



Audit report – VET Quality Framework Delegation Requirements and Standards for Registered Training Organisations 2015

ORGANISATION DETAILS

Organisation's legal name:	Hammond Institute Pty Ltd
Trading name/s:	Hammond Institute Pty Ltd Institute of Child Care
RTO number:	90720
CRICOS number:	N/A

AUDIT TEAM

Lead auditor:	John Price
Assistant/s:	N/A
Technical advisor/s:	N/A

AUDIT DETAILS

Audit reason 1:	Delegation Audit	
Activity type:	Site Audit	
Address of site/s visited:	Unit 113, 22 St Kilda Road, St Kilda, Victoria 3182	
Date/s of audit:	27 th and 28 th April 2017	
Organisation's contact for audit:	Mr Love Handa Contact email address	Compliance Manager Contact phone number.
Delegation Requirements audited:	R 1.1, R 1.2, R 2.1, R 2.2, R 2.3, R 3.1, R 4.1, R 5.1, R 5.2, R 6.1, R 6.2	
Standards/Clauses audited:	1.1, 1.2, 1.3, 1.8, 1.13, 1.15, 1.16, 2.4, 4.1, 5.1, 5.2, 5.3, 5.4	

BACKGROUND

- Hammond Institute Pty Ltd has nine (9) training products on its scope of registration (eight (8) qualifications and one unit of competency) and has been in operation as an RTO since 2001.
- The organisational structure has been deliberately kept 'flat' so that all staff can recognise that they make important contributions to the performance of the RTO and can seamlessly access information through a 'Moodle' communication hub.
- These staff attend regular general staff meetings and contribute to a range of committees such as: Student Welfare and Support; and the Delegation Committee that reviews and monitors all activities associated with the Delegation Agreement.
- Hammond Institute Pty Ltd delivers courses at:
 - Noble Park;
 - Dandenong;
 - Box Hill; and



- Berwick.
- Hammond Institute receives funding from the Victorian Government.
- Its key clients are Family Day Care Centres; Child Care Centres and the YMCA.
- Hammond Institute Pty Ltd has implemented an excellent Quality Assurance System to manage its Delegation Agreement and the specific requirements of the Standards for Registered Training Organisations 2015.

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

- 262

AUDIT SAMPLE

Code	Training products	Mode/s of delivery / assessment*	Current enrolments (If not yet on scope, record N/A)
CHC43115	Certificate IV in Disability	Classroom/Blended	0
CHC50113	Diploma of Early Childhood Education and Care	Classroom/Blended	180

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

INTERVIEWEES

Name	Position	Training products
Love Handa	Compliance Manager	Both
Vinod Verma	Chief Executive Officer	Both
Sukh Sandhu	Trainer and Assessor	Both
Ben Thakkar	External Consultant	Observer

ORIGINAL FINDING AT TIME OF AUDIT

Audit finding as at 28/04/2017:

Delegation requirements: Requirements met

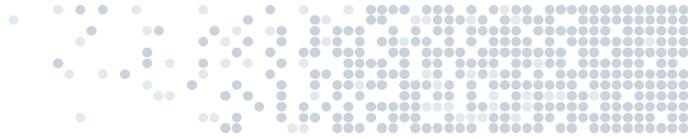
Standards requirements: Compliant

- The level of non-compliance against the Standards considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If the requirements have not been met and/or non-compliance has been identified, this audit report describes evidence of the findings.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

RATING OF FINDINGS

Performance of the delegated function: Excellent

Effectiveness of the internal review: Excellent



AUDIT FINDING BY DELEGATION REQUIREMENT

Requirements for a delegate Quality Assurance System (Delegation requirements)

Section	Original finding
R1	Requirements met
R2	Requirements met
R3	Requirements met
R4	Requirements met
R5	Requirements met
R6	Requirements met



AUDIT FINDING BY STANDARD

Standards for Registered Training Organisations 2015 (the Standards)

Standard	Original finding
Standard 1	Compliant
Standard 2	Compliant
Standard 4	Compliant
Standard 5	Compliant

ABOUT THIS REPORT

This report details findings against the 'Requirements for a delegate Quality Assurance System', as described in Schedule 2 of the Delegation Agreement; and the *Standards for Registered Training Organisations 2015*.

Requirements for a delegate Quality Assurance System

- The evidence guidance included against each requirement is designed to guide the auditor and RTO on the requirements of the requirement. 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 the requirements have been met.
- The '*Reasons for finding of Met / Not Met*' section of the report will document all findings including any issues that were considered in the formulation of a finding.

Standards for Registered Training Organisations 2015

- The evidence guidance included against 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.

REQUIREMENTS FOR A DELEGATE QUALITY ASSURANCE SYSTEM

R 1 GENERAL

To be compliant with R 1 the RTO must meet the following:

R 1.1

The quality assurance system is defined and documented, and ensures clear delineation and accountabilities of roles and responsibilities in relation to the delegated functions.

Original finding: Requirements met

Evidence guidance	Y	N
The quality assurance system is defined and documented	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The quality assurance system ensures clear delineation and accountabilities of roles and responsibilities in relation to the delegated functions	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met / Not Met:



- Hammond Institute Pty Ltd has developed a ‘*Delegation Management Handbook*’ that contains a set of policies and procedures specifically for the control of all processes associated with the Delegation Quality Assurance System.
- This ‘*Delegation Management Handbook*’ is complemented by a ‘*Responsibility and Accountability Matrix*’ that identifies and aligns each position in the organisation against each of the delegation functions.

R 1.2

The quality assurance system includes processes related to the delegated functions that ensure the effective exercise of functions, including, but not limited to processes to guide the following activities:

- Designing, planning, implementing, monitoring and reviewing the Delegate’s performance against the delegation relevant to the VET Regulator Standards and the NVETR Act**
- Managing staff competence**
- Ensuring accountability and transparency**
- Reporting obligations**
- Managing documents and records.**

Original finding: Requirements met

Evidence guidance	Y	N
The quality assurance system includes processes related to the delegated functions which ensures the effective exercise of functions	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Processes guide the following activities:		
<ul style="list-style-type: none"> designing, planning, implementing, monitoring and reviewing the Delegate’s performance against the delegation relevant to the VET Regulator Standards and the NVETR Act 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> managing staff competence 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> ensuring accountability and transparency 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> reporting obligations 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> managing documents and records 	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met / Not Met:

- The ‘*Delegation Management Handbook*’ identifies and defines the following processes associated with the effective control of the Quality Assurance System and includes controls for the above activities and others that they have identified for controlling delegation activities:
 - Responsibility and Accountability;
 - Training staff for delegation activities;
 - Version control and records management (two separate processes);
 - Continuous improvement;
 - Reporting to ASQA;
 - Internal review;
 - Determining the opportunity to modify scope;
 - Determining the educational support and LLN requirements of the course and the learners;
 - Developing training and assessment strategies;
 - Develop and/or review or obtain learning resources including assessment resources;
 - Marketing;



- Learner information and enrolment
- Create or modify credentials for qualifications and statements of attainment for the addition to scope training products;
- Learner transition;
- Monitoring the progress of activities to extend scope;
- Completing ASQAnet details;
- Confirming change to scope has been entered in training.gov.au.

R 2 MONITORING AND INTERNAL REVIEW

To be compliant with R 2 the RTO must meet the following:

R 2.1

Internal Review of the Quality Assurance System is undertaken at least annually to evaluate the system's continuing suitability and effectiveness, to ensure that the system is effectively and consistently implemented, and to ensure adherence to the delegation Agreement.

Original finding: Requirements met

Evidence guidance	Y	N
An Internal Review of the Quality Assurance System has been undertaken at least annually	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Internal Review:		
• evaluated the system's continuing suitability and effectiveness	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• ensured that the system is effectively and consistently implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• ensured adherence to the delegation Agreement	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met / Not Met:

- An Internal Review was conducted on the 20th of June 2016.
- To ensure adherence to the Delegation Agreement the 'Requirements 1 – 6' defined in Schedule 2 of the Delegation Agreement were used as the criteria for the Internal Review.
- The Internal Review identified that the controls for Records Management and Document Control had not been delineated from the RTO's Compliance Quality System.
- Consistent implementation of the Quality Assurance System is achieved by having a single source of approval, i.e. the CEO, for all requests to modify scope.

R 2.2

The Internal Review:

- Is sufficiently comprehensive and robust to identify strengths and weaknesses in the Quality Assurance System and its implementation.**
- Includes consideration of evidence gained through monitoring activities.**
- Takes into consideration a range of relevant data and sources, including internal and external stakeholder feedback.**
- Fosters the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function.**

Original finding: Requirements met

Evidence guidance	Y	N
The Internal Review:		



• was sufficiently comprehensive and robust to identify strengths and weaknesses in the Quality Assurance System and its implementation	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• included consideration of evidence gained through monitoring activities	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• took into consideration a range of relevant data and sources, including internal and external stakeholder feedback	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• fostered the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met / Not Met:

- The Internal Review was conducted against the criteria defined in Schedule 2 of the Delegation Agreement.
- The review identified a weakness in the Quality Assurance System as the controls for Records Management and Document Control had not been delineated from the RTO's Compliance Quality System for the 'Standards for Registered Training Organisations 2015'.
- The strength of the Quality Assurance System is that interviews take places with all staff who have responsibility for controls associated with delegation activities. By including them in the internal review it provides them with the opportunity to contribute to improvements in these controls even though the system may be working effectively.
- The CEO conducts the meetings that discuss and determine the opportunity to extend scope and has the authority to sign-off on each action plan for the scope extension.
- The CEO conducts monthly meetings based on the controls in the 'Monitoring the Progress of Activities to Extend Scope' procedure to ensure the activities are on track and/or approve any extra or alternative resources to ensure the planned time-frames are met.
- The scope activity is generally 'triggered' by a request from a client to meet their business needs by expanding or extending the skills and knowledge of their staff. Once the extension to scope has been effectively implemented, and the training and assessment completed, the client and the learners are surveyed to determine opportunities to improve the training and assessment processes.
- The analysis of the survey results were reviewed to determine if any trends or opportunities identified from the analysis had been entered into the Continuous Improvement System for action.

**R 2.3
The Delegate systematically acts on, monitors and evaluates improvement opportunities arising from the Internal Review.**

Original finding: Requirements met

Evidence guidance	Y	N
The Delegate has systematically acted on, monitored and evaluated improvement opportunities arising from the Internal Review	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met / Not Met:

- The internal review identified the need to delineate the document control and records management processes from the RTO compliance processes. This requirement was registered in the continuous improvement system and logged into the Continuous Improvement Register.
- The continuous improvement system contains the controls for ensuring improvements are implemented, monitored and the effectiveness of the changes evaluated.
- A 'Version Control Policy and Procedure' and a 'Records Management Policy and Procedure' have been developed and implemented
- A series of document and records registers have been developed and are accessed through 'Moodle'.



R 3 MANAGING STAFF COMPETENCE

To be compliant with R 3 the RTO must meet the following:

R 3.1

The Delegate ensures competent personnel perform the delegated functions and decisions by:

- a) Determining and monitoring the necessary competence and performance of personnel.
- b) Where applicable, providing training or taking other actions to achieve necessary competence and performance.
- c) Ensuring personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate's obligations.

Original finding: Requirements met

Evidence guidance	Y	N	N/A
The Delegate ensures competent personnel perform the delegated functions and decisions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The Delegate determines and monitors the necessary competency and performance of personnel	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The Delegate provides training or other actions to achieve necessary competence and performance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Delegate ensures personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate's obligations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

Reasons for finding of Met / Not Met:

- The creation of the 'Delegation Management Handbook' identified the range of tasks that had to be undertaken to ensure the effectiveness of the Quality Assurance System.
- Staff were informed of the importance of their activities and how their position descriptions were to be modified to contribute to their achievement of the delegation activities.
- The position descriptions describe the roles, responsibilities and the delegation activities to be undertaken
- The 'Responsibility and Accountability Matrix' identifies the position that is accountable for any specific delegation activity.
- An annual Staff Appraisal system has been implemented to monitor the necessary competence and performance of staff.
- A current example of competency acquisition involves a staff member undertaking VETtrack training.
- Professional Development activities are also conducted by consultants for the RTO and each of these events are recorded in staff training records.

R 4 ACCOUNTABILITY AND TRANSPARENCY

To be compliant with R 4 the RTO must meet the following:

R 4.1

The Delegate ensures accountability and transparency in relation to the delegated functions by:

- a) Demonstrating that quality assurance processes and decisions are consistently applied.



- b) Demonstrating that decisions made are evidence-based and are made in a manner consistent with the principles of natural justice and procedural fairness.
- c) Demonstrating that outcomes of the delegated functions and decisions lead to:
 - Quality training and assessment outcomes
 - Effectively managed transition arrangements, and
 - No disadvantage to students.
- d) Accurate and authorised information regarding the Delegation Agreement is made public.

Original finding: Requirements met

Evidence guidance	Y	N	N/A
Quality assurance processes and decisions are consistently applied	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Decisions made are evidence-based and are made in a manner consistent with the principles of natural justice and procedural fairness	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The outcomes of the delegated functions and decisions have led to:			
<ul style="list-style-type: none"> • Quality training and assessment outcomes that demonstrate compliance with the <i>Standards for Registered Training Organisations 2015</i> 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • The effective management of transition arrangements as required by the <i>Standards for Registered Training Organisations 2015</i> and the General Direction – Learner Transition 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • No disadvantage to students 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accurate and authorised information regarding the Delegation Agreement is made public	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

Reasons for finding of Met / Not Met:

- The organisation employs a 'flat' management style that ensures every person in the organisation is made aware of the decisions that are made, and can access the controls they need to carry-out their duties. The implementation of 'Moodle' has enabled Hammond Institute to use it effectively as a communication hub that is available for all staff
- The 'Delegation Management Handbook' defines a consistent approach to the management of scope activities.
- The 'Responsibility and Accountability Matrix' clearly defines the authority for each activity and the person responsible for approving each process.
- The 'Moodle' document and records register systems are available to all staff.
- The 'Standards for Registered Training Organisations 2015' audited as part of this delegation audit were all compliant.
- The Transition Planning document for CHC43115 Certificate IV in Disability contains an Action Plan comprising of a table that lists each: Transition Item; Actions Required; Accountable Person; Information Required and Guidelines; Status/Comments; and the initials of the completing person.
- One of the 'Transitions Items' in the Transition Planning Action Plan addresses the review of the status and progress of existing students and ensures they are aware of the new training product and the opportunities to complete or transition to the new training product.
- Hammond Institute Pty Ltd has chosen not to make public its Delegation Agreement.

R 5 REPORTING OBLIGATIONS

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



R 5.1
The Delegate reports regularly and within set timeframes to ensure the completeness, accuracy and currency of information on the National Register

Original finding: Requirements met

Evidence guidance	Y	N
The Delegate reports regularly and within set timeframes	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Information on www.training.gov.au is complete, accurate and current	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met / Not Met:

- The last report to ASQA regarding delegation activities was on 16th September 2016.
- The ‘*Confirming change to scope has been entered in training.gov.au*’ process defined in the ‘*Delegation Management Handbook*’ is used to ensure the RTO information on www.training.gov.au is complete, accurate and current. The CEO is responsible for carrying out this process as defined in the ‘*Responsibility and Authority Matrix*’.

R 5.2
The Delegate reports regularly and within set timeframes to ASQA including:

- **Annually in relation to the exercise of the delegated function**
- **On request**

Original finding: Requirements met

Evidence guidance	Y	N	N/A
The Delegate has reported annually in relation to the exercise of the delegated function	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The Delegate has reported any information on request of ASQA	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met / Not Met:

- The last Annual Report to ASQA was submitted on 7th March 2017.
- The only information requested by ASQA was a confirmation provided by Hammond Institute that they would not place any TAE product on scope.

R 6 MANAGING DOCUMENTS AND RECORDS
To be compliant with R 6 the RTO must meet the following:

R 6.1
The Delegate ensures that documents and records relating to the delegated functions are effectively controlled and maintained.

Original finding: Requirements met

Evidence guidance	Y	N
The Delegate ensures that documents and records relating to the delegated functions are effectively controlled and maintained	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met / Not Met:

- The ‘*Document and Records Registers*’ accessed through ‘*Moodle*’ contain all the registers that determine the range of records and documents to be maintained and their location.
- These ‘*Document and Records Registers*’ are referenced from the ‘*Version Control Policy and Procedure*’ and the ‘*Records Management Policy and Procedure*’



- The audit sampled the contents of the registers associated with staff training, minutes from meetings, continuous improvement and distribution of documents to confirm the controls had been effectively implemented.

R 6.2
The Delegate has a documented procedure that is consistently implemented that defines the controls for:

- a) **Approval, review and updating, version status, distribution of and access to documents.**
- b) **Identification, storage, protection, retrieval, retention and removal of records**

Original finding: Requirements met

Evidence guidance	Y	N
The Delegate has a documented procedure that defines the controls for the approval, review and updating, version status, distribution of and access to documents	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Delegate a documented procedure that defines the controls for the Identification, storage, protection, retrieval, retention and removal of records	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Delegate implements these procedures consistently	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of Met / Not Met:

- The *'Version Control Policy and Procedure'* contains all controls necessary for controlling the approval, review and updating, version status, distribution of and access to documents.
- The *'Records Management Policy and Procedure'* contain all controls necessary for the identification, storage, protection, retrieval, retention and removal of records.
- These procedures refer to the *'Document and Records Registers'* available through *'Moodle'*
- The audit sampled the contents of the registers associated with staff training, minutes from meetings, continuous improvement and distribution of documents to confirm the controls had been effectively implemented.



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:

Clause 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: 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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy has been consistently implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Clause 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

Evidence guidance	Y	N
For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> the existing skills, knowledge and experience of learners 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> the mode/s of delivery 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> the number of units and/or modules being delivered 	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 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

Evidence guidance	Y	N
For all training products sampled, there are sufficient:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> trainers and assessors 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> educational and support services to meet the needs of learners 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> learning resources that address the requirements of all components of the relevant training product and are accessible to all learners 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> facilities and equipment to accommodate the number of learners 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Consistency is evident between each strategy and the above resources	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 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.

Table 1.8.1 Principles of Assessment

Fairness	<p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.</p> <p>The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>
Flexibility	<p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> reflecting the learner's needs; assessing competencies held by the learner no matter how or where they have been acquired; and drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.
Validity	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance; assessment of knowledge and skills is integrated with their practical application; assessment to be based on evidence that demonstrates that a learner could



	<p>demonstrate these skills and knowledge in other similar situations; and</p> <ul style="list-style-type: none"> judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

Table 1.8.2 Rules of Evidence

Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

Original finding: Compliant

Evidence guidance	Y N
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CHC43115 Certificate IV in Disability

CHCDIS009 Facilitate ongoing skills development using a person-centred approach

CHCDIS010 Provide person-centred services to people with disability with complex needs

CHC50113 Diploma of Early Childhood Education and Care

CHCECE005 Provide care for babies and toddlers

CHCECE024 Design and implement the curriculum to foster children's learning and development

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.

Assessment 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

Clause 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

Evidence guidance

Each trainer / assessor **must meet all** requirements for each training product being delivered:



Trainer / Assessor name	Training product code/s delivered	1.13 (a)		1.13 (b)		1.13 (c)	
		Y	N	Y	N	Y	N
Devika Sharma	CHC43115 Certificate IV in Disability	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Dong Hou	CHC50113 Diploma of Early Childhood Education and Care	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 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

Evidence guidance

Y N

VET qualifications of trainers and assessors have been verified

Each trainer / assessor **must meet at least one** of the following requirements:

Trainer / Assessor name	Schedule 1 Item 1		Schedule 1 Item 2	
	Y	N	Y	N
Devika Sharma	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dong Hou	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor

Schedule 1, Item 2: A Diploma or higher level qualification in adult education

Clause 1.15

Where a person conducts assessment only, the RTO ensures that the person has:

- a) ~~prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1, or demonstrated equivalence of competencies; and~~
 b) from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.

Original finding: Not audited

Evidence guidance

Y N

The RTO uses assessors that conduct assessment only.

If no, clause is not audited. If yes:

Each assessor **must meet at least one** of the following requirements:

Assessor name	Schedule 1 Item 1		Schedule 1 Item 2		Schedule 1 Item 3	
	Y	N	Y	N	Y	N



 | |

Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor

Schedule 1, Item 2: A Diploma or higher level qualification in adult education

Schedule 1, Item 3: TAESS00001 Assessor Skill Set or its successor

Clause 1.16

The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Original finding: Compliant

Evidence guidance	Y	N
Trainers and assessors undertake professional development in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 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

Evidence guidance	Y	N
People delivering training under supervision are utilised	<input type="checkbox"/>	<input type="checkbox"/>
If no, clauses 1.17 – 1.20 are not audited, go to Clause 1.22 . If yes:		
Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14	<input type="checkbox"/>	<input type="checkbox"/>
People under supervision do not determine assessment outcomes	<input type="checkbox"/>	<input type="checkbox"/>

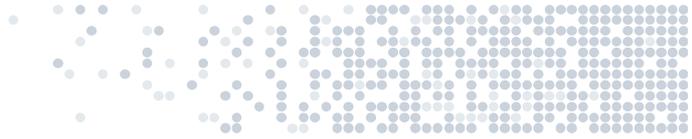
Clause 1.18

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

Evidence guidance	Y N						
Each individual who works under the supervision of a trainer must meet all requirements for each training product being delivered:							
Individual working under supervision name	Training product code/s delivered	1.18 (a)		1.18 (b)		1.18 (c)	
		Y	N	Y	N	Y	N



		<input type="checkbox"/>					
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Schedule 1, Item 4: TAESS00003 Enterprise trainer and assessor skill set or its successor, or
 TAESS00007 Enterprise trainer – presenting skill set or its successor; or
 TAESS00008 Enterprise trainer – mentoring skill set or its successor

Clause 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

Evidence guidance	Y	N
Training and assessment complies with Standard 1	<input type="checkbox"/>	<input type="checkbox"/>

Clause 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

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"/>

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

Clause 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: Compliant

Evidence guidance	Y	N	N/A
Strategies have been developed to systematically monitor third party arrangements to ensure services comply with these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The above strategies have been implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



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:

Clause 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: Compliant

Evidence guidance	Y	N	N/A
Advertising and marketing:			
• is accurate and factual	<input checked="" type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 www.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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• includes details about relevant government funding subsidies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does not guarantee that a learner:			
• will successfully complete a training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• can complete a training product in a manner not compliant with Clauses 1.1 or 1.2	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• will obtain a particular employment outcome unless this is in the control of the RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

STANDARD 5 **Each learner is properly informed and protected.**
To be compliant with Standard 5 the RTO must meet the following:

Clause 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

Evidence guidance	Y	N
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	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 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: 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 www.training.gov.au	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• currency of the training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• estimated duration of training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• location/s where training and/or assessment will be provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• mode/s of delivery	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• name and contact details of any third party providing services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• work placement arrangements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• confirmation that the RTO is responsible for compliance of training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• confirmation that the RTO is responsible for issuance of AQF certification documentation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• the learner's rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• the learner's obligation to repay any VET FEE-HELP debt	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• any entry requirements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• any materials and equipment the learner must provide	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Clause 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: Compliant

Evidence guidance	Y	N	N/A
Fees are collected from individual learners	<input checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	
• payment terms and conditions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• refund terms and conditions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• the learner’s statutory right to a cooling-off period	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Clause 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

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"/>