	NA	Evidence:
☐	☐		Where the provider has entered into an agreement with an education agent, has the registered provider become aware of, or reasonably suspects the engagement by that education agent, or an employee or sub contractor of that agent, of the conduct set out in Standard 4.3?
If no, select not audited and proceed to Std 4.5, if yes has the registered provider:			
☐	☐	☐	terminated the agreement with the education agent? or
☐	☐	☐	received advice that the education agent has terminated the relationship?

Optional: Essential notes/temporary reminders only -

4.5 **Original finding:** Not audited

Y	N		Evidence:
☐	☐		Has the registered provider become aware of an education agent being negligent, careless or incompetent or being engaged in false, misleading or unethical advertising and recruitment practices that could harm the integrity of Australian education and training?
If no, select not audited and proceed to Std 5, if yes:			
☐	☐		has the registered provider taken immediate corrective and preventative action after becoming aware?

Optional: Essential notes/temporary reminders only -

STANDARD 5 Younger students – where students under the age of 18 are not being cared for in Australia by a parent or suitable nominated relative, registered providers ensure the arrangements made to protect the personal safety and social well-being of those students are appropriate.

5.1 Original finding: Not audited

Y	N	NA	Evidence:
Where the registered provider has taken on responsibility or plans to take on responsibility under the Migration Regulations for approving the accommodation, support and general welfare arrangements for a student who has not turned 18, has/will the registered provider:			
☐	☐	☐	nominate/d the dates for which the registered provider accepts responsibility for approving the student's accommodation, support and general welfare arrangements using the DIAC (or its successors) pro forma letter available through PRISMS?
☐	☐	☐	advise/d DIAC (or its successors) in writing of the approval using the DIAC (or its successors) pro forma letter available through PRISMS?
☐	☐	Document/ed procedures for checking the suitability of the students accommodation, support and general welfare arrangements?	
☐	☐	☐	for existing providers is evidence available that these checks have been conducted in accordance with documented procedures?
☐	☐	☐	advised DIAC (or its successors) as soon as possible in the event that the under 18 student has changed his or her living arrangements or the registered provider no longer approves of the arrangements for the student using the DIAC (or its successors) pro forma letter available through PRISMS?

Optional: Essential notes/temporary reminders only -

5.2 Original finding: Not audited

Y	N	Evidence:
Where Std 5.1 applies and the student is under 18 with a student visa that covers multiple courses, has the registered provider, with whom the student is currently enrolled, taken on the responsibility, during that nominated period, for approving arrangements for the student's:		
☐	☐	accommodation?
☐	☐	support?
☐	☐	general welfare?

Optional: Essential notes/temporary reminders only -

5.3 Original finding: Not audited

Y	N	Evidence:
Where Std 5.1 applies and the registered provider suspends or cancels the enrolment of the student, has the registered provider continued to check the suitability of arrangements for that student until:		
☐	☐	the student is accepted by another registered provider who takes over responsibility
☐	☐	the student leaves Australia
☐	☐	other suitable arrangements are made

☐	☐	the registered provider reports under Std 5.1 (d) that it can no longer approve the arrangements

Optional: Essential notes/temporary reminders only -

STANDARD 6 Student support services – registered providers support students to adjust to study and life in Australia, to achieve their learning goals and to achieve satisfactory academic progress towards meeting the learning outcomes of the course.

6.1 Original finding: Not audited

Y	N	Evidence:
☐	☐	Does the registered provider have an orientation program that assists students to adjust to study and life in Australia?
☐	☐	Is the orientation program age and culturally appropriate?
Does the orientation program include information on:		
☐	☐	student support services available to students in the transition to life and study in a new environment?
☐	☐	legal services?
☐	☐	emergency and health services?
☐	☐	facilities and resources?
☐	☐	complaints and appeals processes?
☐	☐	any student visa condition relating to course progress and/or attendance as appropriate?

Optional: Essential notes/temporary reminders only -

6.2 Original finding: Not audited

Y	N	Evidence:
☐	☐	Do/will opportunities exist for students to participate in or access services designed to assist students in meeting course requirements and maintaining their attendance?

Optional: Essential notes/temporary reminders only -

6.3 Original finding: Not audited

Y	N	Evidence:
The registered provider must provide the opportunity for students to access welfare related support services to assist with issues that may arise during their study, including, course progress and attendance requirements and accommodation issues. Does/will the registered provider:		
☐	☐	provide the opportunity for students to access welfare-related support services to assist with course progress and attendance requirements and accommodation issues?
☐	☐	ensure these services are provided at no additional cost to the student?
☐	☐	ensure any referral of a student to external support services is made without charge?

Optional: Essential notes/temporary reminders only -

6.4 Original finding: Not audited

Y	N	Evidence:

☐	☐	Does the registered provider have a documented critical incident policy and procedures?
☐	☐	Does the critical incident policy and procedures cover the action to be taken in the event of a critical incident?
☐	☐	Does the critical incident policy and procedures include the required follow-up to the incident?
☐	☐	Does the critical incident policy and procedures refer to recording the incident and action taken?

Optional: Essential notes/temporary reminders only -

6.5 Original finding: Not audited

Y	N	Evidence:
☐	☐	Does the registered provider have a designated member of staff, or members of staff, to be the official point of contact for students?
☐	☐	Does the student contact officer, or officers, have access to up-to-date details of the registered provider's support services?
☐	☐	Is information made available to students on who is the designated member of staff, or members of staff that are to be the official point of contact for students?

Optional: Essential notes/temporary reminders only -

6.6 Original finding: Not audited

Y	N	Evidence:
☐	☐	Does the registered provider have sufficient student support personnel to meet the needs of students?

Optional: Essential notes/temporary reminders only -

6.7 Original finding: Not audited

Y	N	Evidence:
☐	☐	Are staff members, who interact directly with students, aware of the registered provider's obligations under the ESOS framework and the potential implications for students arising from the exercise of these obligations?

Optional: Essential notes/temporary reminders only -

STANDARD 7 Transfer between registered providers – registered providers assess requests from students for a transfer between registered providers prior to the student completing six months of his or her principal course of study in accordance with their documented procedures.

7.1 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐		Has the registered provider received a student that has transferred from another registered provider prior to completing six months of his or her principal course of study?
If no, select not audited and proceed to Std 7.2, if yes has the registered provider only enrolled the student where any of the following has occurred:			
☐	☐	☐	the original registered provider has ceased to be registered or the course in which the student is enrolled has ceased to be registered?, or
☐	☐	☐	the original registered provider has provided a written letter of release?, or

☐	☐	☐	the original registered provider has had a sanction imposed on its registration that prevents the student from continuing his or her principal course?, or
☐	☐	☐	any government sponsor of the student considers the change to be in the student's best interest and has provided written support for that change?

Optional: Essential notes/temporary reminders only -

7.2 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐		Does the registered provider have a documented student transfer request assessment policy and procedure?
☐	☐		Is the student transfer request assessment policy and procedure available to staff?
☐	☐		Is the student transfer request assessment policy and procedure available to students?
☐	☐	☐	Has the registered provider implemented the student transfer request assessment policy and procedure?
Does the student transfer request assessment policy and procedure specify:			
☐	☐		the circumstances in which a transfer will be granted?
☐	☐		the circumstances the registered provider considers as providing reasonable grounds for refusing the student's request, including when a transfer can be considered detrimental to the student?
☐	☐		a reasonable timeframe for assessing and replying to the student's transfer request having regard to the restricted period?

Optional: Essential notes/temporary reminders only -

7.3 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐		Has the registered provider had any students transfer to another provider?
If no, select not audited and proceed to Std 8.1, if yes has a letter of release only been granted where the student has:			
☐	☐		provided a letter from another registered provider confirming that a valid enrolment offer has been made?
Where the student is under 18 has the registered provider:			
☐	☐	☐	written confirmation that the student's parent or legal guardian supports the transfer?
☐	☐	☐	ensured the valid enrolment offer also confirms that the registered provider will accept responsibility for approving the student's accommodation, support and general welfare arrangements as per Std 5 where the student is not being cared for in Australia by a parent or suitable nominated relative?

Optional: Essential notes/temporary reminders only -

7.4 Original finding: Not audited

Y	N	Evidence:
☐	☐	Has a letter of release been granted?

If no, select not audited and proceed to Std 7.5, if yes:		
☐	☐	was the letter issued at no cost to the student?
☐	☐	has the registered provider advised the student of the need to contact DIAC (or its successors) to seek advice on whether a new student visa is required?

Optional: Essential notes/temporary reminders only -

7.5 Original finding: Not audited

Y	N	Evidence:
☐	☐	Has the registered provider refused to grant a letter of release?
If no, select not audited and proceed to Std 7.6, if yes were:		
☐	☐	students provided with written reasons for the registered provider refusing the request?
☐	☐	students informed of their right to appeal the decision in accordance with Std 8?

Optional: Essential notes/temporary reminders only -

7.6 Original finding: Not audited

Y	N	Evidence:
☐	☐	Where a request has been made, were records maintained on the student's file for all student requests for a letter of release, the assessment of, and decision regarding the request?

Optional: Essential notes/temporary reminders only -

STANDARD 8 Complaints and appeals – registered providers' complaints and appeals processes are independent, easily and immediately accessible and inexpensive for the parties involved.

8.1 Original finding: Not audited

Y	N	Evidence:
Does the registered provider have an appropriate internal complaints handling and appeals process that meets the following requirements:		
☐	☐	if a matter cannot be resolved informally, a process is in place for lodging a formal complaint or appeal which requires a written record of the complaint or appeal to be kept?
☐	☐	each complainant or appellant has an opportunity to formally present his or her case at minimal or no cost to him or herself?
☐	☐	each party may be accompanied and assisted by a support person at relevant meetings?
☐	☐	the complainant or appellant is given a written statement of the outcome, including details of the reasons for the outcome?
☐	☐	the process commences within 10 working days of the formal lodgement of the complaint or appeal and supporting information and all reasonable measures are taken to finalise the process as soon as practicable?

Optional: Essential notes/temporary reminders only -

8.2 Original finding: Not audited

Y	N	Evidence:

☐	☐	Does the registered provider have arrangements in place for a person or body, independent of and external to the registered provider, to hear complaints or appeals arising from the registered provider's internal complaints and appeals process? **or**
☐	☐	Does the registered provider refer students to an existing body where that body is appropriate for the complaint or appeal?

Optional: Essential notes/temporary reminders only -

8.3 Original finding: Not audited

Y	N	Evidence:
☐	☐	If students are not satisfied with the result or conduct of the internal complaint and appeals process, are they advised of their right to access an external appeals process, at minimal or no cost?

Optional: Essential notes/temporary reminders only -

8.4 Original finding: Not audited

Y	N	Evidence:
☐	☐	If a student has chosen to access the registered provider's complaints and appeals processes has the registered provider maintained the student's enrolment while the complaints and appeals process is ongoing?

Optional: Essential notes/temporary reminders only -

8.5 Original finding: Not audited

Y	N	NA	Evidence:
If an internal or any external complaint handling or appeal process results in a decision that supports the student, has the registered provider:			
☐	☐	☐	immediately implemented any decision and/or corrective and preventative action required?
☐	☐	☐	advised the student of the outcome?

Optional: Essential notes/temporary reminders only -

STANDARD 9 Completion within the expected duration of study – registered providers monitor the enrolment load of students to ensure they complete the course within the duration specified in their CoE and do not exceed the allowable portion of online or distance learning. Registered providers only enable students to extend the expected duration of study for the course through the issuing of a new CoE in limited circumstances.

9.1 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐		Does the registered provider have documented policies and procedures for monitoring the progress of each student to ensure that at all times the student is in a position to complete the course within the expected duration as specified on the student's CoE?
☐	☐	☐	Has the registered provider implemented their documented policies and procedures for monitoring the progress of each student to ensure that all times the student is in a position to complete the course within the expected duration as specified on the student's CoE?

☐	☐	☐	Does the registered provider ensure, for each compulsory study period for a course, students are studying at least one unit that is not by distance or online learning?

Optional: Essential notes/temporary reminders only -

9.2 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐		Has the registered provider extended the duration of a students study where it is clear that the student will not complete the course within the expected duration?
If no, select not audited and proceed to Std 10.1, if yes, has it only been as the result of one of the following:			
☐	☐	☐	compassionate or compelling circumstance e.g. illness where a medical certificate states that the student was unable to attend classes or where the registered provider was unable to offer a pre-requisite unit?
☐	☐	☐	the registered provider implementing its intervention strategy for students who were at risk of not meeting satisfactory course progress?
☐	☐	☐	an approved deferment or suspension of study has been granted under Std 13?

Optional: Essential notes/temporary reminders only -

9.3 Original finding: Not audited

Y	N	Evidence:
☐	☐	Has there has been a variation in a student's enrolment load, which may affect the student's expected duration of study in accordance with Std 9.2?
If no, select not audited and proceed to Std 9.4, if yes has the registered provider:		
☐	☐	recorded the variation and the reasons for it on the student file?
☐	☐	correctly reported the student, via PRISMS, and/or issued a new CoE, when the student can only account for the variation/s by extending his or her expected duration of study?

Optional: Essential notes/temporary reminders only -

9.4 Original finding: Not audited

Y	N	Evidence:
☐	☐	Has the registered provider only allowed a student to undertake 25% or less of their total course by distance and/or online learning?
☐	☐	Has the registered provider ensured that a student is not enrolled exclusively in distance or online learning units in any compulsory study period?

Optional: Essential notes/temporary reminders only -

9.5 Original finding: Not audited

Y	N	Evidence:
☐	☐	Except in the circumstances outlined in Std 9.2 is the expected duration of study specified in the student's CoE equal to or less than the CRICOS registered course duration?

Optional: Essential notes/temporary reminders only -

STANDARD 10 Monitoring course progress – registered providers systematically monitor student's course progress. Registered providers are proactive in notifying and counselling student who are at risk of failing to meet their course progress requirements. Registered providers report students, under Section 19 of the ESOS Act who have breached the course progress requirements.

10.1 Original finding: Not audited

Y	N	Evidence:
☐	☐	Is the registered provider monitoring, recording and assessing the course progress of each student for each unit of the course for which the student is enrolled in accordance with the registered provider's documented course progress policies and procedures?

Optional: Essential notes/temporary reminders only -

10.2 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐		Does the registered provider have appropriate documented course progress policies and procedures for each course?
☐	☐		Are the course progress policies and procedures available to staff?
☐	☐		Are the course progress policies and procedures available to students?
☐	☐	☐	Has the registered provider implemented their documented course progress policies and procedures for each course?
Do the course progress policies and procedures specify:			
☐	☐		requirements for achieving satisfactory course progress?
☐	☐		process for assessing satisfactory course progress?
☐	☐		procedure for intervention for students at risk of failing to achieve satisfactory course progress?
☐	☐		process for determining the point at which the student has failed to meet satisfactory course progress?
☐	☐		procedure for notifying students that they have failed to meet satisfactory course progress requirement?

Optional: Essential notes/temporary reminders only -

10.3 Original finding: Not audited

Y	N	Evidence:
☐	☐	Does the registered provider assess the course progress of each student in accordance with their course progress policies and procedures?
☐	☐	Does the registered provider assess the course progress of each student at the end point of every study period?

Optional: Essential notes/temporary reminders only -

10.4 Original finding: Not audited

Y	N	Evidence:

☐	☐	Does the registered provider have a documented intervention strategy that specifies the procedures for identifying and assisting students at risk of not meeting course progress requirements?
☐	☐	Is the intervention strategy made available to staff?
☐	☐	Is the intervention strategy made available to students?
Does the intervention strategy specify:		
☐	☐	procedures for contacting and counselling identified students?
☐	☐	strategies to assist identified students to achieve satisfactory course progress?
☐	☐	the process by which the intervention strategy is activated?

Optional: Essential notes/temporary reminders only -

10.5 Original finding: Not audited

Y	N	Evidence:
☐	☐	Where a student is at risk of not meeting satisfactory course progress requirements has the registered provider implemented their intervention strategy (at a minimum it must be activated where the student has failed or is deemed not yet competent in 50% or more of the units attempted in any study period)?

Optional: Essential notes/temporary reminders only -

10.6 Original finding: Not audited

Y	N	Evidence:
☐	☐	Has the registered provider assessed a student as not achieving satisfactory course progress?
If no, select not audited and proceed to Std 11, if yes, has the registered provider:		
☐	☐	Notified the student, in writing, of its intention to report he or she for not achieving satisfactory course progress?
☐	☐	Informed the student, in the written notice, that he or she is able to access the registered provider's complaints and appeals process, as per Std 8, and that the student has 20 working days in which to do so?

Optional: Essential notes/temporary reminders only -

10.7 Original finding: Not audited

Y	N	Evidence:
☐	☐	Has the registered provider notified, through PRISMS, of a student not achieving satisfactory course progress when the student has chosen not to access the complaints and appeals processes within the 20 working day period, withdraws from the process, or the process is completed and results in a decision supporting the registered provider?

Optional: Essential notes/temporary reminders only -

STANDARD 11 Monitoring attendance – registered providers systematically monitor students' compliance with student visa conditions relating to attendance. Registered providers are proactive in notifying and

counselling students who are at risk of failing to meet attendance requirements. Registered providers report students under Section 19 of the ESOS Act who have breached the attendance requirements.

11.2 Original finding: Not audited

Y	N	Evidence:
☐	☐	Has the registered provider implemented or does it intend to implement the DEST and DIAC (or their successors) approved course progress policy and procedures for its vocational education and training courses and has it been actioned on PRISMS?

If yes for VET courses only, proceed to Std 12, if no, and for all other courses:

11.1 Original finding: Not audited

☐	☐	Does the registered provider record the attendance of each student, for the scheduled course contact hours, for each CRICOS registered course in which the student is enrolled and for which ASQA is the designated authority?

Optional: Essential notes/temporary reminders only -

11.3 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐		Does the registered provider have appropriate documented attendance policies and procedures for each course they are registered to provide?
☐	☐		Are the documented attendance policies and procedures provided to staff?
☐	☐		Are the documented attendance policies and procedures provided to students?
☐	☐	☐	Has the registered provider implemented their documented policies and procedures for monitoring the progress of each student to ensure that all times the student is in a position to complete the course within the expected duration as specified on the student's CoE?

Do the attendance policies and procedures specify the:

☐	☐	requirements for achieving satisfactory attendance, which at a minimum, requires overseas students to attend at least 80% of the scheduled course contact hours?
☐	☐	manner in which attendance and absences are recorded and calculated?
☐	☐	process for assessing satisfactory attendance?
☐	☐	process for determining the point at which the student has failed to meet satisfactory attendance?
☐	☐	procedure for notifying students that they have failed to meet satisfactory attendance requirements?

Optional: Essential notes/temporary reminders only -

11.4 Original finding: Not audited

Y	N	Evidence:
Do the registered provider's attendance policies and procedures identify the process for contacting and counselling students who:		
☐	☐	have been absent for more than five consecutive days without approval? or
☐	☐	are at risk of not attending for at least 80% of the scheduled course contact hours, for the course in which the student is enrolled (i.e. before the student's attendance drops below 80%)?

Optional: Essential notes/temporary reminders only -

11.5 Original finding: Not audited

Y	N	Evidence:
☐	☐	Does the registered provider regularly assess the attendance of students in accordance with the registered provider's attendance policies and procedures?

Optional: Essential notes/temporary reminders only -

11.6 Original finding: Not audited

Y	N	Evidence:
☐	☐	Has the registered provider assessed a student as not achieving satisfactory attendance?
If no, select not audited and proceed to Std 12, if yes, has the registered provider:		
☐	☐	notified the student in writing of its intention to report the student for not achieving satisfactory attendance? and
☐	☐	included in the written notice, information that the student is able to access the registered provider's complaints and appeals process, as per Std 8, and that the student has 20 working days in which to do so?

Optional: Essential notes/temporary reminders only -

11.7 Original finding: Not audited

Y	N	Evidence:
☐	☐	Where the student has chosen not to access the complaints and appeals processes within 20 working days, withdraws from the process, or the process is completed and results in a decision supporting the registered provider, has the registered provider notified, through PRISMS, that the student is not achieving satisfactory attendance as soon as practicable?

Optional: Essential notes/temporary reminders only -

11.8 Original finding: Not audited

Y	N	Evidence:
☐	☐	Where the course is a VET or other non-award course has the registered provider not reported a student who breached the 80% attendance requirement?
If no, select not audited and proceed to Std 11.9, if yes is it only where:		
☐	☐	that decision is consistent with its documented attendance policies and procedures? and
☐	☐	the student records clearly indicate that the student is maintaining satisfactory course progress? and
☐	☐	the registered provider confirms that the student is attending at least 70% of the scheduled course contact hours?

Optional: Essential notes/temporary reminders only -

11.9 Original finding: Not audited

Y	N	Evidence:

☐	☐	Where the course is an ELICOS course has the registered provider not reported a student who breached the 80% attendance requirement?
If no, select not audited and proceed to Std 12, if yes is it only where:		
☐	☐	documentary evidence clearly demonstrates compassionate or compelling circumstances? and
☐	☐	the decision is consistent with its documented attendance policies and procedures? and
☐	☐	the registered provider confirms that the student is attending at least 70% of the scheduled course contact hours for the course in which he or she is enrolled?

Optional: Essential notes/temporary reminders only -

STANDARD 12 Course credit – registered providers appropriately recognise course credit within the ESOS framework

12.1 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐		Has the registered provider granted and recorded course credit or does it intend to grant course credit?
If no, select not audited and proceed to Std 13, if yes:			
☐	☐		does the registered provider have documented procedures for the granting and recording of course credit?
☐	☐	☐	has the registered provider provided a record of the course credit to the student?
☐	☐	☐	has the registered provider placed on the student's file the course credit record that is signed or otherwise accepted by the student?

Optional: Essential notes/temporary reminders only -

12.2 Original finding: Not audited

Y	N	NA	Evidence:
If course credit has been granted, which leads to a shortening of the student's course, has the registered provider:			
☐	☐	☐	indicated the actual net course duration (as reduced by course credit) in the CoE issued for that student for that course before the visa is granted?
☐	☐	☐	reported the change of course duration, via PRISMS, under Section 19 of the ESOS Act after the visa has been granted?

Optional: Essential notes/temporary reminders only -

STANDARD 13 Deferring, suspending or cancelling the students' enrolment – registered providers may only enable students to defer or temporarily suspend their studies, including granting a leave of absence, during the course through formal agreement in certain limited circumstances

13.1 Original finding: Not audited

Y	N	Evidence:
☐	☐	Does the registered provider have documented procedures for assessing, approving and recording a deferment of the commencement of study or suspension of study?
☐	☐	Has the provider deferred the commencement of, or suspended, study of a student?

If no, proceed to Std 14, if yes, did the provider:		
☐	☐	keep documentary evidence of the assessment of the application, on the student's file?

Optional: Essential notes/temporary reminders only -

13.2 Original finding: Not audited

Y	N	Evidence:
Has the registered provider only deferred or temporarily suspended the enrolment of a student on the grounds of:		
☐	☐	compassionate or compelling circumstances? or
☐	☐	misbehaviour by the student?

Optional: Essential notes/temporary reminders only -

13.3 Original finding: Not audited

Y	N	Evidence:
Has the registered provider:		
☐	☐	informed the student that deferring, suspending or cancelling his/her enrolment may affect his/her student visa?
☐	☐	notified, via PRISMS, as required under section 19 of the ESOS Act, where the student's enrolment is deferred, temporarily suspended or cancelled?

Optional: Essential notes/temporary reminders only -

13.4 Original finding: Not audited

Y	N	Evidence:
☐	☐	Has the registered provider suspended or cancelled any student's enrolment where this has not been initiated by the student?
If no, select not audited and proceed to Std 14, if yes, did the registered provider:		
☐	☐	inform the student of its intention to suspend or cancel the student's enrolment?
☐	☐	notify the student that he or she has 20 working days to access the registered provider's internal complaints and appeals process as per Std 8.1?
☐	☐	ensure where the student accesses the registered provider's internal complaints and appeals process, the suspension or cancellation of the student's enrolment under this standard did not take effect until the internal process was completed, unless extenuating circumstances relating to the welfare of the student applied?

Optional: Essential notes/temporary reminders only -

STANDARD 14 Staff capability, educational resources and premises – the staff of registered providers are suitably qualified or experienced in relation to the functions they perform for students. The educational resources or registered providers support the delivery of courses to students. The premised of registered providers, including the floor space available for each student, support students to achieve their course outcomes.

14.1 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐		Does the registered provider have adequate staff (including support staff) in respect to the number of students at each location and the number of courses being delivered?
☐	☐	☐	Does the registered provider have policies and procedures to ensure its staffing resources are adequate and have the capabilities as required by the quality assurance framework applying to the course?
☐	☐	☐	Does the registered provider implement their policies and procedures to ensure its staffing resources are adequate and have the capabilities as required by the quality assurance framework applying to the course?
☐	☐	☐	Where the course to be provided is not subject to an appropriate quality assurance framework, does the registered provider have policies and processes for the recruitment, induction, performance assessment and ongoing development of members of staff involved with the recruitment or delivery of education or client services to students?

Optional: Essential notes/temporary reminders only -

14.2 Original finding: Not audited

Y	N	Evidence:
☐	☐	Does the registered provider have adequate education resources, including facilities, equipment, learning and library resources and premises as required by the quality assurance framework applying to the course in respect to the number of students at each location and the number of courses being delivered?
☐	☐	Where the course is not subject to an appropriate quality assurance framework, does the registered provider have adequate education resources, including facilities, equipment, learning and library resources, and premises, including ownership or tenancy arrangements for the premises, as are needed to deliver the registered course??

Optional: Essential notes/temporary reminders only -

14.3 Original finding: Not audited

Y	N	NA	Evidence:
☐	☐	☐	Has the registered provider notified ASQA and students where it is intending to, or has relocated premises (head office and/or campus locations), at least 20 days before the relocation?

Optional: Essential notes/temporary reminders only -

STANDARD 15 Changes to registered providers' ownership or management – registered providers proactively inform the designated authority of prospective ownership and/or management changes.

Y	N	Evidence:
☐	☐	Has there been any recent change to the registered providers ownership or high managerial agents?

If no, Std 15.1 and Std 15.2 are not applicable, if yes did the registered provider:

15.1 Original finding: Not audited

Y	N	Evidence:
☐	☐	advise ASQA as soon as the registered provider is aware that changes to ownership will take place and prior to the change taking effect?

☐	☐	advise ASQA of any prospective or actual change to the high managerial agents (as defined in section 5 of the ESOS Act) of the registered provider as soon as practicable prior to the change taking effect or within 10 working days of the change taking effect where the change cannot be determined until it takes effect?

Optional: Essential notes/temporary reminders only -

15.2 Original finding: Not audited

Y	N	Evidence:
☐	☐	If there have been changes to the ownership or high managerial agents has the registered provider given information to ASQA for the purpose of making an assessment under 9B of the ESOS Act?

Optional: Essential notes/temporary reminders only -