



Australian Government
Australian Skills Quality Authority

REPORT

Audit report: Australian Academy Pty Ltd

Date/s of audit: 27 July 2017

Date report created: 28/07/2017

Date report updated: 17/10/2017

Organisation details

Organisation's legal name:	Australian Academy Pty Ltd
Trading name/s:	Australian Nursing College
RTO number:	31716
CRICOS number:	N/A

Audit team

Lead auditor:	Seth Farrington
Assistant/s:	Mark Shrubshall

Audit details

Application number/s:	N/A
Audit number:	AUDREC0007342 , EVRREC0001464
Audit reason	Compliance - monitoring
Address of site/s visited:	10 Scarborough St, Southport QLD 4215
Date/s of audit:	27/07/2017
Organisation's contact for audit:	Ahmed Sokarno CEO ceo@australianacademy.edu.au 1300656693

Original finding at time of audit

Audit finding: Critical non-compliance

Report completed by: Seth Farrington

Practice	Standards for RTOs 2015	Finding
Marketing/Recruitment	4.1	Not compliant
Enrolment	5.1, 5.2, 5.3, 7.3	Compliant
Support and Progression	1.7	Compliant
Training and Assessment	1.1, 1.2, 1.3, 1.8, 1.13-1.18, 1.20	Not compliant
Completion	3.1	Not compliant
Regulatory Compliance / Governance	2.3, 2.4, 8.1, 8.2	Not compliant

Audit finding following analysis of additional evidence

Audit finding following analysis of additional evidence provided on 29/09/2017 : Compliant

Report completed by: Mark Shrubshall

Practice	Standards for RTOs 2015	Finding
Marketing/Recruitment	4.1	Compliant
Training and Assessment	1.1, 1.2, 1.3, 1.8, 1.13, 1.18, 1.20	Compliant
Completion	3.1	Compliant
Regulatory Compliance/Governance	2.3, 2.4, 8.2	Compliant

Background

Summary of RTO organisation and management structure:

- Australian Academy Pty Ltd became a registered training organisation on 23 December 2008.
- Ahmed Sokarno the CEO is also the CEO of Australian Colleges of Further Education RTO 31717 Cricos 03327G. The CEO is supported by a National Operations Manager, a Compliance Manager and a RTO Manager. Along with finance, marketing and administration staff and contract trainer/assessors.
 - Ahmed Sokarno – Chief executive officer
 - Neville Coward – National Operations Manager for VETEA (Umbrella for the group of which Australian Academy Pty Ltd is one) it has employment arm links to the college
 - Katia Holker – Compliance manager
 - Erica Lang – RTO Manager

Scope of RTOs registration:

- The organisation's scope consists of qualifications from the following training packages:
 - AHC Agriculture, Horticulture and Conservation and Land Management
 - BSB Business Services
 - CHC Community Services
 - CPP Property Services
 - FNS Financial Services
 - FSK Foundation Skills
 - ICT Information and communication Technology
 - SHB Hairdressing and Beauty Services
 - SIR Retail
 - SIT Tourism, Travel and Hospitality
 - TAE Training and Education

Suburb and state of all delivery sites:

- QLD – Southport, Runaway Bay and Mount Gravatt, Eagleby (Partner organisation)
- NSW – Auburn, Sydney

Third party usage:

- Loden Education – Partner based at Eagleby – Logan City

Core clients/target groups:

- New to the industry
- Already in the workforce

Training Revenue (Funded or fee for service):

- Certificate III Guarantee, User Choice and Higher Level Skills funding
- Fee for service

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

- 401

In preparing the audit report, consideration has been given and reference made, where relevant, to:

- Information provided by students as part of a student survey or interview.
- Information provided directly by Australian Academy Pty Ltd to ASQA
- Existing information and records held by ASQA concerning Australian Academy Pty Ltd
- Information provided to ASQA's auditors and documentation reviewed during the site audit of Australian Academy Pty Ltd conducted on 27 July 2017.
- Other publically available information - including but not limited to, information published on the RTO's and third party websites.

Audit Sample

Code	Training products	Mode/s of delivery / assessment*	Current enrolments
CHC50113	Diploma of Early Childhood Education and Care	Mixed	161
CHC30113	Certificate III in Early Childhood Education and Care	Mixed	13
CHC43015	Certificate IV in Ageing Support	Mixed	8
BSB50215	Diploma of business	Mixed	
FSK20113	Certificate II in Skills for Work and Vocational Pathways	Mixed	10

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

Interviewees

Name	Position	Training products
Ahmed Sokarno	Chief Executive Officer	N/A
Neville Coward	National Operations Manager for VETEA	N/A
Katia Holker	Compliance Manager	N/A
Erica Lang	RTO Manager	N/A
Melanie Hall	Loden Pty Ltd Director	N/A

About this Report

This report details findings against the *Standards for Registered Training Organisations 2015*. If non-compliance has been identified, this report describes evidence of the non-compliance.

Where non-compliance has been identified, the Registered Training Organisation is accountable for identifying and correcting non-compliant practices and behaviours, particularly those that have had a negative impact on learners.

Correcting a non-compliance may require:

- correcting a process or system that has led to the non-compliance, and implementing a revised process or system
- identifying the impact on learners and carrying out remedial action for current and past learners

Original Action required by RTO

Australian Academy Pty Ltd did not meet all requirements for clauses 1.1, 1.2, 1.3, 1.8, 1.13, 1.16, 2.3, 3.1 and 4.1

Remedial action is required for the following training products:

- **CHC50113 Diploma of Early Childhood Education and Care**
- **CHC30113 Certificate III in Early Childhood Education and Care**
 - *CHCECE005 Provide care for babies and toddlers*
- **CHC50113 Diploma of Early Childhood Education and Care**
 - *CHCECE019 Facilitate compliance in an education and care service*
 - *CHCECE024 Design and implement the curriculum to foster children's learning and development*
- **CHC30113 Certificate III in Early Childhood Education and Care**
 - *HLTAID004 Provide an emergency first aid response in an education and care setting*
- **CHC43015 Certificate IV in Ageing Support**
 - *CHCAG005 Provide support to people living with dementia*
 - *CHCPAL001 Deliver care services using a palliative approach*
- **BSB50215 Diploma of Business**
 - *BSBHRM506 Manage recruitment selection and induction processes*
 - *BSBPMPG522 Undertake project work*

The RTO is required to provide evidence that demonstrates:

Marketing/Recruitment

Clause 4.1

CHC43015 Certificate IV in Ageing Support

- The RTO's marketing practices are compliant with the requirements of the *Standards for RTOs 2015* in particular:
 - a) accurately represents the services it provides and the training products on its scope of registration

Training and Assessment

Clause 1.1 & 1.2

- That 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.
- That each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product.

- That each strategy has been consistently implemented.
- The RTO has carried out remedial action to identify and address the impact the non-compliances may have caused to learners in the sampled training products that were not provided with a sufficient amount of training to enable them to meet all the requirements of the unit of competency in which they were enrolled.

Clause 1.3

- **CHC50113 Diploma of Early Childhood Education and Care**
- **CHC30113 Certificate III in Early Childhood Education and Care**
 - The organisation has sufficient trainers and assessors to deliver the training and assessment for the above qualifications.

Clause 1.8

- That it has corrected its assessment system to comply with Clause 1.8 for future students and has strategies in place to ensure it is this system that is applied for all sampled training products (where non-compliances with Clause 1.8 was identified at audit).
- The RTO has carried out remedial action to identify and address the impact the non-compliance with Clause 1.8 may have caused to learners for all sampled training products (where non-compliances with Clause 1.8 was identified at audit). Remedial action is to cover all students who have been assessed for any of the training products sampled within the last 6 months.

Clause 1.13 & 1.16

- **CHC30113 Certificate III in Early Childhood Education and Care**
- **CHC50113 Diploma of Early Childhood Education and Care**
CHCDIV002 Promote Aboriginal and/or Torres Strait Islander safety
 - Assessment for the above unit of competency involves persons approved of by relevant local community elders.
- **CHC50113 Diploma of Early Childhood Education and Care**
- **CHC30113 Certificate III in Early Childhood Education and Care**
 - The nominated trainer/assessor have:
 - vocational competencies at least to the level being delivered and assessed;
 - current industry skills directly relevant to the training and assessment being provided
- Marcus Fergent undertakes professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Completion

Clause 3.1

- The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package.
- The RTO has carried out remedial action to identify and address the impact the non-compliance with Clause 3.1 may have caused learners for all sampled training products (where non-compliance with Clause 3.1 was identified at audit). Remedial action is to cover all students who have been issued AQF certificate documentation for any of the training products sampled within the last 6 months.

Regulatory Compliance

Clause 2.3

- That ASQA is informed of all written agreements entered into within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first in particular in relation to Loden Education.

Audit finding following analysis of additional evidence

Following analysis of additional evidence provided by Australian Academy Pty Ltd on 29/09/2017 the RTO:

provided sufficient evidence to demonstrate compliance with Clauses 1.1, 1.2, 1.3, 1.8, 1.13, 1.16, 2.3, 3.1 and 4.1

- Refer to analysis of rectification detailed under each clause in this report for further information.

Areas of non-compliance

Marketing/Recruitment Practices

Clause 4.1

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

- accurately represents the services it provides and the training products on its scope of registration;
- includes its RTO Code;
- refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;
- uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
- makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
- 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;
- 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;
- includes the code and title of any training product, as published on the National Register, referred to in that information;
- only advertises or markets a non-current training product while it remains on the RTO's scope of registration;
- 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;
- 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
- does not guarantee that:
 - a learner will successfully complete a training product on its scope of registration; or
 - a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or
 - a learner will obtain a particular employment outcome where this is outside the control of the RTO.

Findings: Non-compliant

The following evidence was reviewed in relation to marketing and recruitment:

- Marketing flyer CHC43015 Certificate IV in Ageing Support
- The RTO's marketing practices are not compliant with the requirements of the *Standards for RTOs 2015* as the marketing practises do not.
 - accurately represents the services it provides and the training products on its scope of registration;

Evidence of non-compliant marketing practice includes:

- The flyer for the above course under the course mode of delivery and duration it states the course will be delivered and assessed in 9-12 months However the training and assessment strategy states the course is delivered and assessed in 35 weeks.
- The Flyer does not advise the student of the amount of training to be provided.

These practices and behaviours are non-compliant with clause 4.1 of the *Standards for RTOs 2015*

Analysis of additional evidence

Evidence provided:

- CHC43015 Certificate IV in Ageing Support flyer
- CHC50113 Diploma of early Childhood Education and Care flyer
- CHC30113 Certificate III in Early Childhood education and Care flyer
- BSB50215 Diploma of Business flyer
- The organisation demonstrated compliance with its marketing practices in particular for CHC43015 certificate IV in Ageing Support and:
 - a) accurately represents the services it provides and the training products on its scope of registration.

Enrolment

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.

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.

Findings: Compliant

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.

Findings: Compliant

Clause 7.3

Where the RTO requires, either directly or through a third party, a prospective or current learner to prepay fees in excess of a total of \$1500 (being the threshold prepaid fee amount), the RTO must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.

Findings: Not audited

Support and Progression

Clause 1.7

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

Findings: Compliant

Training and Assessment

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.

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.

Findings: Non-compliant

CHC50113 Diploma of Early Childhood Education and Care

CHC30113 Certificate III in Early Childhood Education and Care

CHC43015 Certificate IV in Ageing Support

BSB50215 Diploma of Business

The following evidence was reviewed:

- Evidence as was appropriate for clause 1.8
- Evidence reviewed under 1.8 demonstrates training and assessment practice is not consistent with the requirements of the applicable training product.

CHC43015 Certificate IV in Ageing Support

The following evidence was reviewed:

- CHC43015 Certificate IV in Ageing Support Training and assessment strategy
- CHC43015 Certificate IV in Ageing Support & FSK20113 Certificate II in Skills for Work and Vocational pathways Training and assessment strategy combined.
- The organisation did not demonstrate that 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.
- The organisation did not demonstrate that each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product.
- The organisation did not demonstrate that each strategy has been consistently implemented.

Specifically

- The duration of the courses are not clear for example
 - The CHC43015 Certificate IV in Ageing Support training and assessment strategy states that the program is conducted for participants over 35 Weeks however the full time schedule identifies:
 - 43 Class room sessions of 5hr durations 2 days per week ($43 / 2 = 21.5$ weeks)
 - The CHC43015 Certificate IV in Ageing Support and FSK20113 Certificate II in Skills for Work and Vocational Pathways training and assessment strategy states the course is conducted for participants over 35 weeks however the full time schedule identifies:
 - 27 classroom sessions of 5 hr durations – 2 days per week ($27 / 2 = 13.5$ weeks)
- The training and assessment strategies are not clear on the amount of training that will provided for each course. The standalone CHC43015 Certificate IV in Ageing Support identifies 215 hrs of

duration however the combined CHC43015 Certificate IV in Ageing Support & FSK20113 Certificate II in Skills for Work and Vocational Pathways identifies 135 hrs of duration. Neither strategy is clear about the amount of training that will be provided.

- The training and assessment strategy does not identify the evidence gathering techniques that will be used in the assessment.
- The combined strategy for CHC43015 Certificate IV in Ageing Support & FSK20113 Certificate II in Skills for Work and Vocational Pathways includes both qualifications in the strategy however the strategy does not provide a full rationale as to the use of the FSK20113 which in turn will result in only a statement of attainment possibly being gained. FSK20113 is only used when a student requires help with the foundation skills. Generally it is only certain units that are used depending on the student need and a statement of attainment is awarded. The strategy does not provide a full explanation as to the use of the FSK20113 qualification resulting in an expectation that the full qualification will be delivered and assessed.

BSB50215 Diploma of Business

The following evidence was reviewed:

- BSB50215 Diploma of Business Training and assessment strategy
- The organisation did not demonstrate that 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.

Specifically

- The training and assessment strategy does not identify the evidence gathering techniques that will be used in the assessment.
- The training and assessment strategy identifies the full time schedule as 24 classroom sessions of 3 hr durations 1 day per week (24 X 3 = 72 hours). It is not clear how the strategy provides a sufficient amount of training to enable each learner to meet the requirements of each unit of competency to achieve the qualification. As a guide the AQF volume of learning indicators range from 1200 to 2400 hours for a diploma level qualification.
- The training and assessment strategy does not identify the evidence gathering techniques that will be used in the assessment.

CHC50113 Diploma of Early Childhood Education and Care CHC30113 Certificate III in Early Childhood Education and Care

The following evidence was reviewed:

- CHC50113 Diploma of Early Childhood Education and Care Training and assessment strategy
- CHC30113 Certificate III in Early Childhood Education and Care Training and assessment strategy
- The organisation did not demonstrate that 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.

Specifically

- The training and assessment strategy does not identify the evidence gathering techniques that will be used in the assessment.

These practices and behaviours are non-compliant with clauses 1.1 and or 1.2 of the *Standards for RTOs 2015*

Analysis of additional evidence

Evidence provided:

- CHC43015 Certificate IV in Ageing Support training and assessment strategy
- FSK20113 Certificate II in Skills for Work and Vocational Pathways training and assessment strategy

- BSB50215 Diploma of Business training and assessment strategy
- CHC50113 Diploma of early Childhood Education and Care training and assessment strategy
- CHC30113 Certificate III in Early Childhood Education and Care training and assessment strategy

CHC43015 Certificate IV in Ageing Support

- The organisation demonstrated that 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.
- The organisation demonstrated that each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product.
- The organisation demonstrated that each strategy will be consistently implemented.

BSB50215 Diploma of Business

- The organisation demonstrated that 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.

CHC50113 Diploma of Early Childhood Education and Care

CHC30113 Certificate III in Early Childhood Education and Care

- The organisation demonstrated that 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.

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.

Findings: Non-compliant

CHC30113 Certificate III in Early Childhood Education and Care

CHC50113 Diploma of Early Childhood Education and Care

CHCDIV002 Promote Aboriginal and/or Torres Strait Islander safety

The following evidence was reviewed:

- Training and assessment strategies
- Completed assessments
- The organisation was unable to provide evidence to demonstrate assessment for the above unit of competency involves persons approved of by relevant local community elders.
- All staff are aligned in the training and assessment strategies to this unit as being able to train and assess however no evidence was provided to demonstrate assessment for the above unit of competency involves persons approved of by relevant local community elders.

CHC30113 Certificate III in Early Childhood Education and Care

CHC50113 Diploma of Early Childhood Education and Care

The following evidence was reviewed:

- Evidence as was required to address requirements for clause 1.13 and 1.16
- Training and assessment strategies

- The evidence provided did not demonstrate the RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:
 - trainers and assessors to deliver the training and assessment.

- The evidence provided for 1.13 and 1.16 did not demonstrate the organisation has sufficient trainers and assessors to deliver the training and assessment for the above qualifications.

These practices and behaviours are non-compliant with clause 1.3 of the *Standards for RTOs 2015*

Analysis of additional evidence

Evidence provided:

- CHCDIV002 Promote Aboriginal and/or Torres Strait Islander cultural safety marking guide
- Feedback from the elder
- Biocultural Consulting fee schedule 20 September 2017
- Bagojei Ya Bui letter confirming involvement in CHCDIV002 Promote Aboriginal and/or Torres Strait Islander cultural safety

CHC30113 Certificate III in Early Childhood Education and Care

CHC50113 Diploma of Early Childhood Education and Care

CHCDIV002 Promote Aboriginal and/or Torres Strait Islander safety

- The organisation provided evidence to demonstrate assessment for the above unit of competency involves persons approved of by relevant local community elders.
- The organisation demonstrated how it will ensure that all trainer and assessors are provided with the relevant training with the relevant cultural organisation to enable them to deliver and assess CHCDIV002 Promote Aboriginal and/or Torres Strait Islander cultural safety.

CHC30113 Certificate III in Early Childhood Education and Care

CHC50113 Diploma of Early Childhood Education and Care

- The organisation demonstrated that it has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:
 - trainers and assessors to deliver the training and assessment.

 - The evidence provided for 1.13 and 1.16 demonstrated that the organisation has sufficient trainers and assessors to deliver the training and assessment for the above qualifications.
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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.

Findings: Non-compliant

CHC43015 Certificate IV in Ageing Support

CHCAG005 Provide support to people living with dementia

CHCPAL001 Deliver care services using a palliative approach

The following evidence was reviewed:

- Assessment tools including: Learner guide; Assessor work book; Cover sheet; Learner evidence; Learner workbook; PowerPoint slides; Session plan and version history
- Student files containing completed assessments.
- Training and assessment strategies

- The organisation did not demonstrate that it had implemented an assessment system that ensures that assessment:
 - a) Complies with the assessment requirements of the relevant training package
 - 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)

- Evidence of non-compliance practices includes:
 - The assessment tool *CHCAG005 Provide support to people living with dementia* Does not meet all the requirements of the unit for example but not limited to:
 - Knowledge evidence
 - It is not clear how the following is addressed:
 - Progression of dementia and potential impact on the person with dementia , their family and significant others, including:
 - Loss and grieving
 - Anger
 - Despair
 - Social embarrassment a family member might feel
 - Isolation
 - Financial burden on the family
 - Performance evidence
 - It is not clear how the assessment tool enables sufficient evidence to be gathered for example but not limited to:
 - The third party Observation report asks they observe the student:
 - “1 Apply person-centred care approaches to all interactions with the person living with dementia
 - The learner should be able to:
 - Apply person-centred care approaches to all interactions with a person living with dementia
 - Recognise the symptoms of each type of dementia and tailor a person-centred approach to care based on this knowledge
 - Recognise the need for a stable and familiar environment for a client to live in and help to create such an environment through a person-centred approach.”

- Insufficient information is provided for the criteria defining acceptable performance. The assessor has an observation form which is the same as the third-party report and does not provide sufficient information defining acceptable performance.
- The trainer and assessor is required to complete a checklist to determine if the third party observation has been completed correctly. The role of the third-party is not clear as to if they are reporting on the performance of the candidate in relation to their performance in the workplace or if they are assessing against the training package requirements. It is noted that the third-party report is the same as the assessor's observation sheet.
- Questions provided to the student do not enable the student to provide the required amount of information. For example, but not limited to, it is not clear in the question below if the student is required to provide 2 or 5 responses however the benchmark answer suggests there should be 5 responses:
 - Q- What are the main ethical and legal considerations that apply to work in palliative care?
 - A- Ethical and legal considerations include:
 - *Dignity of risk*
 - *Duty of care*
 - *Human rights*
 - *Privacy, confidentiality and disclosure*
 - *Work role boundaries – responsibilities and limitations.*

BSBHRM506 Manage recruitment selection and induction processes

BSBPMG522 Undertake project work

- The organisation did not demonstrate that it had implemented an assessment system that ensures that assessment:
 - a) Complies with the assessment requirements of the relevant training package
 - 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)
- The assessment tools are purchased tools and are required to be used in their entirety to enable the best opportunity for the gathering of sufficient evidence.

The tools include an observation and demonstration checklist to be used with a third party which would mean students would need to be working in industry or on a work placement. The organisation confirmed that students do not work in industry and there is no work placement. Furthermore the third party report would not be used but a simulated environment/ role play may be used as a substitute.

The assessment tools do not provided a process/mechanism for evidence to be gathered in a simulated environment/roleplay therefore the tools do not allow for sufficient evidence to be collected to meet the requirements of the training package.
- The training and assessment strategy does not provide information in the evidence gathering tool for the qualification. There is no clear alignment between the assessment tools /process possibly being used and the training and assessment strategy.
- As a result of the above the RTO did not demonstrate it will meet the principals of Assessment and Rule of Evidence

CHC50113 Diploma of Early Childhood Education and Care

CHCECE019 Facilitate compliance in an education and care service

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

CHC50113 Diploma of Early Childhood Education and Care

CHC30113 Certificate III in Early Childhood Education and Care

CHCECE005 Provide care for babies and toddlers

The following evidence was reviewed:

- Assessment tools including: Written knowledge questions; Project tasks; Observation checklists for practical tasks; Workplace supervisor reports; Marking guides and Prac hours register
- Student files containing completed assessments.

- The evidence provided did not demonstrate the organisation has implemented an assessment system that ensures that assessment:
 - a) Complies with the assessment requirements of the relevant training package
 - 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)
- Analysis of these materials determined the practical assessment tools do not provide clear instruction to the assessor to ensure valid and sufficient evidence will be collected. The tools require the assessor to record significant comments about performance yet instructions do not give guidance to the assessor of the performance level required.
- Furthermore, the practical assessment tools lack clear guidance of the performance level required. As a consequence this lack of guidance does not ensure performance standards are consistent with the requirements of the training package and therefore does not ensure assessment is conducted consistently and reliably across a range of assessors and learners. For example analysis of completed assessment materials demonstrates:
 - The Workplace supervisor report has not been consistently completed by the supervisor assessor across a range of students. In the majority of cases the supervisor has only marked a 'S' for satisfactory but has not included evidence of the students capability to complete any task. As a consequence the tool does not provide valid evidence to support judgement concerning unit of competency requirements.
 - The Marking sheet is more a summary of the portfolio of written evidence provided by the student of activities completed in the workplace. However there is no evidence that supports that actual practice was sighted by the assessor in an approved childcare service.
 - For CHCECE019 there was no record of demonstrated evidence of facilitating a self-assessment, of developing at least one quality improvement plan that included evidence of consulting with at least one other educator or service coordinator to review the plan
 - For CHCCECE024 there was no analysis of how the evidence demonstrates 'Element Design and implement curriculum in consultation with others' which requires evidence of consultation with children and families about the curriculum and evidence of designing and implementing curriculum that reflect the philosophy of the service
 - For CHCECE005 there was no record of the demonstrated evidence of providing care for (3) baby/toddler and how the evidence provided addresses performance evidence requirements.
 - It is evident these deficiencies in the assessment system is directly related to the insufficient guidance provided to the assessor.
- Additionally, the assessment materials do not include a mechanism to record evidence of the candidate's demonstrated capability concerning Performance Evidence requirements, nor is there a mechanism to ensure assessment involves the sufficient recording of an assessor's critical analysis of evidence of why the evidence suggests/supports competence concerning addressing Performance Evidence requirements.
- Therefore due to these deficiencies the evidence provided demonstrates the organisation has not ensured assessment complies with the assessment requirements of the CHC Community Services Training Package.

"The example(s) listed above provide guidance on the areas of non-compliance identified and are not a full list of each unit of competency requirements that have not been met. The organisation is responsible for providing evidence that demonstrates all units of competency requirements are met"

CHC30113 Certificate III in Early Childhood Education and Care

HLTAID004 Provide an emergency first aid response in an education and care setting

The following evidence was reviewed:

- Assessment tools including: Written theory test; Written scenarios; Practical demonstrations – scenario X 7; Observation checklists; Written exam; marking guide
- Student files containing completed assessments.
- The evidence provided did not demonstrate the organisation has implemented an assessment system that ensures that assessment:
 - a) Complies with the assessment requirements of the relevant training package

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)

- The practical scenarios outline the issue – as a result the student does not respond to the situation and therefore the student is not required to deal with an emergency response.
- Furthermore as the instructions to the assessor do not clearly articulate the setup of the practical assessment task or for the conducting of the activities the assessment system does not ensure valid and sufficient evidence will be collected. Additionally due to this lack of instruction regarding the conducting of the task the assessment system does not ensure the activity is an assessment task and not a training activity.
- Therefore due to these deficiencies the evidence provided demonstrates the organisation has not ensured assessment complies with the assessment requirements of the unit of competency.

“The example(s) listed above provide guidance on the areas of non-compliance identified and are not a full list of each unit of competency requirements that have not been met. The organisation is responsible for providing evidence that demonstrates all units of competency requirements are met”

These practices and behaviours are non-compliant with clause 1.8 of the *Standards for RTOs 2015*

Analysis of additional evidence

Evidence provided:

- CHCAGE005 Provide support to people living with dementia (mapping tool)
- CHCAGE005 Provide support to people living with dementia (assessor guide assignment)
- CHCAGE005 Provide support to people living with dementia (assessor guide practical observations)
- CHCAGE005 Provide support to people living with dementia (assessor guide workplace portfolio)
- CHCAGE005 Provide support to people living with dementia (assessor guide written test)
- Validation Planner
- Trainer and Assessor RPL Kit CHC43015 Certificate IV in Ageing Support
- BSBHRM506 Manage recruitment, selection and induction processes (mapping guide)
- BSBPMG522 Undertake project work (mapping guide)
- BSBHRM506 Manage recruitment, selection and induction processes(student instructions)
- BSBHRM506 Manage recruitment, selection and induction processes (marking checklist)
- BSBHRM506 Manage recruitment, selection and induction processes (benchmark trainer)
- BSBPMG522 Undertake project work (assignment student instructions part one)
- BSBPMG522 Undertake project work (assignment student instructions part two)
- BSBPMG522 Undertake project work (assignment benchmarks)
- CHCECE005 provide care for babies and toddlers (mapping tool)
- CHCECE005 provide care for babies and toddlers (assessor guide assignment)
- CHCECE005 provide care for babies and toddlers (assessor guide workplace portfolio)
- CHCECE005 provide care for babies and toddlers (log book)
- HLTAID004 Provide an emergency first aid response in an education and care setting (practical assessment)
- Policy development and compliance (CHCECE019 & CHCPOL002)
- Policy development and compliance (CHCECE019 & CHCPOL002) assessor guide assignment : written questions
- Development and curriculum cluster mapping tool (CHCECE017, CHCECE022, CHCECE024)
- Development and curriculum cluster assessor guide (CHCECE017, CHCECE022, CHCECE024)
- Management meeting minutes
- Remedial action letter CHC30113 Certificate III in Early Childhood Education and Care student letter re additional assessment/observation.
- Remedial action letter CHC50113 Diploma of early Childhood Education and Care student letter re additional assessment/observation.
- Analysis of past students and remedial action required.

CHC43015 Certificate IV in Ageing Support

CHCAGE005 Provide support to people living with dementia

CHCPAL001 Deliver care services using a palliative approach

- The organisation demonstrated that it has implemented an assessment system that ensures that assessment:
 - a) Complies with the assessment requirements of the relevant training package
 - 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)

BSBHRM506 Manage recruitment selection and induction processes

BSBPMG522 Undertake project work

- The organisation demonstrated that it has implemented an assessment system that ensures that assessment:
 - a) Complies with the assessment requirements of the relevant training package
 - 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)

CHC50113 Diploma of Early Childhood Education and Care

CHCECE019 Facilitate compliance in an education and care service

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

CHC50113 Diploma of Early Childhood Education and Care

CHC30113 Certificate III in Early Childhood Education and Care

CHCECE005 Provide care for babies and toddlers

- The organisation demonstrated that it has implemented an assessment system that ensures that assessment:
 - a) Complies with the assessment requirements of the relevant training package
 - 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)

CHC30113 Certificate III in Early Childhood Education and Care

HLTAID004 Provide an emergency first aid response in an education and care setting

- The organisation demonstrated it has implemented an assessment system that ensures that assessment:
 - a) Complies with the assessment requirements of the relevant training package
 - 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)

 - The RTO has carried out remedial action to identify and address the impact the non-compliance with Clause 1.8 may have caused to learners for all sampled training products (where non-compliances with Clause 1.8 was identified at audit). Remedial action covers all students who have been assessed for any of the training products sampled within the last 6 months.
-

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.

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.

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.

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.

Findings: Non-compliant

CHC50113 Diploma of Early Childhood Education and Care

CHC30113 Certificate III in Early Childhood Education and Care

The following evidence was reviewed:

- Trainer assessor HR files
- The evidence provided did not demonstrate the RTO's training and assessment is delivered only by persons who have:
 - current industry skills directly relevant to the training and assessment being provided; and
 - current knowledge and skills in vocational training and learning that informs their training and assessment.
- The evidence provided for Pritika Prasad did not demonstrate current industry skills related to the childcare industry. The most recent childcare industry experience is for October 2013 to April 2014; March 2006 – December 2009 (NSW) prior to that experience is in Fiji.
- The evidence provided for Nirmala Savio did not demonstrate current industry skills related to the childcare industry. The most recent childcare industry experience is June 2012 to May 2014 Child care educator Angles long day care Mount Druitt.
- The evidence provided for Zaiba Kahn did not demonstrate current industry skills related to the childcare industry.
- The evidence provided did not demonstrate 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
- No evidence was provided to demonstrate Marcus Fergent undertakes professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

These practices and behaviours are non-compliant with clauses 1.13, 1.3, and 1.16 of the *Standards for RTOs 2015*

Analysis of additional evidence

Evidence provided:

- Pritika Prasad professional development log
- Pritika Prasad industry letter
- Nirmala Savio professional development log
- Nirmala Savio industry letter
- Zaiba Khan professional development log
- Marcus Fegent professional development log
- Marcus Fegent VET professional development
- Biocultural Consulting Cultural Workshop – fee schedule
- Letter from Bagojei Ya Bui elder re involvement with resources and running a workshop

CHC50113 Diploma of Early Childhood Education and Care
CHC30113 Certificate III in Early Childhood Education and Care

Trainers and assessors:

- Pritika Prasad
 - Nirmala Savio
 - Zaiba Kahn
 - Marcus Fegent
- The organisation demonstrated that training and assessment is delivered only by persons who have:
 - current industry skills directly relevant to the training and assessment being provided; and
 - current knowledge and skills in vocational training and learning that informs their training and assessment.
 - undertake professional development
 - **CHC30113 Certificate III in Early Childhood Education and Care**
 - **CHC50113 Diploma of Early Childhood Education and Care**
CHCDIV002 Promote Aboriginal and/or Torres Strait Islander safety
 - The organisation demonstrated that assessment for the above unit of competency will involve persons with the knowledge and support of relevant local community elders.

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.

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.

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.

Findings: Not audited

Completion

Clause 3.1

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

Findings: Non-compliant

The following evidence was reviewed in relation to the issuance of AQF certification documentation:

- Completed assessments
- Completion data provided by the RTO prior to the site audit
- Master assessment tools

- The RTO's practices in relation to learner completion are not compliant with the requirements of the *Standards for RTOs 2015*, as it has issued AQF certification documentation to learners where the evidence did not support and confirm that the learners had been fully assessed as meeting the requirements of the training product as specified in the relevant training package.

Evidence of non-compliant practice includes:

- As non-compliance was identified with the assessment requirements of Clause 1.8 with regard to completed candidate assessments, the RTO has not ensured its learners have addressed the requirements of the training product as specified in the relevant training package.

These practices and behaviours are non-compliant with clause 3.1 of the *Standards for RTOs 2015*

Analysis of additional evidence

Evidence provided:

- Amended assessment tools
- Management meeting minutes
- Remedial action letter CHC30113 Certificate III in Early Childhood Education and Care student letter re additional assessment/observation.
- Remedial action letter CHC50113 Diploma of early Childhood Education and Care student letter re additional assessment/observation.
- Analysis of past students and remedial action required

- The RTO demonstrated that it will issue AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package.
- The RTO has carried out remedial action to identify and address the impact the non-compliance with Clause 1.8 may have caused to learners for all sampled training products (where non-

compliances with Clause 1.8 was identified at audit). Remedial action covers all students who have been assessed for any of the training products sampled within the last 6 months.

Regulatory Compliance / Governance

Clause 2.3

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

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.

Findings: Non-compliant

The following evidence was reviewed:

- Written agreement between Australian Academy Pty and Loden Education for the provision of training and assessment related services.
- The organisation did not demonstrate that ASQA has been informed of all written agreements entered into within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first in particular in relation to Loden Education.

These practices and behaviours are non-compliant with clauses 2.3 of the *Standards for RTOs 2015*

Analysis of additional evidence

Evidence provided:

- Copy of response from ASQA confirming notification of third party service agreement on the 1/9/2017
- The organisation demonstrated that ASQA has been informed of all written agreements entered into in particular in relation to Loden Education.

Clause 8.1

The RTO cooperates with the VET Regulator:

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

Clause 8.2

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

- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- b) in the conduct of audits and the monitoring of its operations.

Findings: Compliant