

Audit report – VET Quality Framework Standards for Registered Training Organisations (RTOs) 2015

| ORGANISATION DETAILS | |
|---------------------------|--|
| Organisation's legal name | Oakbridge Investments Pty Ltd as trustee for the McKinnon Family Trust |
| Trading name/s | Building Futures Education Services |
| RTO number | 32075 |
| CRICOS number | N/A |

| AUDIT TEAM | |
|---------------------|--------------|
| Lead auditor | Carol Hunter |
| Auditor/s | N/A |
| Technical adviser/s | N/A |

| AUDIT DETAILS | | |
|----------------------------------|--|-------------------------------------|
| Application number/s | 1065889 | |
| Audit number/s | 1006916 | |
| Audit reason 1 | Application - renewal | |
| Audit reason 2 | n/a | |
| Audit reason 3 | n/a | |
| Activity type | Site visit | |
| Address of site/s visited | 15 HIGH ST FOREST LAKE QLD 4078 | |
| Date/s of audit | 16/02/2015 | |
| Organisation's contact for audit | Cara Morris caramorris@bfes.edu.au | Director of Studies 07 3723 7722 |
| Clauses audited | clause 1.10,clause 1.11,clause 1.12,clause 1.13,clause 1.14,clause 1.15,clause 1.16,clause 1.17,clause 1.18,clause 1.19,clause 1.2,clause 1.20,clause 1.3,clause 1.4,clause 1.5,clause 1.6,clause 1.7,clause 1.8,clause 1.9,clause 2.1,clause 2.2,clause 2.3,clause 2.4,clause 3.1,clause 3.2,clause 3.3,clause 3.4,clause 3.5,clause 3.6,clause 4.1,clause 5.1,clause 5.2,clause 5.3,clause 5.4,clause 6.1,clause 6.2,clause 6.3,clause 6.4,clause 6.5,clause 6.6,clause 1.1,clause 1.26,clause 1.27,clause 7.3,clause 8.2,clause 8.6 | |

| BACKGROUND |
|---|
| <ul style="list-style-type: none">• Oakbridge Investments Pty Ltd has three tiers of operation throughout the child care industry. It operates:<ul style="list-style-type: none">○ 3 child care centres |



- A consultancy and management service for centres/services
- An RTO (BFES) which currently primarily services staff in each of its own child care centres, but (has offered and can) offers training services to learners in other centres for training products on its scope of registration.

Total number of current enrolments in the RTO as at audit date: 33

- All are trainees/apprentices enrolled in the Certificate III in Early Childhood Education and Care or Diploma of Early Childhood Education and Care.

| AUDIT SAMPLE | | | |
|---------------------|--|---------------------------------------|---|
| Code | Training product | Mode/s of delivery/assessment* | Current enrolments (If not yet on scope, record N/A) |
| CHC30113 | Certificate III in Early Childhood Education and Care | Workplace | 15 |
| CHC50113 | Diploma of Early Childhood Education and Care | Workplace | 18 |
| HLTFS309C | <i>Oversee the day-to-day implementation of food safety in the workplace</i> | Workplace | 0 |
| HLTFS310C | <i>Apply and monitor food safety requirements</i> | Workplace | 0 |

*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

| INTERVIEWEES | | |
|---------------------|---------------------|-------------------------|
| Name | Position | Training product |
| Cara Morris | Director of Studies | All |
| Karen Smith | Operations Manager | All |
| Vicki Ward | CEO | All |

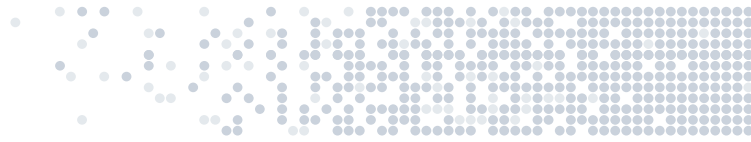
ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 16/02/2015: Significant non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 09/04/2015: Significant non-compliance



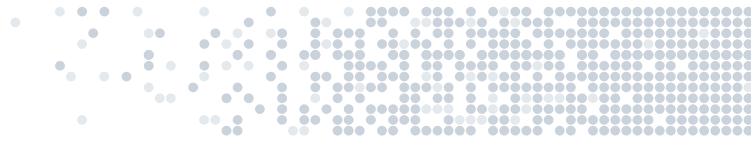
| AUDIT FINDING BY STANDARD | | |
|----------------------------------|-------------------------|--|
| Standard | Original finding | Finding following rectification |
| Standard 1 | Not compliant | Not compliant |
| Standard 2 | Not compliant | Not compliant |
| Standard 3 | Compliant | n/a |
| Standard 4 | Not compliant | Compliant |
| Standard 5 | Not compliant | Compliant |
| Standard 6 | Compliant | n/a |
| Standard 7 | Compliant | n/a |
| Standard 8 | Compliant | n/a |

ABOUT THIS REPORT

This report details findings against the *Standards for Registered Training Organisations (RTOs) 2015*.

The evidence guidance included against each clause is designed to guide the auditor and RTO on the requirements of the clause. The evidence guidance is not designed to limit the audit findings and there may be other factors an auditor takes into consideration when determining whether compliance has been demonstrated.

Where evidence of non-compliance is identified, the '*Reasons for finding of non-compliance*' section of the report will document the issues that were considered in the formulation of a finding of non-compliance.



Standard 1 The RTO’s training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses.
 To be compliant with Standard 1 the RTO must meet the following:

1.1 The RTO’s training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.

| Original finding: Not compliant | Following rectification: Compliant | | |
|---|-------------------------------------|-------------------------------------|--------------------------|
| Evidence guidance | Y | N | N/A |
| A training and assessment strategy (or strategies) was provided for each training product sampled | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| Each strategy is consistent with the requirements of the training product | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| Each strategy provides a framework to guide the learning requirements and the training and assessment arrangements of each training product – the macro level requirements of the learning and assessment process | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| Each strategy has been consistently implemented | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

Reasons for finding of non-compliance:

CHC30113 Certificate III in Early Childhood Education and Care

CHC50113 Diploma of Early Childhood Education and Care

- Although, the RTO provided a Training and Assessment Strategy for each of the above listed training products, the strategies do not:
 - accurately describe the mode of delivery being implemented by the RTO
 - indicate the scheduling of training and assessment activities linked to the duration for the cohort;
 - identify the assessments methods and timing of assessment to be used to assess any given unit;
 - include reference to the existing unit of competency session plans that specify the physical resources necessary to ensure students have access to the range of resources required to address the performance requirements of each unit of competency.

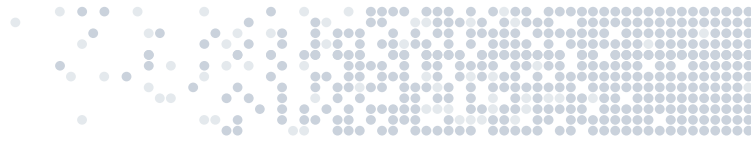
In order to become compliant, the organisation is required to:

CHC30113 Certificate III in Early Childhood Education and Care

CHC50113 Diploma of Early Childhood Education and Care

- provide evidence that its strategies for training and assessment of the above qualifications:
 - accurately describe the mode of delivery being implemented by the RTO
 - identify for each unit, the scheduling of training and assessment appropriate to the duration
 - identify the assessments methods and timing of assessment to be used to assess any given unit;
 - reference the unit session plans with the physical resources to be used to deliver and assess any given unit.

Analysis of rectification evidence:



CHC30113 Certificate III in Early Childhood Education and Care

CHC50113 Diploma of Early Childhood Education and Care

- The organisation provided the following:
 - CHC30113 Training and Assessment Strategy V3 March 2015
 - CHC50113 Training and Assessment Strategy V3 March 2015
- The evidence provided supports the organisation’s compliance with the requirements of Clause 1.1.

1.2 For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:

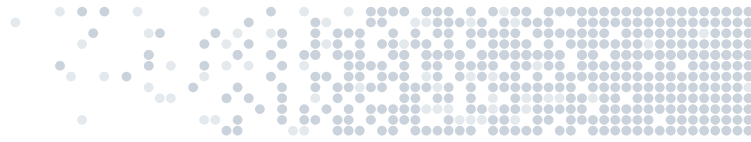
- a) the existing skills, knowledge and the experience of the learner;**
- b) the mode of delivery; and**
- c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.**

| | | |
|---|---|--|
| Original finding: Compliant | Following rectification: n/a | |
| Evidence guidance | Y | N |
| For each training product sampled, the amount of training to be provided identified in each strategy is consistent with: | | |
| <ul style="list-style-type: none"> • the existing skills, knowledge and experience of learners • the mode/s of delivery • the number of units and/or modules being delivered | <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Each strategy is consistent with the AQF volume of learning benchmarks, taking into account the above items | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Reference: AQF , AQF volume of learning | | |
| <i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i> | | |

1.3 The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

- a) trainers and assessors to deliver the training and assessment;**
- b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;**
- c) learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and**
- d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.**

| | | |
|--|--|--|
| Original finding: Compliant | Following rectification: n/a | |
| Evidence guidance | Y | N |
| For all training products sampled, there are sufficient: | | |
| <ul style="list-style-type: none"> • trainers and assessors • educational and support services to meet the needs of learners • learning resources that address the requirements of all components of the relevant training product and are accessible to all learners • facilities and equipment to accommodate the number of learners | <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |



Consistency is evident between each strategy and the above resources

1.4 The RTO meets all requirements specified in the relevant training package or VET accredited course.

Original finding: Not compliant

Following rectification: Not compliant

| Evidence guidance | Y | N | N/A |
|--|-------------------------------------|-------------------------------------|--------------------------|
| Training and assessment strategies and resources are consistent with the requirements of each training product sampled | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| Training and assessment practices are consistent with the requirements of each training product sampled | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Reasons for finding of non-compliance:

- The evidence provided does not demonstrate that the RTO has:
 - assessments that provide learners with the opportunity to demonstrate competency (because the performance (skills) requirements of the units of competency will not be assessed)
 - “practical assessment in the workplace conducted by assessors who satisfy the NVR/AQTF mandatory competency requirements for assessors.” i.e. Clauses 1.13 -1.16

In order to become compliant, the organisation is required to:

- submit evidence that rectifies the non-compliances identified in Clause 1.8. No other specific evidence is required.

Analysis of rectification evidence:

- Refer to Clause 1.8

Reasons for outstanding non-compliance:

- Refer to Clause 1.8

1.5 The RTO’s training and assessment practices are relevant to the needs of industry and informed by industry engagement.

Original finding: Compliant

Following rectification: n/a

| Evidence guidance | Y | N |
|--|-------------------------------------|--------------------------|
| Training and assessment practices are informed by and consistent with the outcomes from industry engagement strategies | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

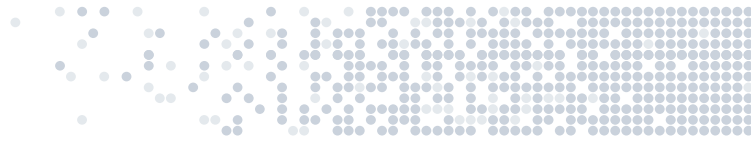
NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

1.6 The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:
a) its training and assessment strategies, practices and resources; and
b) the current industry skills of its trainers and assessors.

Original finding: Not compliant

Following rectification: Compliant

| Evidence guidance | Y | N | N/A |
|---|-------------------------------------|--------------------------|-----|
| A range of industry engagement strategies have been developed | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |



| | | | |
|---|-------------------------------------|-------------------------------------|--------------------------|
| Industry engagement strategies have been implemented | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Outcomes from industry engagement strategies have been systematically used to inform: | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • training and assessment strategies | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| • training and assessment practices | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • resources, including facilities and equipment | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| • current industry skills required to be held by trainers and assessors | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

Reasons for finding of non-compliance:

- The RTO has conducted a range of industry engagement which was documented however, the evidence provided did not demonstrate that the RTO's training and assessment strategies for the above qualifications have, since their development, been informed by that engagement with industry.

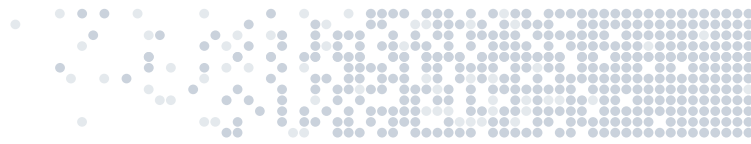
Specifically, the engagement has not particularly focussed on seeking feedback on resources, facilities, equipment or the current industry skills held by trainers and assessors.

In order to become compliant, the organisation is required to:

- provide evidence that it has systematically used the information obtained by its engagement with industry stakeholders about resources, facilities and equipment and training and assessment, to ensure the strategies for training and assessment for the above qualifications have been reviewed/updated to ensure they are relevant to the needs to industry.
- provide an action plan to be fully implemented by 1 July 2015, that the currency of industry skills of its trainers and assessors has been informed by the outcomes of industry engagement.

Analysis of rectification evidence:

- The organisation provided the following:
 - CHC30113 Training and Assessment Strategy V3 March 2015
 - CHC50113 Training and Assessment Strategy V3 March 2015
 - A sample of an industry consultation for CHC50113 completed in February 2015.
 - Staff matrix V3 January 2015.
 - Validation plan schedule V2 March 2015
- The training and assessment strategies state that:
 - The strategies are regularly reviewed by the Directors of the three childcare services owned and operated by Oakbridge Investments Pty Ltd. This includes a review of delivery practices, staffing arrangements (including currency of industry skills) and resources.
 - Assessment validation processes include input from industry representatives as well as the organisation's trainers.
- The sample industry consultation record included the validation of the training and assessment strategy and assessment tools by an industry advisor. As part of the validation (and relevant to Clause 1.6) the industry advisor was asked to comment on:
 - Course structure and duration
 - Elective choice
 - Training and assessment methods and practices
 - The currency of trainer/assessors' industry knowledge and skills
 - The sufficiency and relevance of physical resources and their consistency with current industry practice.
- The staff matrix included a notation that the validation of trainer and assessor industry currency



will form part of the organisation’s validation plan to be implemented by 1 July 2015.

- In addition to the validation of training products, the validation schedule shows a review of the following:
 - Staff handbook in January 2016
 - A training and assessment strategy in January 2016
 - Student handbook in October 2016
 - A training and assessment strategy in October 2016
 - Policies and procedures manual in January 2017
 - Resources, including facilities and equipment, in January 2017
 - Recognition of prior learning tools in October 2017
 - Currency of industry skills for trainers and assessors in October 2017
- The evidence provided supports the organisation’s compliance with the requirements of Clause 1.6.

1.7 The RTO determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses.

Original finding: Compliant

Following rectification: n/a

| Evidence guidance | Y | N |
|---|-------------------------------------|--------------------------|
| Support needs of learners have been identified | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Learners have access to educational and support services necessary for them to meet the requirements of the relevant training product | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

1.8 The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):

- a) **complies with the assessment requirements of the relevant training package or VET accredited course; and**
- b) **is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.**

Original finding: Not compliant

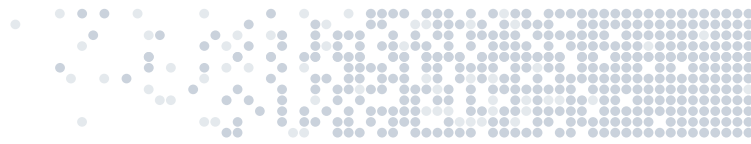
Following rectification: Not compliant

| Evidence guidance | Y | N | N/A |
|---|--------------------------|-------------------------------------|-------------------------------------|
| CHC30113 Certificate III in Early Childhood Education and Care | | | |
| Assessment meets the assessment requirements of the training package or course. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

CHCECE003 Provide care for children

Assessment tools consist of:

- Written test of 9 short answer questions
- Practical observation/reflection (Project - make 3 resources)
- Portfolio about policies and procedures of the service in toileting, supervision and interaction, clothing (family and cultural, health and safety needs)



•

CHCECE007 Develop positive and respectful relationships with children

Assessment tools consist of:

- Written test of 10 short response questions
- Project
- Third party report/reflection - supervisor sign off
- Case study - 3 children (Supervisor sign off)

Principles of Assessment – fairness, flexibility, validity, reliability:

| CHCECE003 | | CHCECE007 | | |
|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|--|
| Y | N | Y | N | Evidence guidance: |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Elements addressed (to levels as defined in performance criteria) |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Knowledge evidence/required knowledge addressed |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Performance evidence/required skills addressed |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Assessment conditions/critical aspects of evidence addressed |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Context and consistency of assessment addressed to appropriate AQF level |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Assessment of knowledge and skills is integrated with their practical application |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Assessment uses a range of assessment methods |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Criteria defining acceptable performance are outlined for all instruments |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Clear information about assessment requirements is provided (for assessors and students) |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Allows for reasonable adjustment and provides for objective feedback |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Considers dimensions of competency and transferability |

Rules of Evidence – validity, sufficiency, authenticity, currency:

| CHCECE003 | | CHCECE007 | | |
|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|--|
| Y | N | Y | N | Evidence guidance: |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Validity: Assessment evidence considered has direct relevance to the unit or module's specifications |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Authenticity: Assessment evidence gathered is the learner's own work |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Currency: Competency judgements include consideration of evidence from the present or the very recent past |

| Evidence guidance | Y | N | N/A |
|---|--------------------------|-------------------------------------|-----|
| CHC50113 Diploma of Early Childhood Education and Care | | | |
| Assessment meets the assessment requirements of the training package or course. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |



| | | | |
|---|--------------------------|--------------------------|-------------------------------------|
| Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|---|--------------------------|--------------------------|-------------------------------------|

CHCECE005 Provide care for babies and toddlers

Assessment tools consist of:

- Written test of 12 longer response questions
- Third party report - 3 occasions and log for 120 hours (supervisor sign off)

CHCECE018 Nurture creativity in children

Assessment tools consist of:

- Written test of 6 questions (longer responses)
- Research assessment (500 words)
- Program development - 6 open ended experiences/enviroments - third party report with supervisor sign off

Principles of Assessment – fairness, flexibility, validity, reliability:

| CHCECE005 | | CHCECE018 | | |
|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|--|
| Y | N | Y | N | Evidence guidance: |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Elements addressed (to levels as defined in performance criteria) |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Knowledge evidence/required knowledge addressed |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Performance evidence/required skills addressed |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Assessment conditions/critical aspects of evidence addressed |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Context and consistency of assessment addressed to appropriate AQF level |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Assessment of knowledge and skills is integrated with their practical application |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Assessment uses a range of assessment methods |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Criteria defining acceptable performance are outlined for all instruments |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Clear information about assessment requirements is provided (for assessors and students) |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Allows for reasonable adjustment and provides for objective feedback |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Considers dimensions of competency and transferability |

Rules of Evidence – validity, sufficiency, authenticity, currency:

| CHCECE005 | | CHCECE018 | | |
|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|--|
| Y | N | Y | N | Evidence guidance: |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Validity: Assessment evidence considered has direct relevance to the unit or module's specifications |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Authenticity: Assessment evidence gathered is the learner's own work |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Currency: Competency judgements include consideration of |



| | | | | |
|--|--|--|--|---|
| | | | | evidence from the present or the very recent past |
|--|--|--|--|---|

| | | | |
|--------------------------|----------|----------|------------|
| Evidence guidance | Y | N | N/A |
|--------------------------|----------|----------|------------|

HLTFS309C Oversee the day-to-day implementation of food safety in the workplace

| | | | |
|---|--------------------------|-------------------------------------|--|
| Assessment meets the assessment requirements of the training package or course. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
|---|--------------------------|-------------------------------------|--|

| | | | |
|---|--------------------------|--------------------------|-------------------------------------|
| Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|---|--------------------------|--------------------------|-------------------------------------|

HLTFS309C Oversee the day-to-day implementation of food safety in the workplace;

Assessment tools consist of:

- Delivered as a cluster with HLTFS310C Apply and monitor food safety requirements.
- Written test of 10 questions (short answer)
- Observation checklist signed by workplace supervisor, with followup conversation with the assessor (phone, email or workplace visit) to confirm competency

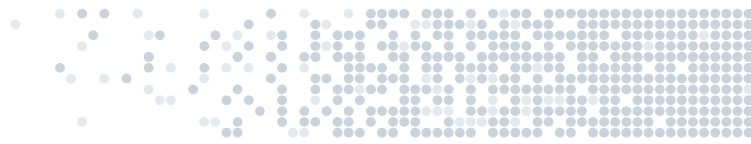
•

Principles of Assessment – fairness, flexibility, validity, reliability:

| HLTFS309C | | Code | | Evidence guidance: |
|-------------------------------------|-------------------------------------|--------------------------|--------------------------|--|
| Y | N | Y | N | |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Elements addressed (to levels as defined in performance criteria) |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Knowledge evidence/required knowledge addressed |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Performance evidence/required skills addressed |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Assessment conditions/critical aspects of evidence addressed |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Context and consistency of assessment addressed to appropriate AQF level |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Assessment of knowledge and skills is integrated with their practical application |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Assessment uses a range of assessment methods |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Criteria defining acceptable performance are outlined for all instruments |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Clear information about assessment requirements is provided (for assessors and students) |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Allows for reasonable adjustment and provides for objective feedback |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Considers dimensions of competency and transferability |

Rules of Evidence – validity, sufficiency, authenticity, currency:

| HLTFS309C | | Code | | Evidence guidance: |
|-----------|----------|----------|----------|---------------------------|
| Y | N | Y | N | |



| | | | | | |
|-------------------------------------|-------------------------------------|--------------------------|--------------------------|---------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Validity: | Assessment evidence considered has direct relevance to the unit or module's specifications |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Sufficiency: | Sufficient assessment evidence is considered to substantiate a competency judgement |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Authenticity: | Assessment evidence gathered is the learner's own work |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Currency: | Competency judgements include consideration of evidence from the present or the very recent past |

| | | | |
|--------------------------|----------|----------|------------|
| Evidence guidance | Y | N | N/A |
|--------------------------|----------|----------|------------|

HLTFS310C Apply and monitor food safety requirements.

| | | | |
|---|--------------------------|-------------------------------------|-------------------------------------|
| Assessment meets the assessment requirements of the training package or course. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

HLTFS310C Apply and monitor food safety requirements.

Assessment tools consist of:

- Delivered as a cluster with HLTFS309C Oversee the day-to-day implementation of food safety in the workplace
- Written test of 10 questions short answer
- Observation checklist signed by workplace supervisor, with followup conversation with the assessor (phone, email or workplace visit) to confirm competency.

•

Principles of Assessment – fairness, flexibility, validity, reliability:

| HLTFS310C | | Code | | Evidence guidance: |
|-------------------------------------|-------------------------------------|--------------------------|--------------------------|--|
| Y | N | Y | N | |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Elements addressed (to levels as defined in performance criteria) |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Knowledge evidence/required knowledge addressed |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Performance evidence/required skills addressed |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Assessment conditions/critical aspects of evidence addressed |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Context and consistency of assessment addressed to appropriate AQF level |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Assessment of knowledge and skills is integrated with their practical application |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Assessment uses a range of assessment methods |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Criteria defining acceptable performance are outlined for all instruments |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Clear information about assessment requirements is provided (for assessors and students) |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Allows for reasonable adjustment and provides for objective feedback |



| | | | | |
|-------------------------------------|--------------------------|--------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Considers dimensions of competency and transferability |
|-------------------------------------|--------------------------|--------------------------|--------------------------|--|

Rules of Evidence – validity, sufficiency, authenticity, currency:

| HLTFS310C | | Code | | | |
|-------------------------------------|-------------------------------------|--------------------------|--------------------------|--------------------|--|
| Y | N | Y | N | Evidence guidance: | |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Validity: | Assessment evidence considered has direct relevance to the unit or module's specifications |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Sufficiency: | Sufficient assessment evidence is considered to substantiate a competency judgement |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Authenticity: | Assessment evidence gathered is the learner's own work |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Currency: | Competency judgements include consideration of evidence from the present or the very recent past |

Reasons for finding of non-compliance:

CHC30113 Certificate III in Early Childhood Education and Care

CHCECE003 Provide care for children

- The RTO provided the Practical Observation/Reflection as the primary assessment tool addressing the performance evidence for this unit of competency. The assessment tool combines a student reflection on their performances and a workplace supervisor sign-off to this report. It is used as form of direct assessment and it does not meet the requirements of validity for the purposes of this clause.

Specifically:

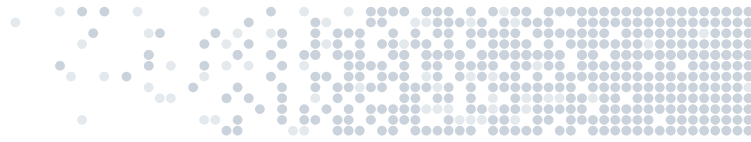
- There is insufficient information for a third party to understand their role in this type of evidence-gathering process
- The assessment does not ensure skills are demonstrated by the learner and assessed by an assessor
- There is no judgement of competence based on evidence of learner performance that is aligned to the unit of competency and associated assessment requirements
- It is unclear from the tools, how the standards of performance required in the unit are demonstrated in the workplace.

CHCECE007 Develop positive and respectful relationships with children

- The RTO provided the Third Party Report/Reflection with supervisor sign off and Case Study (Observation of 3 children) with supervisor sign off as the primary assessment tools addressing the performance evidence for this unit of competency. The assessment tools combine student documentation and a workplace supervisor sign-off to the student reports. Both are used as forms of direct assessment and do not meet the requirements of validity for the purposes of this clause.

Specifically:

- There is insufficient information for a third party to understand their role in this type evidence-gathering process
- The assessment process does not ensure skills are demonstrated by the learner and assessed by an assessor



- There is no judgement of competence based on evidence of learner performance that is aligned to the unit of competency and associated assessment requirements
- It is unclear from the tools, how the standards of performance required in the unit are demonstrated in the workplace.

CHC50113 Diploma of Early Childhood Education and Care

CHCECE005 Provide care for babies and toddlers

- The RTO provided the Third Party Report (supervisor sign off) requiring 3 age groups/occasions and a log for 120 hours to ensure Trainees are gaining appropriate experience across the year groups.
- This was the primary assessment tool addressing the performance evidence for this unit of competency. The assessment tool requires a workplace supervisor sign-off in each of the three occasions to confirm the experience with the different year groups. It is used as form of direct assessment and it does not meet the requirements of validity for the purposes of this clause.
 - There is insufficient information for a third party to understand their role in this type of evidence-gathering process
 - The assessment process does not ensure skills are demonstrated by the learner and assessed by an assessor
 - There is no judgement of competence based on evidence of learner performance that is aligned to the unit of competency and associated assessment requirements
 - It is unclear from the tools, how the standards of performance required in the unit are demonstrated in the workplace.

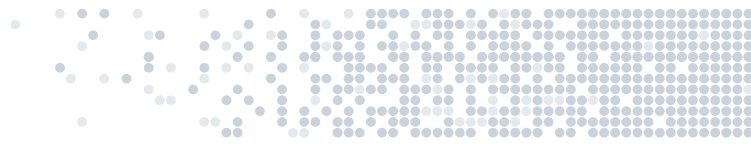
CHCECE018 Nurture creativity in children

- The RTO provided the Program Development Assessment which consisted of developing 6 open ended experiences/environments for children. Each program is confirmed by a third party report with supervisor sign off.
- The Third Party Reports were the primary assessment tools addressing the performance evidence for this unit of competency. They were used as form of direct assessment and do not meet the requirements of validity for the purposes of this clause.
 - There is insufficient information for a third party to understand their role in this type of evidence-gathering process
 - The assessment process does not ensure skills are demonstrated by the learner and assessed by an assessor
 - There is no judgement of competence based on evidence of learner performance that is aligned to the unit of competency and associated assessment requirements
 - It is unclear from the tools, how the standards of performance required in the unit are demonstrated in the workplace
 - The unit of competency requires “the student to facilitate the active participation of **at least three children of varying ages** through encouragement, appropriate interactions and communications”.

HLTF309C Oversee the day-to-day implementation of food safety in the workplace (Explicit unit)

HLTF310C Apply and monitor food safety requirements (Explicit unit)

- The RTO delivers and assesses these units of competency as a cluster. The Observation Checklist is signed by workplace supervisor and a followup conversation occurs with the assessor (phone, email or a workplace visit) who confirms competency.



The checklist does not offer adequate guidance to the workplace supervisor to ensure the validity and reliability of the assessment process and the validity and sufficiency of the evidence collection.

NOTE: Prior to receipt of the audit report, the organisation removed the above listed units from its scope of registration. Consequently no further evidence is required with regard to this specific issue.

In order to become compliant, the organisation is required to:

CHC30113 Certificate III in Childhood Education and Care

CHCECE003 Provide care for children

CHCECE007 Develop positive and respectful relationships with children

CHC50113 Diploma of Childhood Education and Care

CHCECE005 Provide care for babies and toddlers

CHCECE018 Nurture creativity in children

- provide, for all of the above units of competency, the practical assessment tools that address the performance (skills) requirements of the units of competency, that meet all requirements of the training package and demonstrate assessment will be undertaken in accordance with the principles of assessment and rules of evidence.

Analysis of rectification evidence:

CHC30113 Certificate III in Early Childhood Education and Care

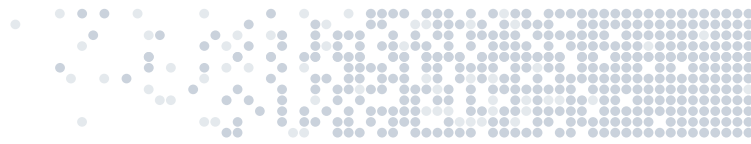
CHCECE003 Provide care for children

- The organisation provided the following:
 - Section 2 – Practical Observation - Third Party Report V2 March 2015
- The assessment instructions note that in addition to the workplace supervisor's observation of the student, an assessor will visit the site to confirm performance skills and observe the learner in the workplace.
- The practical observation report provides a list of 16 workplace activities and includes examples of observable actions and behaviours as a benchmark of satisfactory performance. There is a section against each task that requires the workplace supervisor and the assessor to provide comments about the student's performance and provide a signature and date. The assessor is additionally required to indicate whether the performance is satisfactory or not satisfactory.
- ***There was no evidence of an assessment instruction or an assessment recording tool to support the performance evidence requirement to provide care and respond appropriately to at least three children of varying ages.***

CHC30113 Certificate III in Early Childhood Education and Care

CHCECE007 Develop positive and respectful relationships with children

- The organisation provided the following:
 - Section 3 - Third Party Report V2 March 2015
- The assessment instructions note that in addition to the workplace supervisor's observation of the student, an assessor will visit the site to confirm performance skills and observe the learner in the workplace.



- The practical observation report provides a list of 19 performance activities and includes examples of observable actions and behaviours as a benchmark of satisfactory performance. There is a section against each task that requires the workplace supervisor and the assessor to provide comments about the student's performance and provide a signature and date. The assessor is additionally required to indicate whether the performance is satisfactory or not satisfactory.
- ***There was no evidence of an assessment instruction or an assessment recording tool to support the performance evidence requirement to communicate positively and respectfully and interact effectively with at least three children.***

CHC50113 Diploma of Early Childhood Education and Care

CHCECE005 Provide care for babies and toddlers

- The organisation provided the following:
 - Section 2 – Practical Observation - Third Party Report V2 March 2015
- The assessment instructions note that in addition to the workplace supervisor's observation of the student, an assessor will visit the site to confirm performance skills and observe the learner in the workplace.
- The practical observation report provides a list of 15 performance activities and includes examples of observable actions and behaviours as a benchmark of satisfactory performance. There is a section against each task that requires the workplace supervisor and the assessor to provide comments about the student's performance and provide a signature and date. The assessor is additionally required to indicate whether the performance is satisfactory or not satisfactory.
- The assessment tool provides clear instructions to the workplace supervisor that assessment is to occur for three different babies and toddlers, and three practical observation reports are provided for this purpose.

CHC50113 Diploma of Early Childhood Education and Care

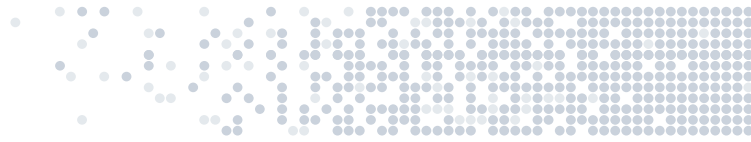
CHCECE018 Nurture creativity in children

- The organisation provided the following:
 - Section 3 - Third Party Report V2 March 2015
- The assessment instructions note that the student will 'converse' and 'consult' with the workplace supervisor during the assessment and an assessor will visit the site to confirm performance skills and observe the learner in the workplace.
- This is a project-style assessment that requires the submission of documentary evidence, and the instructions provided to students are consistent with the performance evidence requirements of the training package.
- A third party report is required to be completed by the workplace supervisor to confirm that the student is able to meet the performance evidence requirements of the training package. The workplace supervisor is referred to the training package requirements set out in the learning guide.
There was no evidence of any guidance to the workplace supervisor, such as performance benchmarks, that would support a valid assessment process.
- ***The evidence submitted supports the collection of third party evidence only. There was no evidence of a tool used by the assessor to assess the student's project submission and make an assessment judgement.***

CHC30113 Certificate III in Early Childhood Education and Care

CHC50113 Diploma of Early Childhood Education and Care

- ***The evidence provided does not support the organisation's compliance with the***



requirements of Clause 1.8.

Reasons for outstanding non-compliance:

CHC30113 Certificate III in Early Childhood Education and Care

CHCECE003 Provide care for children

CHCECE007 Develop positive and respectful relationships with children

CHC50113 Diploma of Early Childhood Education and Care

CHCECE018 Nurture creativity in children

- The evidence provided does not demonstrate that the organisation will collect valid and sufficient evidence for the performance evidence requirements of the training package. For details regarding the specific detail of each non-compliance refer to the text above in bold italics.

1.9 The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO’s scope of registration:

a) when assessment validation will occur;

b) which training products will be the focus of the validation;

c) who will lead and participate in validation activities; and

d) how the outcomes of these activities will be documented and acted upon.

Original finding: Not compliant

Following rectification: Not compliant

| Evidence guidance | Y | N | N/A |
|--|-------------------------------------|-------------------------------------|--------------------------|
| A plan for ongoing systematic validation of assessment has been developed that identifies: | | | |
| • When assessment validation will occur for each training product on the RTO’s scope of registration | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • Who will lead and participate in validation activities | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| • How the validation outcomes will be documented and acted upon | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| The plan for validation has been implemented | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Reasons for finding of non-compliance:

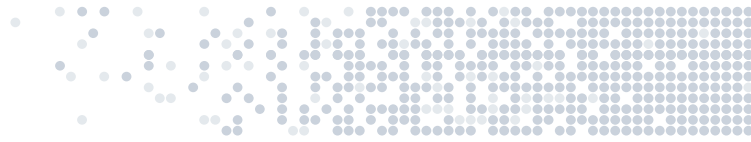
- The RTO provided evidence of a validation plan template that appended a nominated list of industry representatives. The plan included a schedule for the proposed dates when assessment validation for each training product will occur; however, it did not include who will lead and the participants or how the validation outcomes will be documented and acted upon.

In order to become compliant, the organisation is required to:

- provide a completed validation plan that includes for each training product who will lead and the participants and how the validation outcomes will be documented and acted upon.

Analysis of rectification evidence:

- The organisation provided the following:
 - Validation plan schedule V2 March 2015
 - Validation of Assessment Tools & Judgements V1 March 2015
- The validation plan schedule shows timeframes for the validation of units of competency and associated resources that support the training and assessment delivery. The scheduled activities begin in April 2015 and end in April 2018 and cover all units of competency delivered under the organisation’s two training products.



The plan provides space to record lead responsibility, participants involved, resources required, documentation to be produced, judgements, and follow up action and staff responsible, no information has been provided for these items.

- The validation of assessment tools & judgements template provides a suitable resource for recording validation activities, outcomes and recommendations.

It is noted that the submitted evidence is a template supplied by Velg Training Pty Ltd who holds the copyright for this resource. The organisation has not acknowledged this copyright in the reproduction of the template.

- The evidence provided does not support the organisation’s compliance with the requirements of Clause 1.9.

Reasons for outstanding non-compliance:

- As the validation plan template had not been filled in the evidence provided did not outlined who the organisation has determined will lead and participate in the validation process.

1.10 For the purposes of Clause 1.9, each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle, taking into account the relative risks of all of the training products on the RTO’s scope of registration, including those risks identified by the VET Regulator.

Original finding: Compliant

Following rectification: n/a

| Evidence guidance | Y | N | N/A |
|---|-------------------------------------|--------------------------|--------------------------|
| The plan for validation of assessment ensures: | | | |
| • All training products will be validated at least once every five years | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • At least 50% of training products will be validated in the first three years of the above cycle | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • Relative risk of all training products are taken into account in scheduling validation | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • Training products identified as high risk by ASQA are taken into account in scheduling validation | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| The above have been achieved in implementing the plan for validation of assessment | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

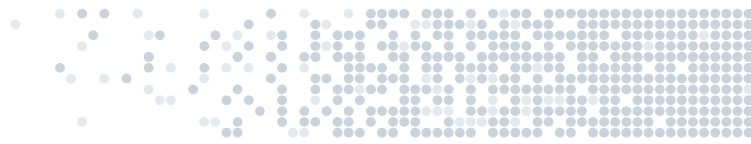
1.11 For the purposes of Clause 1.9, systematic validation of an RTO’s assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

- a) vocational competencies and current industry skills relevant to the assessment being validated;
- b) current knowledge and skills in vocational teaching and learning; and
- c) the training and assessment qualification or assessor skill set referred to in Item 1 or 3 of Schedule 1.

Industry experts may be involved in validation to ensure there is the combination of expertise set out in (a) to (c) above.

Original finding: Not audited

Following rectification: n/a



| Evidence guidance | Y | N |
|--|-------------------------------------|--------------------------|
| Validation of assessment has been completed for at least one training product. If no, clause is not audited. If yes: Validation of assessment has been undertaken by one or more persons who, collectively, hold: | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> • Relevant vocational competencies and current industry skills • Current knowledge and skills in VET teaching and learning • TAE40110 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor) | <input type="checkbox"/> | <input type="checkbox"/> |
| Final validation decisions are made by a person who was not directly involved with the delivery and assessment of the training product being validated | <input type="checkbox"/> | <input type="checkbox"/> |

1.12 The RTO offers recognition of prior learning to individual learners.

Original finding: Compliant **Following rectification:** n/a

| Evidence guidance | Y | N |
|---|-------------------------------------|--------------------------|
| RPL has been offered to individual learners | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

1.13 In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO's training and assessment is delivered only by persons who have:

- a) vocational competencies at least to the level being delivered and assessed;
- b) current industry skills directly relevant to the training and assessment being provided; and
- c) current knowledge and skills in vocational training and learning that informs their training and assessment.

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

Original finding: Compliant **Following rectification:** n/a

| Evidence Guidance | Y | N |
|---|-------------------------------------|--------------------------|
| Skills and knowledge of trainers and assessors have been verified | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

| Cara Morris | | |
|---|-------------------------------------|--------------------------|
| Trainer/assessor of following training products within scope of audit: | | |
| CHC30113 Certificate III in Early Childhood Education and Care | | |
| CHC50113 Diploma of Early Childhood Education and Care | | |
| Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required) | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Current relevant industry skills | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Current vocational training and learning knowledge and skills | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Karen Smith
Trainer/assessor of following training products within scope of audit:



| CHC30113 Certificate III in Early Childhood Education and Care CHC50113 Diploma of Early Childhood Education and Care | | |
|--|-------------------------------------|--------------------------|
| Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required) | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Current relevant industry skills | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Current vocational training and learning knowledge and skills | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

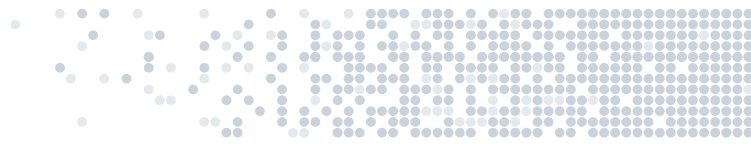
| Kris Hobbs | | |
|--|-------------------------------------|--------------------------|
| Trainer/assessor of following training products within scope of audit: | | |
| CHC30113 Certificate III in Early Childhood Education and Care CHC50113 Diploma of Early Childhood Education and Care | | |
| Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required) | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Current relevant industry skills | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Current vocational training and learning knowledge and skills | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

1.14 The RTO's training and assessment is delivered only by persons who have:
 a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and
 b) ~~from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.~~

| | | | |
|---|-------------------------------------|-------------------------------------|--------------------------|
| Original finding: Compliant | Following rectification: n/a | | |
| Evidence Guidance | | Y | N |
| VET qualifications of trainers and assessors have been verified | | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

| Cara Morris | | |
|---|-------------------------------------|--------------------------|
| Each trainer must meet at least one of the following four requirements: | | |
| • TAE40110 Certificate IV in Training and Assessment or its successor | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to TAE40110 (TAA40104 is equivalent) | <input type="checkbox"/> | <input type="checkbox"/> |
| • Diploma or higher qualification in adult education | <input type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to diploma or higher qualification in adult education | <input type="checkbox"/> | <input type="checkbox"/> |

| Karen Smith | | |
|---|-------------------------------------|--------------------------|
| Each trainer must meet at least one of the following four requirements: | | |
| • TAE40110 Certificate IV in Training and Assessment or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to TAE40110 (TAA40104 is equivalent) | <input checked="" type="checkbox"/> | <input type="checkbox"/> |



including competency based training and assessment.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Trainers and assessors undertake professional development in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment

| Y | N |
|-------------------------------------|--------------------------|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> |

1.17 Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

People delivering training under supervision are utilised
 If no, clauses 1.17 – 1.20 are not audited, go to Clause 1.21. If yes:
 Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14
 People under supervision do not determine assessment outcomes

| Y | N |
|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |

1.18 The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

- a) holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
- b) has vocational competencies at least to the level being delivered and assessed; and
- c) has current industry skills directly relevant to the training and assessment being provided.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14
 People under supervision do not determine assessment outcomes

| Y | N |
|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |

Trainer name

Each trainer (that conducts training under supervision) must meet at least one of the following six requirements:

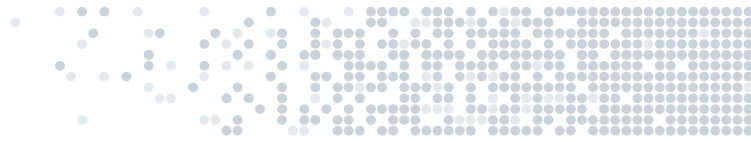
- TAESS00003 Enterprise trainer and assessor skill set or its successor
- Equivalent competencies to TAESS00003
- TAESS00007 Enterprise trainer – presenting skill set or its successor
- Equivalent competencies to TAESS00007
- TAESS00008 Enterprise trainer – mentoring skill set or its successor
- Equivalent competencies to TAESS00008

| | |
|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |

Each trainer (that conducts training under supervision) must meet all of the following requirements:

- Vocational competencies at least to the level being delivered (actual qualification/unit

| | |
|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> |
|--------------------------|--------------------------|



| | | |
|------------------------------------|--------------------------|--------------------------|
| not required) | | |
| • Current relevant industry skills | <input type="checkbox"/> | <input type="checkbox"/> |

1.19 Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.

| | | |
|--|-------------------------------------|--------------------------|
| Original finding: Not audited | Following rectification: n/a | |
| Evidence guidance | Y | N |
| Training and assessment complies with Standard 1 | <input type="checkbox"/> | <input type="checkbox"/> |

1.20 Without limiting Clauses 1.17 - 1.19, the RTO:
a) determines and puts in place:
 i) the level of the supervision required; and
 ii) any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

| | | |
|---|-------------------------------------|--------------------------|
| Original finding: Not audited | Following rectification: n/a | |
| Evidence guidance | Y | N |
| Supervision arrangements have been identified | <input type="checkbox"/> | <input type="checkbox"/> |
| People delivering training under supervision have been monitored by the supervising trainer | <input type="checkbox"/> | <input type="checkbox"/> |

1.21 Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment:
a) hold the training and assessment qualification at least to the level being delivered; or
b) have demonstrated equivalence of competencies.

| | | |
|--|-------------------------------------|--------------------------|
| Original finding: Not audited | Following rectification: n/a | |
| Evidence guidance | Y | N |
| TAE training product/s are included in the audit scope | <input type="checkbox"/> | <input type="checkbox"/> |
| If no, clause is not audited. If yes: | | |

| Trainer/assessor name | | |
|---|--------------------------|--------------------------|
| Each trainer/assessor that intends to deliver TAE40110 Certificate IV in Training and Assessment or TAESS00001 Assessor skill set must meet at least one of the following eight requirements: | | |
| • TAE40110 Certificate IV in Training and Assessment or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to TAE40110 (TAA40104 is equivalent) | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAE50111 Diploma of Vocational Education and Training or its successor | <input type="checkbox"/> | <input type="checkbox"/> |



| | | |
|---|--------------------------|--------------------------|
| • Equivalent competencies to TAE50111 | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAE50211 Diploma of Training Design and Development or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to TAE50211 | <input type="checkbox"/> | <input type="checkbox"/> |
| • Diploma or higher qualification in adult education | <input type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to diploma or higher qualification in adult education | <input type="checkbox"/> | <input type="checkbox"/> |

Trainer/assessor name

| | | |
|---|--------------------------|--------------------------|
| Each trainer/assessor that intends to deliver any training product from the TAE10 Training and Education Training Package (excluding TAE40110 Certificate IV in Training and Assessment and TAESS00001 Assessor skill set) must meet one of the following requirements: | | |
| • Hold a TAE training product at least to the level being delivered | <input type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to the above | <input type="checkbox"/> | <input type="checkbox"/> |

1.22 From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

Note: from 1 January 2017, the requirements set out in Clause 1.22 continue to apply to any other AQF qualification or skill set from the Training and Education Training Package (or its successor).

Not audited as clause does not commence until 1 January 2016

1.23 From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:

a) hold the qualification specified in Item 5 of Schedule 1; or
b) work under the supervision of a trainer that meets the requirement set out in (a) above.

Not audited as clause does not commence until 1 January 2017

1.24 The RTO must ensure that any individual working under supervision under Clause 1.23.b) holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes.

Not audited as clause does not commence until 1 January 2017

1.25 From 1 January 2016, to deliver any AQF qualification or assessor skill set from the



Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).

Not audited as clause does not commence until 1 January 2016

- 1.26 Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:**
- a) where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register;**
 - b) where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register;**
 - c) where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and**
 - d) a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.**

Original finding: Not audited

Following rectification: n/a

| Evidence guidance | Y | N | N/A |
|--|--------------------------|-------------------------------------|-------------------------------------|
| One or more training products on the RTO's scope of registration has been superseded, removed or deleted since 1 April 2015 If no, clause is not audited. If yes: | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| Learners have been completed and issued certification or transferred to the replacement within one year of training products being superseded | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Learners have been completed and issued certification within two years of qualifications being removed or deleted | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Learners have been completed and issued certification within one year of skill sets, units, modules or short courses being removed or deleted | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Learners are not commenced in training products that have been removed or deleted | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

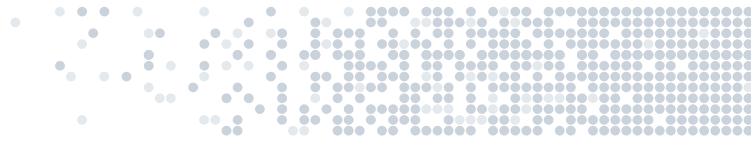
NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

1.27 The requirements specified in Clause 1.26 (a) do not apply where a training package requires the delivery of a superseded unit of competency.

Original finding: Not audited

Following rectification: n/a

| Evidence guidance | Y | N |
|--|--------------------------|-------------------------------------|
| One or more training products on the RTO's scope of registration requires delivery of a superseded unit of competency If no, clause is not audited. If yes: | <input type="checkbox"/> | <input checked="" type="checkbox"/> |



The superseded unit of competency has continued to be delivered as required by training product packaging rules

Standard 2. The operations of the RTO are quality assured.
To be compliant with Standard 2 the RTO must meet the following:

2.1 The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.

Original finding: Not compliant **Following rectification:** Not compliant

| Evidence guidance | Y | N |
|--|--------------------------|-------------------------------------|
| The RTO is compliant with the clauses sampled across all operations within its scope of registration | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

Reasons for finding of non-compliance:

- The RTO did not provide evidence to demonstrate its compliance with the requirements of Clause 2.1

In order to become compliant, the organisation is required to:

- provide amended or additional processes and/or policies and/or procedures etc, to address the outstanding non-compliances raised in this report.

Analysis of rectification evidence:

- The organisation provided a range of rectification evidence in relation to the following:
 - Standard 1, Clause 1.1, 1.4, 1.6, 1.8 and 1.9
 - Standard 2, Clause 2.2
 - Standard 4, Clause 4.1
 - Standard 5, Clause 5.2.

Refer to individual Standards in this report for a list of the evidence submitted.

- The evidence provided does not support the organisation's compliance with the requirements of Clause 2.1.

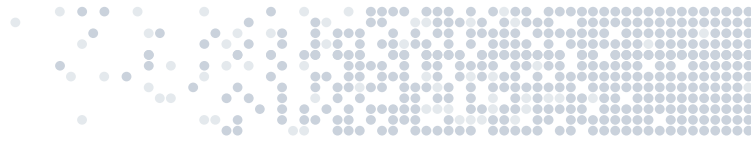
Reasons for outstanding non-compliance:

- The organisation has not demonstrated compliance with the following:
 - Standard 1, Clause 1.4, 1.8 and 1.9.

2.2 The RTO:
a) systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and
b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

Original finding: Not compliant **Following rectification:** Compliant

| Evidence guidance | Y | N |
|-------------------|---|---|
| | | |



Training and assessment strategies and practices are systematically monitored, including evaluation of:

- AVETMISS data
- Quality indicator data
- Validation outcomes
- Client feedback
- Trainer and assessor feedback
- Complaints and appeals

Outcomes of monitoring have informed improvement activities

Reasons for finding of non-compliance:

- The organisation provided:
 - Procedure 1 Continuous Improvement.
- The evidence provided identified that, while the organisation has collected data from a range of relevant stakeholders, no evidence was provided that the monitoring strategy in its procedure has been updated to be inclusive of the areas of evaluation listed in Clause 2.2b.

In order to become compliant, the organisation is required to:

- provide evidence of how the RTO has incorporated the required evaluation information into its processes for systematically monitoring and evaluating its training and assessment strategies and practices.

Analysis of rectification evidence:

- The organisation provided a Continuous Improvement Procedure (V2 March 2015).
- The evidence provided supports the organisation's compliance with the requirements of Clause 2.2.

2.3 The RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

Third party arrangements are in place for delivery of services

If no, clauses 2.3 – 2.4 are not audited. If yes:

A written agreement is in place for each arrangement (also refer Clause 8.2)

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

2.4 The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.

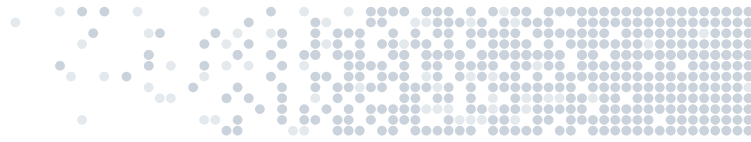
Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N N/A

Strategies have been developed to systematically monitor third party arrangements to



ensure services comply with these Standards

The above strategies have been implemented

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

Standard 3. The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records. To be compliant with Standard 3 the RTO must meet the following:

3.1 The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

Only learners who have been assessed as meeting the requirements of the training product are issued with AQF certification documentation

3.2 All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

AQF certification documentation:

- Complies with the AQF Qualifications Issuance Policy
- Complies with the requirements of Schedule 5 to these Standards
- A register of all qualifications issued is maintained

Reference: [AQF Qualifications Issuance Policy](#), [AQF Qualifications Register Policy](#)

3.3 AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete, and providing all agreed fees the learner owes to the RTO have been paid.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

AQF certification documentation is issued within 30 days of all requirements being met

3.4 Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.

Original finding: Compliant

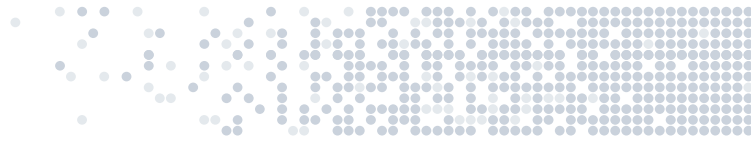
Following rectification: n/a

Evidence guidance

Y N

Records of qualifications and statements of attainment issued, sufficient to enable reissuance, are retained for a period of 30 years

The above records are accessible to current and past learners



3.5 The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:

- a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or
- b) authenticated VET transcripts issued by the Registrar.

Original finding: Compliant **Following rectification:** n/a

| Evidence guidance | Y | N |
|--|-------------------------------------|--------------------------|
| Credit is provided to learners for units or modules where evidenced by AQF certification documentation or an authenticated VET transcript (unless licensing or regulatory requirements prevent this) | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

3.6 The RTO meets the requirements of the Student Identifier scheme, including:

- a) verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;
- b) ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the *Student Identifiers Act 2014*;
- c) ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar; and
- d) ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

Original finding: Compliant **Following rectification:** n/a

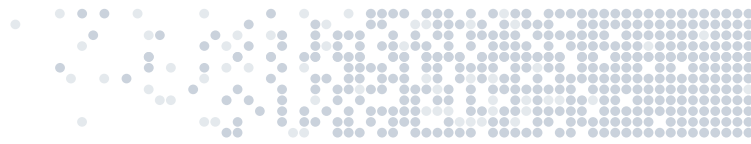
| Evidence guidance | Y | N | N/A |
|--|-------------------------------------|--------------------------|-------------------------------------|
| Student Identifiers are verified before being used | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| AQF certification document is not issued to an individual without a verified Student Identifier, unless an exemption applies | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| Where an exemption applies, learners are informed prior to commencement that results will not be included in the USI system | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Security of Student Identifiers and related records is ensured | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |

NOTE – ALL RTOs must comply with Clause 3.6 from 1 January 2015

Standard 4. Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.
To be compliant with Standard 4 the RTO must meet the following:

4.1 Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

- a) accurately represents the services it provides and the training products on its scope of registration;
- b) includes its RTO Code;

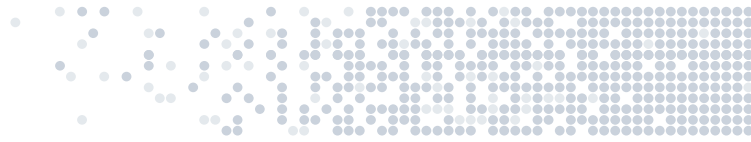


- c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;
- d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
- e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
- f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;
- g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;
- h) includes the code and title of any training product, as published on the National Register, referred to in that information;
- i) only advertises or markets a non-current training product while it remains on the RTO's scope of registration;
- j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;
- k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and
- l) does not guarantee that:
 - i) a learner will successfully complete a training product on its scope of registration; or
 - ii) a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or
 - iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

Original finding: Not compliant

Following rectification: Compliant

| Evidence guidance | Y | N | N/A |
|---|-------------------------------------|-------------------------------------|-------------------------------------|
| Advertising and marketing: | | | |
| • Is accurate and factual | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| • Accurately represents the services provided | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • Accurately represents the RTO scope of registration | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • Includes the RTO code | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • Only refers to a person or organisation with their consent | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Identifies where a third party is recruiting prospective learners on behalf of the RTO | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Identifies where training and assessment is being provided on behalf of another RTO | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Identifies where training and assessment is being provided by a third party | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Distinguishes between national recognised training and other training | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Includes the code and title of each training product as per training.gov.au | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Includes accurate information about licensed or regulated outcomes | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Includes details about financial support provided, including VET FEE-HELP | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • Includes details about relevant government funding subsidies | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |



Does not guarantee that a learner:

- will successfully complete a training product
- can complete a training product in a manner not compliant with Clauses 1.1 or 1.2
- will obtain a particular employment outcome unless this is in the control of the RTO

Reasons for finding of non-compliance:

CHC30113 Certificate III in Childhood Education and Care

CHC50113 Diploma of Childhood Education and Care

- The organisation provided copies of marketing materials comprising:
 - course brochures
 - drafts (including emails) of the website development
 - Student Handbook (fee for service students).

The RTO's draft website (www.bfes.edu.au) was also reviewed.

- The evidence provided does not demonstrate compliance with the requirements of Standard 4.1.
- The information provided for prospective students about:
 - the course structure/duration is inconsistent with the information shown in the RTO's training and assessment strategies and information to students;
 - the mode of delivery is an inaccurate description of the RTO's practice
 - fees and financial support for different cohorts (fee for service and user choice trainee/apprentices) is unclear.

In order to become compliant, the organisation is required to:

CHC30113 Certificate III in Childhood Education and Care

CHC50113 Diploma of Childhood Education and Care

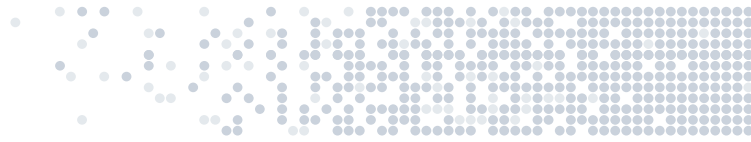
- provide marketing material that presents information for prospective and current students that:
 - is consistent with the information provided to students and that shown in the RTO's training and assessment strategies for the above training products;
 - indicates accurately the RTO's the mode of delivery and ensures this is consistent with all other information and with their Training and Assessment Strategy/ies
 - clearly informs about fees and financial support for different cohorts.

Analysis of rectification evidence:

CHC30113 Certificate III in Childhood Education and Care

CHC50113 Diploma of Childhood Education and Care

- The organisation provided the following:
 - A course brochure for CHC30113 Certificate III in Childhood Education and Care – Fee for service
 - A course brochure for CHC30113 Certificate III in Childhood Education and Care – User choice funding
 - A course brochure for CHC50113 Diploma of Childhood Education and Care – Fee for service
 - A course brochure for CHC50113 Diploma of Childhood Education and Care – User choice funding
- The evidence provided supports the organisation's compliance with the requirements of Clause 4.1.



Standard 5. Each learner is properly informed and protected.

To be compliant with Standard 5 the RTO must meet the following:

5.1 Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Information is provided to prospective learners, prior to enrolment or commencement of training or assessment whichever comes first, about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies

Y N

5.2 Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

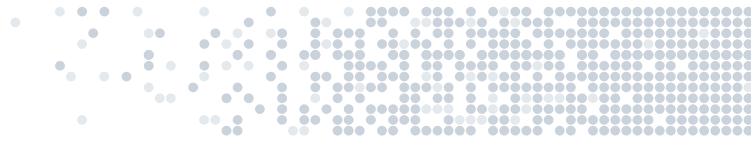
- a) the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;**
- b) the training and assessment, and related educational and support services the RTO will provide to the learner including the:**
 - i) estimated duration;**
 - ii) expected locations at which it will be provided;**
 - iii) expected modes of delivery;**
 - iv) name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO’s behalf; and**
 - v) any work placement arrangements.**
- c) the RTO’s obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.**
- d) the learner’s rights, including:**
 - i) details of the RTO’s complaints and appeals process required by Standard 6; and**
 - ii) if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in;**
- e) the learner’s obligations:**
 - i) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;**
 - ii) any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and**
 - iii) any materials and equipment that the learner must provide; and**
- f) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.**

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N N/A



Prior to enrolment or commencement, written information is provided on the following:

- Code and title of the training product as per training.gov.au
- Currency of the training product
- Estimated duration of training and/or assessment
- Location/s where training and/or assessment will be provided
- Mode/s of delivery
- Name and contact details of any third party providing services
- Work placement arrangements
- Confirmation that the RTO is responsible for compliance of training and/or assessment
- Confirmation that the RTO is responsible for issuance of AQF certification documentation
- Details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4)
- The learner’s rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment
- The learner’s obligation to repay any VET FEE-HELP debt
- Any entry requirements
- Any materials and equipment the learner must provide
- Any implications on the learner’s entitlement to access government funding by undertaking the training and/or assessment

Reasons for finding of non-compliance:

- The RTO provided information to students which is contextualised to their funding status. However, the evidence provided does not support compliance with the requirements of Clause 5.2 for the following reasons:
 - the course structure/duration is inconsistent with the information shown in the RTO’s training and assessment strategies and in marketing material;
 - the mode of delivery is an inaccurate description of the RTO’s practice
 - the RTO does not provide learners with information about the
 - a) RTO’s responsibilities for:
 - compliance of training and assessment
 - issuance of AQF certification documentation
 - b) Learner’s rights if the RTO closes or ceases training and/or assessment.

In order to become compliant, the organisation is required to:

- provide evidence that the information made available to learners ensures current and accurate information that enables them to make an informed decision about their enrolment. This includes the minimum information (as is relevant to the learner group) required by the Clause 5.2

Analysis of rectification evidence:

- The organisation provided the following:
 - An information sheet provided to prospective students enquiring about CHC30113 Certificate III Early Childhood Education and Care
 - An information sheet provided to prospective students enquiring about CHC50113 Diploma of Early Childhood Education and Care.
- The evidence provided supports the organisation’s compliance with the requirements of Clause 5.2.



5.3 Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

- a) all relevant fee information including:
 - i) fees that must be paid to the RTO; and
 - ii) payment terms and conditions including deposits and refunds;
- b) the learner’s rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;
- c) the learner’s right to obtain a refund for services not provided by the RTO in the event the:
 - i) arrangement is terminated early; or
 - ii) the RTO fails to provide the agreed services.

| | | | |
|---|-------------------------------------|-------------------------------------|--------------------------|
| Original finding: Not audited | Following rectification: n/a | | |
| Evidence guidance | Y | N | N/A |
| Fees are collected from individual learners | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| If no, clause is not audited. If yes: | | | |
| Written information is provided on the following, prior to enrolment or commencement: | | | |
| • All fees that must be paid | <input type="checkbox"/> | <input type="checkbox"/> | |
| • Payment terms and conditions | <input type="checkbox"/> | <input type="checkbox"/> | |
| • Refund terms and conditions | <input type="checkbox"/> | <input type="checkbox"/> | |
| • The learner’s statutory right to a cooling-off period | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

5.4 Where there are any changes to agreed services, the RTO advises the learner as soon as practicable, including in relation to any new third party arrangements or a change in ownership or changes to existing third party arrangements.

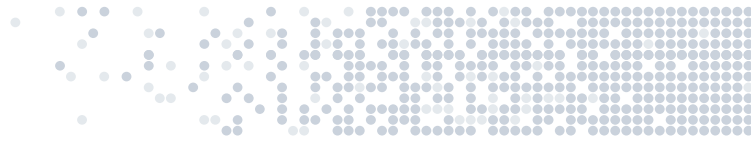
| | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| Original finding: Compliant | Following rectification: n/a | | |
| Evidence guidance | Y | N | N/A |
| Learners are advised of any changes to agreed services | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Standard 6. Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.
Subject to Clause 6.6, to be compliant with Standard 6 an RTO must meet the following:

6.1 The RTO has a complaints policy to manage and respond to allegations involving the conduct of:

- a) the RTO, its trainers, assessors or other staff;
- b) a third party providing services on the RTO’s behalf, its trainers, assessors or other staff; or
- c) a learner of the RTO.

| | | | |
|------------------------------------|-------------------------------------|--|--|
| Original finding: Compliant | Following rectification: n/a | | |
|------------------------------------|-------------------------------------|--|--|



- Provide for review of complaints and appeals by an independent party

6.4 Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:

- a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
- b) regularly updates the complainant or appellant on the progress of the matter.

Original finding: Compliant **Following rectification:** n/a

| Evidence guidance | Y | N | N/A |
|---|-------------------------------------|--------------------------|--------------------------|
| Where more than 60 calendar days have been required to process a complaint or appeal: | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • The complainant or appellant is advised in writing of the reasons | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • The complainant or appellant is regularly updated in writing | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |

6.5 The RTO:

- a) securely maintains records of all complaints and appeals and their outcomes; and
- b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

Original finding: Compliant **Following rectification:** n/a

| Evidence guidance | Y | N | N/A |
|--|-------------------------------------|--------------------------|--------------------------|
| Secure records are maintained of all complaints and appeals and their outcomes | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Potential cause of complaints and appeals are identified and corrective action taken | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

6.6 Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

Original finding: Not audited **Following rectification:** n/a

| Evidence guidance | Y | N |
|---|--------------------------|--------------------------|
| An organisational complaints and appeals policy is in place broad enough to cover all training and/or assessment services provided. | <input type="checkbox"/> | <input type="checkbox"/> |

Standard 7. The RTO has effective governance and administration arrangements in place. To be compliant with Standard 7 the RTO must meet the following:

7.1 The RTO ensures that its executive officers or high managerial agent:

- a) are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and
- b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

Not audited



its registration period.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

Public liability insurance is in place that:

- Provides coverage for the RTO
- Covers training and assessment activities

7.5 The RTO provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.

Not audited

Standard 8. The RTO cooperates with the VET Regulator and is legally compliant at all times. To be compliant with Standard 8 the RTO must meet the following:

8.1 The RTO cooperates with the VET Regulator:

- a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;
- b) in the conduct of audits and the monitoring of its operations;
- c) by providing quality/performance indicator data;
- d) by providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring;
- e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and
- f) in the retention, archiving, retrieval and transfer of records.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

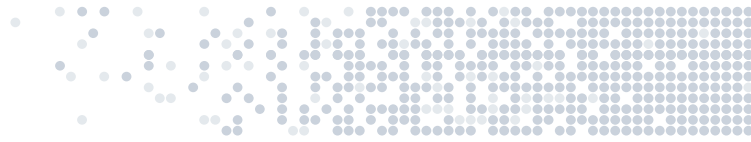
The RTO co-operates with ASQA:

- By providing accurate and truthful responses to information requests relevant to the RTO's registration
- In the conduct of audits and the monitoring of its operations
- By providing quality/performance indicator data
- By providing information about substantial changes to its operations or significant changes to its ownership or any event that would significantly affect the RTO's ability to comply with these standards within 90 days of the change occurring
- In the retention, archiving, retrieval and transfer of records

Reference: [ASQA General Direction – Retention requirements for completed student assessment items](#)

8.2 The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:

- a) by providing accurate and factual responses to information requests from the VET



**Regulator relevant to the delivery of services; and
b) in the conduct of audits and the monitoring of its operations.**

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

Third party arrangements are in place for delivery of services (also refer Clause 2.3)
If no, clause is not audited. If yes:

Written agreements include a clause requiring that third parties co-operate with ASQA in:

- Providing accurate and factual responses to information requests from ASQA relevant to the delivery of services
- In the conduct of audits and the monitoring of its operations

8.3 The RTO notifies the Regulator:

- a) of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
- b) within 30 calendar days of the agreement coming to an end.

Not audited

8.4 The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:

- a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and
- b) has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

Not audited

8.5 The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

Not audited

8.6 The RTO ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

Staff and clients are informed of changes to legislative and regulatory requirements that affect the services delivered