

Audit report – VET Quality Framework

Continuing registration as a national VET regulator (NVR) registered training organisation

ORGANISATION DETAILS	
Organisation's legal name	ACE Community Colleges Ltd
Trading name/s	ACE North Coast Community Colleges
RTO number	90032
CRICOS number	n/a

AUDIT TEAM	
Lead auditor	Margaret Foran
Auditor/s	Ramani Johnson
Technical adviser/s	n/a

AUDIT DETAILS	
Application number/s	1039562, 1046234 and 1036348
Audit number/s	1003490 and 1005255
Audit reason 1	Application - renewal (1039562)
Audit reason 2	Application - change (1046234)
Audit reason 3	Application - change (1036348)
Activity type	Site visit
Address of site/s visited	59 Magellan Street Lismore NSW 2480 1805 Gold Coast Highway Burleigh Heads QLD 4220
Date/s of audit	17/09/2013, 18/09/2013 and 19/09/2013
Organisation's contact for audit	Ms Kerry Johnson Principal principal@acenorthcoast.com.au (02) 6622 1903
NVR standards audited	Selected Standards for Continuing Registration: SNR 15, 16, 17, 18, 20, 22.2 and 23.1

BACKGROUND

ACE Community Colleges Ltd has been offering programs for 34 years and has been a registered training organisation since 1995. The College is a not for profit organisation and delivers accredited and non-accredited programs.



ACE Community Colleges Ltd has sites in Lismore in NSW and Burleigh Heads in Queensland. The delivery site in Burleigh Heads started in 2012 and sites in Casino and Tweeds Heads closed in 2012. The courses to soon be completed in Casino are managed by Lismore and courses soon to be completed in Tweed Heads are managed by Burleigh Heads. Aged Care qualifications are delivered in Casino; Tweed Heads does not deliver accredited courses.

On 11 February 2013, ACE Community Colleges Ltd (RTO) submitted an application for the renewal of its registration (Application number: 1039562).

On 10 May 2013, the RTO submitted an application to add the following unit of competency to its scope of registration (Application number: 1036348):

- AHCWRK302A Monitor weather conditions

On 14 June 2013, the RTO submitted an application to add the following qualifications to its scope of registration (Application number: 1046234):

- FSK10113 Certificate I in Access to Vocational Pathways
- FSK10213 Certificate I in Skills for Vocational Pathways
- FSK20113 Certificate II in Skills for Work and Vocational Pathways

A strategic industry review was conducted on the Aged Care and Home and Community Care qualifications.

Total number of current enrolments in RTO as at 22 August 2013:

- 279

Additional Background information

The RTO advised (letter, dated 18 February 2014) that it had withdrawn its application for the addition of AHCWRK302A Monitor weather conditions to its scope of registration.

The RTO advised that it has had CPCCOHS1001A Work safely in the construction industry removed from its scope of registration.

AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB51107	Diploma of Management	Face to face	18 N
CUV20211	Certificate II in Aboriginal or Torres Strait Islander Cultural Arts	Face to face	0
FNS40211	Certificate IV in Bookkeeping	Face to face	3 Q 1 N
ICA10111	Certificate I in Information, Digital Media and Technology	Face to face	0
TAE40110	Certificate IV in Training and Assessment	Face to face	61 N
CPCCOHS1001A	Work safely in the construction industry	Face to face	0
TLILIC2015B	Licence to drive a medium rigid vehicle	Face to face	0
TLILIC3017B	Licence to drive a heavy combination vehicle	Face to face	2 N



AHC31410	Certificate III in Conservation and Land Management	Face to face	0
BSB40507	Certificate IV in Business Administration	Face to face	6 Q 1 N
CHC30712	Certificate III in Children's Services	Face to face	14 Q 13 N
CHC52212	Diploma of Community Services Co-ordination	Face to face	9 Q 1 N
FSK10213	Certificate I in Skills for Vocational Pathways (App 1046234)	Face to face	0
FSK20113	Certificate II in Skills for Work and Voc Pathways (App 1046234)	Face to face	0
AHCWRK302A	Monitor weather conditions (App 1036348)	Face to face	0
			Q-Qld
			N-NSW

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

INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Kerry Johnson	Principal	n/a
Paul Haywood	Operations Manager	n/a
Jeff Brown	Quality Manager	n/a
Cathryn McMillan	Community Services Coordinator	n/a
Tammy Love	Quality Officer and Trainer	Certificate IV in Bookkeeping
Luke Close	Trainer	Aboriginal/ Torres Strait Islander Cultural Arts
Jan Levy	Trainer	Aboriginal/ Torres Strait Islander Cultural Arts
Linda Woodrow	Trainer	Certificate IV in Training and Assessment
Craig Freeman	Trainer	Work safely in the construction industry
Natalie Hanna	Coordinator	TLILIC units of competency
Lilian Smith	Trainer	Certificate IV in Business Administration
Thelmara Jermyn	Trainer	Certificate III in Children's Services
Pam Mitchell	Trainer	Community Services Co-ordination
Kirsten Elliott	Trainer	Foundation skills qualifications
Shay Kelly	Senior Administrator	n/a

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 23/09/2013: Significant non-compliance

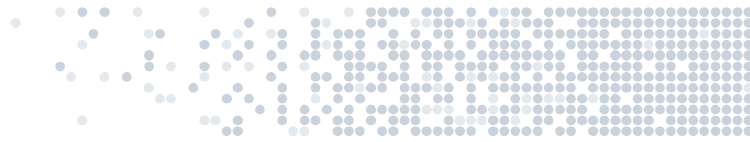
- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on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

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

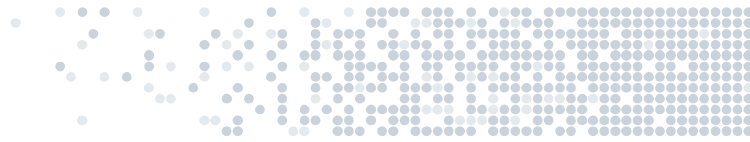
Audit finding following analysis of additional evidence provided on 20/02/2014: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
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SNR 15	Not compliant	Compliant
SNR 16	Not compliant	Compliant
SNR 17	Not compliant	Compliant
SNR 18	Not compliant	Compliant
SNR 19	Not audited	n/a
SNR 20	Not compliant	Compliant
SNR 21	Not audited	n/a
SNR 22	Not compliant	Compliant
SNR 23/AQF	Compliant	n/a
SNR 24	Not audited	n/a
SNR 25	Not audited	n/a



SNR 15 The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:

15.1 The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.

Original finding: Compliant

Following rectification: n/a

15.2 Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The RTO did not provide evidence to demonstrate that the training and assessment strategies for the following qualifications and unit of competency have been developed through consultation with industry:
 - FNS40211 Certificate IV in Bookkeeping
 - ICA10111 Certificate I in Information, Digital Media and Technology
 - BSB40507 Certificate IV in Business Administration
 - AHCWRK302A Monitor weather conditions

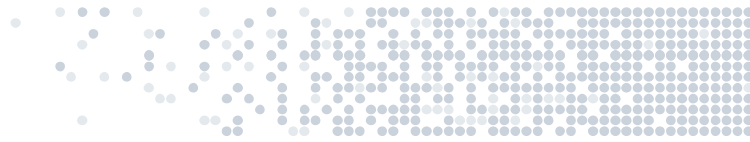
In order to become compliant, the organisation is required to:

- Provide evidence to demonstrate that the training and assessment strategies for the qualifications and unit of competency listed above have been developed through consultation with industry.

Analysis of rectification evidence:

- The RTO provided the following evidence to demonstrate that the training and assessment strategies for FNS40211 Certificate IV in Bookkeeping, ICA10111 Certificate I in Information, Digital Media and Technology and BSB40507 Certificate IV in Business Administration have been developed through consultation with industry:
 - FNS40211 Certificate IV in Bookkeeping
 - Industry Consultation Record from Jacqueline Antoine, dated 10 February 2014 and meeting minutes with Bev George Accountants, dated 23 September 2013
 - ICA10111 Certificate I in Information, Digital Media and Technology
 - Meeting minutes with Multi Task, dated 2 February 2013 and Volunteering Gold Coast, dated 26 June 2013
 - BSB40507 Certificate IV in Business Administration
 - Industry Consultation Record from Intermix Australia Pty Ltd, dated 24 September 2013 and Industry Consultation Record from Arjo Huntleigh, dated 27 September 2014.
 - Advice from the RTO that “strategies were amended or not on the basis of contributions received”(Rectifications and improvements, page 2)
- The RTO advised (letter, dated 18 February 2014) that it had withdrawn its application for the addition of AHCWRK302A Monitor weather conditions to its scope of registration.

15.3 Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation’s own training and assessment strategies and are developed through effective consultation with



industry.**Original finding:** Not compliant**Following rectification:** Compliant*Reasons for finding of non-compliance:*

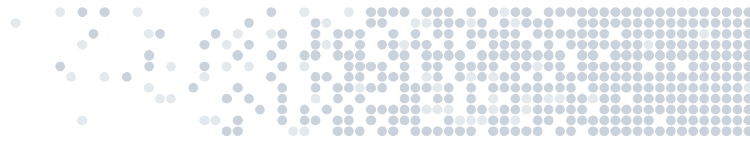
- the RTO did not provide evidence to demonstrate that it has training and assessment materials that meet the requirements of the RTO's own training and assessment strategy for the following qualification as reference to another college, ie "Queensland Polytechnic College" was included in a number of areas:
 - BSB51107 Diploma of Management
- the training materials provided, specifically materials from Teach 2 Learn resources, do not address the requirements of the course, such as the communication and practical skills for the following qualifications:
 - Certificate I in Skills for Vocational Pathways
 - Certificate II in Skills for Work and Vocational Pathways
- although the RTO has access to the trainer's own equipment, such as wind speed meters and smoke machines and training and assessment materials, such as the RTO's participant guide, powerpoint presentations, delta T charts and job order sheets and training materials, the RTO did not provide evidence to demonstrate that it has formal arrangements with the trainer for the provision of the equipment and the training and assessment materials to meet the requirements of the Training Package and the RTO's own training and assessment strategy for the following unit of competency:
 - AHCWRK302A Monitor weather conditions

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

- provide evidence to demonstrate that it has training and assessment materials that meet the requirements of the RTO's own training and assessment strategy for BSB51107 Diploma of Management. For example, remove reference to "Queensland Polytechnic College"
- provide evidence to demonstrate that it has appropriate training materials for Certificate I in Skills for Vocational Pathways and Certificate II in Skills for Work and Vocational Pathways and that they meet all the requirements of the Course.
- provide evidence to demonstrate that it has the equipment and training and assessment materials that are included in the RTO's training and assessment strategy for AHCWRK302A Monitor weather conditions.

Analysis of rectification evidence:

- The RTO provided materials for BSB51107 Diploma of Management to demonstrate that the materials meet the requirements of the RTO's own training and assessment strategy
- The RTO provided an overview of training materials for FSKDIG02 Use digital technology for simple workplace tasks and FSKOCM03 Participate in simple spoken interactions at work (from FSK10213 Certificate I in Skills for Vocational Pathways), dated December 2013 and an overview of training materials for FSKOCM07 Interact effectively with others at work and FSKWTG09 Write routine workplace texts (from FSK20113 Certificate II in Skills for Work and Vocational Pathways), dated December 2013 to demonstrate that its training materials for those qualifications are consistent with the course requirements and the RTO's own training and assessment strategies
- The RTO advised (letter, dated 18 February 2014) that it had withdrawn its application for the addition of AHCWRK302A Monitor weather conditions to its scope of registration.



15.4 Training and assessment is delivered by trainers and assessors who:
(a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and
(b) have the relevant vocational competencies at least to the level being delivered or assessed; and
(c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
(d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- the RTO did not provide evidence to demonstrate that the following trainers/assessors meet all the requirements of Standard 15.4: that is, the necessary training and assessment competencies as determined by the National Skills Standards Council:
http://www.nssc.natese.gov.au/policies/determination_for_trainer_and_assessor_competencies
the relevant vocational competencies, current industry skills and continue to develop their VET knowledge and skills, their industry currency and trainer/assessor competence:

FNS40211 Certificate IV in Bookkeeping

Tammy Love: - development of industry currency

BSB51107 Diploma of Management

Karen Lamkin: - current industry skills
-development of industry currency

CUV20211 Certificate II in Aboriginal or Torres Strait Islander Cultural Arts

Clarence Close: - development of VET knowledge and skills and trainer/assessor competence

CUV20211 Certificate II in Aboriginal or Torres Strait Islander Cultural Arts

Jan Levy: - vocational competencies

ICA10111 Certificate I in Information, Digital Media and Technology

John Shurmer: - current industry skills
- development of industry currency

CPCCOHS1001A Work safely in the Construction Industry

Craig Freeman: - current industry skills
- development of VET knowledge and skills, industry currency and trainer/assessor competence

TLILIC2015B Licence to drive a medium rigid vehicle

TLILIC3017B Licence to drive a heavy combination vehicle

Allan Folpp: - development of VET knowledge and skills and trainer/assessor competence

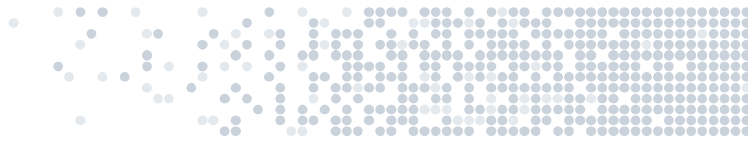
TLILIC2015B Licence to drive a medium rigid vehicle

TLILIC3017B Licence to drive a heavy combination vehicle

Stephen Nixon: - development of trainer/assessor competence

AHCWRK302A Monitor weather conditions

Craig Day: - necessary training and assessment competencies
- vocational competencies in relation to *AHCWRK302A Monitor weather conditions*
- development of VET knowledge and skills, industry currency in relation to *AHCWRK302A Monitor weather conditions* and trainer/assessor



competence

FSK10213 Certificate I in skills for vocational pathways

FSK20113 Certificate II in skills for work and vocational pathways

Kirsten Elliott: - necessary training and assessment competencies

FSK10213 Certificate I in skills for vocational pathways

FSK20113 Certificate II in skills for work and vocational pathways

Natalie Hanna: - current industry skills

AHC31410 Certificate III in conservation and land management

Stephen Duff: - relevant vocational competencies at least to the level being delivered and assessed

- current industry skills

- development of industry currency

BSB40507 Certificate IV in Business Administration

Lilian Smith: - relevant vocational competencies

- current industry skills directly relevant to the training/assessment being undertaken

CHC30712 Certificate III in Children's Services

Thelmara Jermyn: - current industry skills

- development of industry currency

CHC30712 Certificate III in Children's Services

Michelle Tuffley: - current industry skills

- development of industry currency and trainer/assessor competence

CHC52212 Diploma of community services co-ordination

Michelle Walker: - evidence of current industry skills provided was not sufficient as the evidence provided, letter dated 19/4/2013, was for one week of work in the industry at Caritas Care Gold Coast

- development of VET knowledge and skills, industry currency and trainer/assessor competence

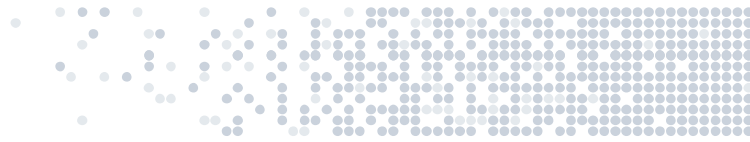
Auditor note: Pam Mitchell was found to meet the requirements for Standard 15.4

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

- provide evidence to demonstrate that the trainers/assessors for the above qualifications meet the requirements for Standard 15.4.

Analysis of rectification evidence:

- The RTO provided evidence to demonstrate that the following trainers/assessors meet all the requirements of Standard 15.4:
 - Tammy Love
 - 'Annual Currency and PD Plan' for 2014 and letter in relation to industry skills from Platinum Leisure P/L, dated 27/1/2014
 - Karen Lamkin
 - 'Industry Currency and PD Log' for 2014, Administration Manager position profile, Queensland Polytechnic, letter from Thrifty, dated 10/8/2009
 - Clarence Close
 - 'Annual Currency and PD Plan' for 2014, enrolment TAE40110 –core units for upgraders, from 24/6/2013 to 30/12/2013.



- John Shurmer
 - Letter in relation to duties as IT consultant from ACE Community Colleges, dated 17/2/2014, ICA50105 Diploma of Information Technology (General) issued 15/9/2011, 'Industry Currency and PD Log' for 2014, 19105 ACSF PD workshop-online, 16 November 2012, ALA webinar: managing the inclusive classroom, BSBITU304A and MSS015001A, TAFE, 2011 and Standards for Training Packages, Ballina, 19 Nov 2013
 - Allan Folpp
 - 'Annual Currency and PD Plan' for 2014
 - Stephen Nixon
 - 'Annual Currency and PD Plan' for 2014
 - Craig Day
 - TAE40110, TAFE issued 16/12/2013 and 'Annual Currency and PD Plan' for 2014
 - Kirsten Elliott
 - TAE40110, ACE Colleges, issued 23/10/2013
 - Natalie Hanna
 - Employment contract as Balund-a Literacy and Work Readiness Trainer and Coordinator, signed and dated 29/9/2010 and position description, Letter of engagement as Co-ordinator Bridge to Children's Services Program, dated 21/1/2013 and Social Innovation Breakfast on 20 March 2012
 - Lilian Smith
 - 'Vocational Competency Assessment' for BSB30412 and BSB40507 dated 11/2/2013, Letter in relation to duties in Business Administration from ACE Community Colleges, dated 25/9/2013, Digital Creativity in the Classroom: Photo Imagery, 21/8/2013, 19026 ACSF PD Workshop, 26/7/2012, letter from Britt's Meat in relation to duties in Business Administration, dated 27/9/2013, BSB51107 Diploma of Management, ACE Community Colleges, re-issued 5/11/2013; list of practical activities from 7/2/2013 to 20/6/2013, 'Industry Currency and PD Log' for 2014,
 - Thelmara Jermyn
 - Volunteer with Goodstart commencing 4/3/2014, EAAM001A and EAAM002A, issued 9/2/2014, enrolment in 'Enriching baby programs and practices' on 3/3 and 31/3/2014, webinar 'EYLF and NQF for Beginners' on 18/3/2014, attendance at 'NQF: Making your long day care centre or preschool NQF ready', 29/11/2011, ACECQA/DEC Information session, 18/7/2012, attendance at 'Keeping them safe', 7/8/2011
 - Michelle Tuffley
 - 'Industry Currency and PD Log' for 2014, Letter from LEAD Childcare in relation to current industry skills in that Michelle "works alongside assistants, Group Leaders and Directors in the Service" dated 6/2/2014, Statement of attendance 'Introduction to the VET Quality Framework (Webinar)', 31/7/2012
 - Michelle Walker
 - 'Industry Currency and PD Log' for 2014, 'Address Adult Literacy and Numeracy Skills' 13/5/2013 to 31/12/2014, validation session planned for 26/3/2014, EAAM001A and EAAM002A, issued 2/6/2013, HLTCP211A, issued 4/6/2013, industry skills at Caritas Care from 8/4/2013 to 12/4/2013, Letter from Ozcare, dated 14/2/2014 in relation to duties as Assistant Co-ordinator from 9/9/2013 to 13/9/2013, Home Care Providers Network Meeting minutes, dated 8/11/2013
- The RTO did not provide evidence for Craig Freeman and Stephen Duff as they are no longer engaged by the RTO.
 - The RTO did not provide evidence for Jan Levy as she is a program co-ordinator and does not deliver or assess qualifications.
 - The RTO did not provide evidence for Craig Day as specifically related to AHCWRK302A Monitor weather conditions as the RTO has withdrawn its application for the addition of this unit to its scope of registration



- The RTO has had CPCCOHS1001A Work safely in the construction industry removed from the RTO's scope of registration and as such does not require trainers and assessors for this unit of competency.

15.5 Assessment including Recognition of Prior Learning (RPL):
(a) meets the requirements of the relevant Training Package or VET accredited course; and
(b) is conducted in accordance with the principles of assessment and the rules of evidence; and
(c) meets workplace and, where relevant, regulatory requirements; and
(d) is systematically validated.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

CPCCOHS1001A Work safely in the construction industry

Assessment tools:

- do not meet the requirements of the unit and are not conducted in accordance with the principles of assessment and the rules of evidence, particularly in relation to validity and reliability. It is not clear how assessment decisions are valid and reliable when the assessment questions are completed during the day following class discussion and incorrect responses to questions are discussed as part of the class activities. Also, it is not clear how assessors ensure that assessment is completed by the students themselves.

AHC31410 Certificate III in Conservation and Land Management

For the unit, AHCWRK313A Implement and monitor environmentally sustainable work practices, assessment tools:

- do not meet the requirements of the unit of competency as it is not clear how students, who only have to achieve 80%, can be found competent in relation to all aspects of the unit if up to 20% are answered incorrectly in the written assessment task.

For the unit, AHCWRK305A Coordinate work site activities, assessment tools:

- do not provide clear instructions for the assessors
- do not provide instructions for the "workplace assessor"

For the unit, AHCPMG301A Control weeds, assessment tools:

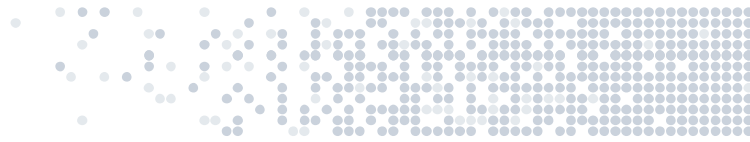
- do not meet the requirements of the unit of competency as it is not clear how students, who only have to achieve 80%, are assessed on aspects of the unit that are answered incorrectly in the written assessment task.
- do not provide clear instructions for students, specifically in relation to Assessment 7 and the options in Assessment 11 and Assessment 12.
- do not assess essential skills "use oral communication..." and "use interpersonal skills..."

For the unit, AHCCHM303A Prepare and apply chemicals, assessment tools:

- do not assess all the element and performance criteria, for example "chemicals are prepared in accordance with registered use", "pre-operational checks of application equipment are carried out", "chemical is applied", "application equipment is cleaned and decontaminated"
- do not assess all the required skills, for example "mix and load chemicals", "conduct pre-operational checks of application equipment" and "apply chemicals"

For the unit, AHCCHM304A ,Transport, handle and store chemicals, assessment tools:

- do not assess all the elements and performance criteria, for example "transport requirements are ... followed" and "store chemicals in the workplace"



- do not assess all the required skills, for example “transport, handle and store chemicals safely” and “use oral communication skills”
- do not address all the critical aspects of evidence, for example “must be relevant to workplace operations”, “transporting, handling and storing chemicals safely”

CHC30712 Certificate III in Children’s Services

For the unit, CHCCHILD401B Identify and respond to children and young people at risk, assessment tools:

- are not clear how assessors ensure that assessment is completed by the students themselves for the self study assessment task.
- do not assess all the elements, specifically “apply ethical and nurturing practices in work with children and young people”.

BSB40507 Certificate IV in Business Administration

For the unit, UBSBWRT401A Write complex documents, for the assessment tools:

- there was no evidence of validation.

For the unit, “BSBCMM401A Make a presentation, for the assessment tools:

- there was no evidence of validation.

CHC52212 Diploma of Community Services Co ordination

For the unit, CHCCS505B Provide supervision support to community sector workers, the assessment tools:

- may not be valid and reliable as different assessors are using different assessment tools and it is not clear if all assessment tools assess all the requirements of the units of competency and that there is consistency in assessment decisions.
- do not address all the critical aspects for assessment and evidence, for example “this unit is best assessed in the workplace or in a simulated workplace under the normal range of conditions”

For the unit, CHCCS503B Develop, implement and review services and programs to meet client needs, assessment tools:

- may not be valid and reliable as different assessors are using different assessment tools and it is not clear if all assessment tools assess all the requirements of the units of competency and that there is consistency in assessment decisions.
- do not assess all the essential skills, for example “consult effectively with the client/s” and “demonstrate oral communication skills”
- do not address all the critical aspects for assessment and evidence, for example “this unit is most appropriately assessed in the workplace or in a simulated workplace setting under the normal range of workplace conditions”

There is no evidence that all assessment tools for the above units of competency have been validated.

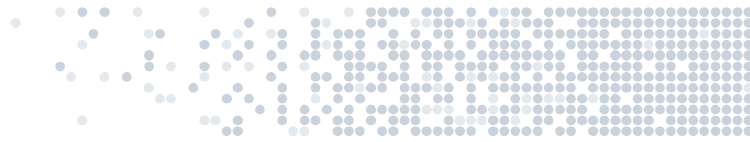
FSK10213 Certificate I in Skills for Vocational Pathways

For the unit, FSKOCM03 Participate in simple spoken interactions at work, assessment tools:

- do not meet all the requirements of the unit of competency and have not been validated to ensure that all unit requirements are met. For example, the tasks (1-4) are reading and writing assessments and are not valid assessments for assessing a speaking skill. Task 1 requires a written response to “What would you say to her” in relation to a written scenario. This is not a valid assessment for a speaking skill.

For the unit, FSKDIG02 Use digital technology for simple workplace texts, assessment tools:

- do not meet all the requirements of the unit of competency and have not been validated to



ensure that all unit requirements are met. For example, the tasks (1-4) do not assess the elements and performance criteria of the unit. Tasks are not valid assessments for the assessment of a practical skill and are not relevant for the student profile.

FSK20113 Certificate II in Skills for Work and Vocational Pathways

For the unit, FSKWTG09 Write routine workplace texts, assessment tools:

- do not meet all the requirements of the unit of competency and have not been validated to ensure that all unit requirements are met. For example, the tasks (1-10) do not assess the elements and performance criteria of the unit. Tasks do not include the identification of text features, drafting strategies and review and finalisation of routine workplace texts.

For the unit, FSKOCM07 Interact effectively with others at work, assessment tools:

- do not meet all the requirements of the unit of competency and have not been validated to ensure that all unit requirements are met. For example, task 1 is a written response to “Explain how you would have instructed Bill to help you” in relation to a written scenario. This is not a valid assessment for “interact effectively with others at work”.

FNS40211 Certificate IV in Bookkeeping

For the unit, FNSBKG404A Carry out business activity and instalment activity statement tasks, for the assessment tools:

- there was no evidence of validation.

AHCWRK302A Monitor weather conditions

Assessment tools:

- do not assess all the required skills, for example “use oral communication skills” and “use interpersonal skills”.
- do not assess all the required knowledge, for example “relevant legislative health and occupational Health and Safety (OHS) requirements especially as they relate to weather and climate monitoring and preparation for hazardous weather”
- do not address all the critical aspects for assessment and evidence, for example “communicate warnings and concern”
- do not include the context of assessment as specified in the unit, “competency requires the application of work practices under work conditions”
- are not valid, as the observation task does not require students to be observed
- do not include instructions for assessors that are clear
- do not include instructions for students that are clear

ICA10111 Certificate I in Information, Digital Media and Technology

For the unit, ICAICT102A Operate word processing applications, for the assessment tools:

- there was no evidence of validation

For the unit, ICAICT106A Operate presentation packages, for the assessment tools:

- there was no evidence of validation

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

- provide evidence that address the areas of non-compliance listed above.



Analysis of rectification evidence:

CPCCOHS1001A Work safely in the construction industry

- The RTO advised that it has had CPCCOHS1001A removed from its scope of registration.

AHC31410 Certificate III in Conservation and Land Management

AHCWRK313A Implement and monitor environmentally sustainable work practices

- The RTO provided a revised Assessor information sheet and removed the reference to marks and the requirement for students to gain a percentage mark ie 80% to be deemed satisfactory in the written assessment task.

AHCWRK305A Coordinate work site activities

- The RTO provided assessment information for the practical assessment that includes assessment instructions for students, assessors and workplace assessors.

AHCPMG301A Control weeds

- The RTO provided a revised Assessor information sheet and removed the reference to marks and the requirement for students to gain a percentage mark ie 80% to be deemed satisfactory in the written assessment task.
- The RTO provided student instructions for Assessments 7, 11 and 12 so that students understand the tasks to be completed.
Auditor note: It is recommended that the instructions for the 'Jones and Sons Spray Details Scenario' be reviewed to be consistent with those in the student instructions. Specifically, remove the statement that students will need to complete A and C for accreditation or B and C for reaccreditation.
- The RTO provided updated practical observation tasks to demonstrate that assessment assesses the oral communication skills.

AHCCHM303A Prepare and apply chemicals

- The RTO provided the practical assessment including practical checklists to demonstrate that the assessment meets all the requirements of the unit of competency.

AHCCHM304A Transport, handle and store chemicals

- The RTO provided the practical assessment including practical checklists and worksheets to demonstrate that the assessment meets all the requirements of the unit of competency.

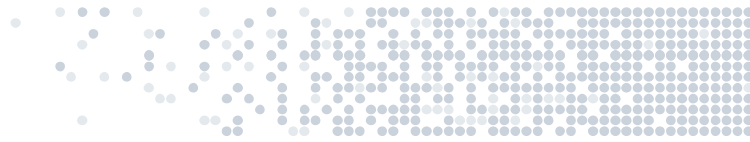
CHC30712 Certificate III in Children's Services

CHCCHILD401B Identify and respond to children and young people at risk

- The RTO provided revised assessment tools and have replaced the self-study assessment.
- The RTO provided an assessor information sheet, assessment mapping for the unit, the roleplay observation checklist, the roleplay observation-trainers' guide, unit assessment information sheet, the training plan and written assessment workbook and marking guide to demonstrate that assessment meets all the requirements of the unit of competency.

Auditor Note 1: Whilst revised assessment tools have been provided for CHCCHILD401B as specified in the audit report, you are advised that this unit has been superseded.

Auditor Note 2: CHC30712 Certificate III in Children's Services has been superseded by CHC30113 Certificate III in Early Childhood Education and Care.



BSB40507 Certificate IV in Business Administration

UBSBWRT401A Write complex documents

- The RTO provided evidence of validation conducted on 24/9/2013 together with an assessor information sheet and a unit assessment information sheet to demonstrate that assessment is systematically validated.

BSBCMM401A Make a presentation

- The RTO provided evidence of validation conducted on 24/9/2013 together with an assessor information sheet and a unit assessment information sheet to demonstrate that assessment is systematically validated.

CHC52212 Diploma of Community Services Co ordination

CHCCS505B Provide supervision support to community sector workers

- The RTO provided a training and assessment strategy, workplace assessment record (v1.0), assessor information, student assessment information, mapping guide and evidence of validation conducted on 5/11/2013 to demonstrate that assessment meets the requirements of the unit of competency, is systematically validated and is conducted in accordance with the principles of assessment and the rules of evidence.

CHCCS503B Develop, implement and review services and programs to meet client needs

- The RTO provided a training and assessment strategy, workplace assessment record (v1.0), assessor information, student assessment information, mapping guide and evidence of validation conducted on 5/11/2013 to demonstrate that assessment meets the requirements of the unit of competency, is systematically validated and is conducted in accordance with the principles of assessment and the rules of evidence.

FSK10213 Certificate I in Skills for Vocational Pathways

FSKOCM03 Participate in simple spoken interactions at work

- The RTO provided a revised assessment tool and included in the assessor guide that validation was conducted on 1/10/2013 to demonstrate that assessment meets the requirements of the unit of competency, is valid and is systematically validated.

FSKDIG02 Use digital technology for simple workplace texts

- The RTO provided a revised assessment tool and included in the assessor guide that validation was conducted on 5/11/2013 to demonstrate that assessment meets the requirements of the unit of competency, is valid, is relevant to the target profile and is systematically validated.

FSK20113 Certificate II in Skills for Work and Vocational Pathways

FSKWTG09 Write routine workplace texts

- The RTO provided a revised assessment tool and included in the assessment tool that validation was conducted on 1/10/2013 to demonstrate that assessment meets the requirements of the unit of competency and is systematically validated.

FSKOCM07 Interact effectively with others at work

- The RTO provided a revised assessment tool and included in the assessor guide that validation was conducted on 5/11/2013 to demonstrate that assessment meets the requirements of the unit of competency, is valid and is systematically validated.

FNS40211 Certificate IV in Bookkeeping

FNSBKG404A Carry out business activity and instalment activity statement tasks

- The RTO provided evidence of validation conducted on 24/9/2013 together with an assessor information sheet and a unit assessment information sheet to demonstrate that assessment is



systematically validated.

AHCWRK302A Monitor weather conditions

- The RTO advised (letter, dated 18 February 2014) that it had withdrawn its application for the addition of AHCWRK302A Monitor weather conditions to its scope of registration.

ICA10111 Certificate I in Information, Digital Media and Technology

ICAICT102A Operate word processing applications

- The RTO provided evidence of validation conducted on 24/9/2013 together with an assessor information sheet and a unit assessment information sheet to demonstrate that assessment is systematically validated.

ICAICT106A Operate presentation packages

- The RTO provided evidence of validation conducted on 24/9/2013 together with an assessor information sheet and a unit assessment information sheet to demonstrate that assessment is systematically validated.

SNR 16 The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:

16.1 The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.

Original finding: Compliant

Following rectification: n/a

16.2 The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.

Original finding: Compliant

Following rectification: n/a

16.3 Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

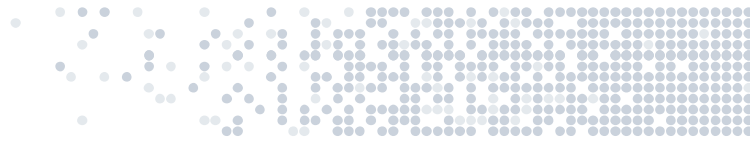
- the RTO did not provide evidence to demonstrate that it provides sufficient information to students prior to enrolment in relation to fees and refunds. Specifically, course information sheets refer students to the student handbook for information in relation to fees and refunds; however, the student handbook includes very limited information on this.

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

- provide evidence that students are provided with sufficient information in relation to fees and refunds prior to enrolment.

Analysis of rectification evidence:

- The RTO provided a revised Student Handbook (v3.0), a Fees and Charges Fact Sheet (v1.0) and fee schedule for term 1, 2014 (v1) with detailed information on fees and refunds to demonstrate that it informs clients about the training, assessment and support services to be provided and their rights and responsibilities prior to enrolment.



16.4 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- the RTO did not provide evidence to demonstrate that employers and other parties are engaged in the development, delivery and monitoring of training and assessment in relation to CHC30712 Certificate III in Children's Services.

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

- provide evidence to demonstrate that employers are engaged in the development, delivery and monitoring of training and assessment in relation to CHC30712 Certificate III in Children's Services .

Analysis of rectification evidence:

- The RTO provided a revised work placement handbook (v1.1), workplace training agreement (v1.0), workplace assessment record (v2.0) and an industry consultation record from Bumblebee Early Education Centre, dated 18/2/2014 to demonstrate that employers are engaged in the development, delivery and monitoring of training and assessment in relation to CHC30712 Certificate III in Children's Services

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

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- the RTO did not provide evidence to demonstrate that it has procedures in place for students to access support services to meet their individual needs. It is not clear who students contact and where they are to go. The RTO did not provide evidence that trainers are aware of the procedures and that, as advised at audit, they are to refer students to General Education. It is not clear that General Education are aware that referrals in this way are included in their role.

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

- provide evidence that procedures to access support services are in place; that information is provided to students, eg included in the student handbook and that General Education are aware that this is part of their role, eg included in the relevant job descriptions.

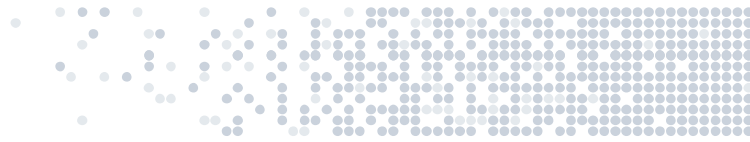
Analysis of rectification evidence:

- The RTO provided a revised student handbook (v3.0 pages 8 and 11), checklist for trainers to use at student induction (v1) and trainer/assessor position description (v1.0) to demonstrate that learners receive support services that meet their individual needs.

16.6 Learners have timely access to current and accurate records of their participation and progress.

Original finding: Compliant

Following rectification: n/a



16.7 The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.

Original finding: Compliant

Following rectification: n/a

SNR 17 Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:

17.1 The NVR registered training organisation's management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- the RTO did not demonstrate that it provides clear information on the services that are covered by fees. Specifically, it is not clear the services covered by the fees and those that are not, for example, changing electives.

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

- provide evidence to demonstrate that it provides clear information on the services covered by fees.

Analysis of rectification evidence:

- The RTO provided a revised Student Handbook (v3.0), a Fees and Charges Fact Sheet (v1.0) and fee schedule for term 1, 2014 (v1) to demonstrate that clients receive information on the services covered by fees.

17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.

Original finding: Compliant

Following rectification: n/a

17.3 The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- although the RTO provided evidence of discussions and meeting with trainers who deliver and assess TLILIC2015B Licence to drive a medium rigid vehicle and TLILIC3017B Licence to drive a heavy combination vehicle on the RTO's behalf, for example sharing of information on new Training Packages on 12 June 2013, the RTO did not demonstrate that it monitors the training and assessment provided. For example, ensuring that training and assessment is for the most recent versions of the units of competency; the facilities, equipment and training and assessment materials are consistent with the Training Package requirements (SNR 15.3); trainers and assessors meet the requirements of SNR 15.4 and trainers and assessors retain evidence to demonstrate that they are compliant with the *Standards for NVR Registered Training Organisations 2012*.

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



- provide evidence that the RTO monitors the training and assessment delivered on its behalf.

Analysis of rectification evidence:

- The RTO provided an MOU template (v1.0) to be used with heavy vehicle licensing providers and a program checklist-TLI vehicle licensing (v1.0) for the program co-ordinator in order to demonstrate that it monitors the training and assessment delivered on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.

Original finding: Compliant

Following rectification: n/a

SNR 18 The NVR registered training organisation has governance arrangements in place as follows:

18.1 The NVR registered training organisation's Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation's scope of registration, as listed on the National Register.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- the RTO did not provide evidence to demonstrate that the RTO's CEO ensures the RTO complies with all *Standards for NVR Registered Training Organisations 2012* audited for the applications for renewal of registration and amendment to scope of registration.

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

- provide evidence to demonstrate compliance with SNR 15.2, 15.3, 15.4, 15.5, 16.3, 16.4, 16.5, 17.1, 17.3, 20.2 and 22.2.

Analysis of rectification evidence:

- The RTO provided evidence to demonstrate compliance with the non-compliances identified at the audit for the applications for renewal of registration and amendment to scope of registration.

18.2 The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.

Original finding: Compliant

Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

19.1 The NVR registered training organisation must co-operate with the National VET Regulator:
(a) in the conduct of audits and the monitoring of its operations;
(b) by providing accurate and timely data relevant to measures of its performance;



(c) by providing information about significant changes by its operations;
(d) by providing information about significant changes to its ownership; and
(e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.

Original finding: Not audited

Following rectification: n/a

SNR 20 Compliance with legislation

20.1 The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.

Original finding: Compliant

Following rectification: n/a

20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- the RTO did not provide evidence to demonstrate that the RTO ensures that its staff and clients are fully informed of the legislative and regulatory requirements specifically related to the qualifications.

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

- provide evidence that staff and clients are fully informed of the legislative and regulatory requirements specifically related to the qualifications.

Analysis of rectification evidence:

- The RTO provided a checklist for trainers to use at student induction (v1), legislation relating to bookkeeping (v1), business (v1), children's services (v1), community services (v1), aged care, HACCC, disability, leisure and health (v1) and training and assessment strategies for CHC30712 Cert III in Children's Services (v1.0) and CHC52212 Diploma of Community Services Coordination (v1.0) to demonstrate that its staff and clients are fully informed of legislative and regulatory requirements specifically related to the qualifications.

SNR 21 Insurance

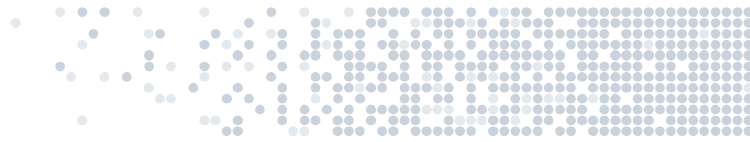
21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.

Original finding: Not audited

Following rectification: n/a

SNR 22 Financial management

22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its



registration.

Original finding: Not audited

Following rectification: n/a

- 22.2 The NVR registered training organisation must provide the following fee information to each client:**
- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;**
 - (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;**
 - (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;**
 - (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and**
 - (e) the organisation's refund policy.**

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- the RTO did not provide evidence that it provides information on fees to students for the issuance of a replacement qualification testamur.

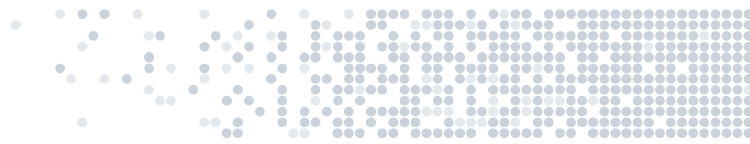
In order to become compliant, the organisation is required to:

- provide evidence that it provides information on fees to students for the reissuance of a replacement qualification.

Analysis of rectification evidence:

- The RTO provided a Fees and Charges Fact Sheet (v1.0) and a revised Student Handbook (v3.0) to demonstrate that it provides information on fees to students for the reissuance of a replacement qualification testamur.

- 22.3 Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:**
- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;**
 - (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme; [option 2 not currently available]**
 - (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;**
 - (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or**
 - (e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator. [option 5 not currently**



available]

Original finding: Not audited

Following rectification: n/a

SNR 23 Certification, issuing and recognition of qualifications & statements of attainment

23.1 The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:
(a) meets the Australian Qualifications Framework (AQF) requirements;
(b) identifies the NVR registered training organisation by its national provider number from the National Register and
(c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Compliant

Following rectification: n/a

23.2 The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.

Original finding: Not audited

Following rectification: n/a

23.3 The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.

Original finding: Not audited

Following rectification: n/a

23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]

This element was not audited.

23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]

This element was not audited.

SNR 24 Accuracy and integrity of marketing

24.1 The NVR registered training organisation must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.

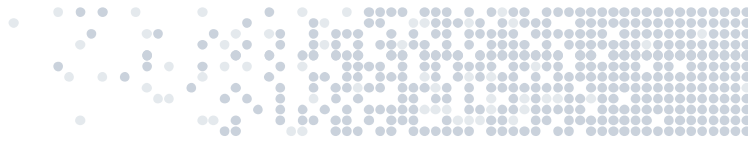
Original finding: Not audited

Following rectification: n/a

24.2 The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.

Original finding: Not audited

Following rectification: n/a



SNR 25 Transition to Training Packages/expiry of VET accredited courses

25.1 The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.

Original finding: Not audited

Following rectification: n/a

25.2 The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.

Original finding: Not audited

Following rectification: n/a