



REPORT

Audit report: Orion Training and Performance Management Pty Ltd

RTO number:	30915
CRICOS number:	N/A
Date/s of audit:	09/07/2019-10/07/2019
Date report created:	9 July 2019

Organisation details

Organisation's legal name:	Orion Training and Performance Management Pty Ltd
Trading name/s:	Orion Training
RTO number:	30915
CRICOS number:	N/A

Audit team

Lead auditor:	Tegan Watson
Assistant/s:	N/A

Audit details

Application number/s:	N/A
Audit number/s:	AUDREC0009449
Audit reason/s:	Compliance Monitoring – Complaint
Address of site/s visited:	Unit 8A / 44 Station Rd YEERONGPILLY QLD 4105 Australia
Date/s of audit:	09/07/2019-10/07/2019
Organisation's contact for audit:	Suzanne Manwill CEO suzanne@oriontraining.edu.au 07 3392 7055

Original finding at time of audit

Audit finding: Serious non-compliance

Report completed by: Tegan Watson

Practice	Standards for RTOs	Finding
Marketing/Recruitment Practices	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*, 1.14, 1.15, 1.16, 1.17, 1.18, 1.20	Not compliant
Completion	3.1*	Not compliant
Regulatory Compliance / Governance	2.3, 2.4*, 8.2, 8.3, 8.5	Not compliant

*Indicates a non-compliant clause

Background

Summary of organisation and management structure:

- The RTO gained initial registration in July 2003. The RTO consists of the CEO Suzanne Manwill, a client liaison manager, marketing co-ordinator, administration staff and contract trainers and assessors.

Scope of organisation's registration:

- The RTO scope of registration includes qualifications from the BSB, CHC, FNS, FSK, MSM, MSS, SIR and SIT training packages and a number of skill sets.

Suburb and state of all delivery sites:

- Queensland based training and assessment, the RTO operates in various regional Queensland areas and conducts workplace delivery and one on one training.

Third party usage:

- The RTO has currently five (5) written agreements with third parties:
 - Envizion
 - Marketing R Us
 - Tina Joester
 - Clearview
 - Kick it out

Core clients/target groups:

- Unskilled workers
- Clients from Job Service Agencies
- Skilled workers
- Those new to the industry

Training Revenue (Funded or fee for service):

- The RTO has a mixture of funding and fee for service.

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

- As of 9 July 2019 the RTO's current enrolments is 399 student across their scope of registration.

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 Orion Training and Performance Management Pty Ltd to ASQA.
- Existing information and records held by ASQA concerning Orion Training and Performance Management Pty Ltd.
- Information provided to ASQA's auditors and documentation reviewed during the site audit of Orion Training and Performance Management Pty Ltd conducted on 09/07/2019-10/07/2019.
- Other publicly available information - including but not limited to, information published on the organisation's and third-party websites.

Audit Sample

Training Products	Mode/s of delivery/assessment*	Current enrolments
<i>SIT20316 Certificate II in Hospitality</i>	Mixed	10
<i>CHC30113 Certificate III in Early Childhood Education and Care</i>	Mixed	2
<i>CHC33015 Certificate III in Individual Support</i>	Mixed	13
<i>BSB30115 Certificate III in Business</i>	Mixed	58
<i>CHC32015 Certificate III in Community Services</i>	Mixed	28
<i>FSK20113 Certificate II in Skills for Work and Vocational Pathways</i>	Mixed	27
<i>SIR20216 Certificate II in Retail Services</i>	Mixed	1

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

Interviewees

Name	Position	Training products
Suzanne Manwill	CEO	N/A
Jennifer Montague	Client Liaison Manager	N/A
Tina Bergin	Marketing Co-ordinator	N/A

About this Report

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

Orion Training and Performance Management Pty Ltd did not meet all requirements for clauses 4.1, 1.1, 1.2, 1.8, 1.13, 3.1 and 2.4.

Remedial action is required for the following training products:

- SIT20316 Certificate II in Hospitality
- CHC30113 Certificate III in Early Childhood Education and Care
- CHC33015 Certificate III in Individual Support
- BSB30115 Certificate III in Business
- CHC32015 Certificate III in Community Services
- FSK20113 Certificate II in Skills for Work and Vocational Pathways
- SIR20216 Certificate II in Retail Services

The organisation is required to provide evidence that demonstrates:

Marketing and recruitment

Standards for RTOs Clause 4.1

- all information, whether disseminated directly by the organisation or on its behalf by third parties is now accurate and factual and addresses all of the requirements specified in Standards for RTOs Clause 4.1

Training and assessment

Standards for RTOs Clause 1.1 and 1.2

- the organisation has corrected its training and assessment practices for future students to ensure they meet the requirements of the training product, including the amount of training provided
- the organisation carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were impacted by training and assessment practices that did not meet the requirements of the training product (including amount of training). Remedial action needs to cover current students and students who enrolled or completed with your organisation in the past three months.

Standards for RTOs Clause 1.8

- the organisation has corrected its assessment system (to comply with Clause 1.8) for future students and has systems in place to ensure it is this system that is applied. The evidence to be provided must:
 - include the full suite of assessment tools (including RPL) for each unit of competency identified as non-compliant
 - demonstrate the organisation will implement an assessment system that ensures assessment:
 - complies with the assessment requirements of the relevant training product(s)
 - will be conducted in accordance with the Principles of Assessment and Rules of evidence.
- the organisation has carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were assessed in a manner that did not meet the requirements of Clause 1.8. Remedial action needs to cover current students and students who were assessed by your organisation in the past three months.

Standards for RTOs Clauses 1.13

- the organisation now has appropriate processes to ensure it only uses trainers/assessors meet the requirements of the standards to provide training and assessment (Clause 1.13-1.20)
- the trainers/assessors currently used by the organisation meet the requirements of the standards (Clause 1.13-1.20)

Completion

Standards for RTOs Clause 3.1

- the organisation now has appropriate systems that are followed to ensure AQF certification documentation is only issued to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training or VET accredited course
- the organisation has carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were issued with AQF certification documentation and were not assessed as meeting the requirements of the training product as specified in the relevant training or VET accredited course. Remedial action needs to cover students issued with AQF certification in the past three months.

Regulatory compliance and governance

Standards for RTOs Clause 2.4

- the organisation now has an appropriate strategy that is followed to systematically monitor any services being delivered on its behalf to comply with Standards for RTOs Clause 2.4

Areas of non-compliance

Marketing/Recruitment Practices

Standards for RTOs Clause 4.1

*Original Finding: **Not compliant***

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.

- The following evidence was reviewed:
 - Qualification Information packs
 - Envizion Marketing materials (third party)
- The organisation's marketing material contains misleading information. For example, but not limited to:
 - The RTO's information packs states "Orion Training has a recommended course outline as stated below", however many of the information packs list all the unit options as listed on Training.gov.au. Therefore it could be misleading to potential student as to how many and what units they will complete in the qualification.
- The organisation's third party marketing material contains false and/or misleading information. For example, but not limited to:
 - The Envizion marketing flyer for 'CHC32015 community services July 2019' states "First aid/CPR certificate" however the listed units within the flyer would not provide students with a First aid or CPR certificate from the RTO. Discussion at audit identified that Envizion partner with another RTO to deliver the first aid and CPR certificates, however the flyer is unclear as to who the issuing RTO is for the qualification and units of competency.

Training and Assessment

Training Delivery and Assessment

Standards for RTOs Clause 1.1

Original Finding: Not compliant

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.

Standards for RTOs Clause 1.2

Original Finding: Not compliant

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.

SIT20316 Certificate II in Hospitality

CHC30113 Certificate III in Early Childhood Education and Care

CHC33015 Certificate III in Individual Support

BSB30115 Certificate III in Business

CHC32015 Certificate III in Community Services

FSK20113 Certificate II in Skills for Work and Vocational Pathways

SIR20216 Certificate II in Retail Services

- The following evidence was reviewed:
 - Training and assessment strategies for the above listed qualifications
 - Training support plans
- The organisation's documented training and assessment strategies does not define an amount of training which enables each student to meet the requirements for each unit of competency in which they are enrolled. For example, but not limited to:
 - A number of the strategies include training and assessment schedules for the course duration, three options are provided for a service level to be delivered, which includes:
 - Service level one (1): To which includes 8 workplace visits at 2 hours each (training and assessment)
 - Service level two (2): To which includes 5 workplace visits at 2 hours (training and assessment)
 - Service level three (3): Which includes no workplace visits
 - No other amount of training is identified.
 - Discussion at audit with the CEO, the RTO identified that they are providing more training, however no indication within the training and assessment strategies as to what the amount of training is, that at a minimum students will receive.
- The organisation has not demonstrated how the amount of training has been determined as sufficient with regard to the mode of delivery.
- The organisation has not demonstrated how the amount of training has been determined as sufficient with regard to the students' existing skills, knowledge and experience.

Standards for RTOs Clause 1.8

Original Finding: Not compliant

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 demonstrate these skills and knowledge in other similar situations; and• judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
Reliability	<p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.</p>

Table 1.8.2 Rules of Evidence

Validity	<p>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.</p>
Sufficiency	<p>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.</p>
Authenticity	<p>The assessor is assured that the evidence presented for assessment is the learner's own work.</p>
Currency	<p>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.</p>

SIT20316 Certificate II in Hospitality

CHC30113 Certificate III in Early Childhood Education and Care

CHC33015 Certificate III in Individual Support

BSB30115 Certificate III in Business

CHC32015 Certificate III in Community Services

FSK20113 Certificate II in Skills for Work and Vocational Pathways

SIR20216 Certificate II in Retail Services

- The following analysis provides guidance on the areas of non-compliance. Examples of non-compliances are provided however, this is not an exhaustive list. It is the organisation's responsibility to review the assessment system for each unit of competency for all non-compliances identified below and provide evidence:
 - of a revised assessment system for each unit of competency listed below that addresses all requirements of Clause 1.8.
 - that confirms students were assessed as meeting all the requirements of the training product(s) in which they were enrolled.

SIT20316 Certificate II in Hospitality

SITHIND003 Use hospitality skills effectively

SITHFAB005 Prepare and serve espresso coffee

- The following evidence was reviewed:
 - Assessments/Marking guides
 - Mapping documents
 - Completed student assessment

Evidence of non-compliant assessment practice includes:

SITHIND003 Use hospitality skills effectively

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tool component for the 'practical application of skills and knowledge' is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and evidence gathered. The component is a checklist with instructions to student that states "write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace. Your assessor will assess the response you provide and confirm the detail with you and your supervisor".
 - Knowledge Evidence:
 - The assessment tool is not a sufficient mechanism to ensure that all students are assessed on and evidence gathered for the following knowledge evidence requirements. For example, but not limited to:
 - Common operational tasks:
 - communicating orders to the kitchen
 - ordering stock
 - preparing rooms for guests
 - processing financial transactions
 - providing porting services
 - selling and preparing drinks
 - selling gaming tickets
 - serving food and beverage
 - taking orders

SITHFAB005 Prepare and serve espresso coffee

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tool component for the 'practical application of skills and knowledge' is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and evidence gathered. The component is a checklist

with instructions to student that states “write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace. Your assessor will assess the response you provide and confirm the detail with you and your supervisor”.

- Knowledge Evidence:
 - The assessment tool is not a sufficient mechanism to ensure that all students are assessed on and evidence gathered for the following knowledge evidence requirements. For example, but not limited to:
 - available options to meet specific customer preferences relating to:
 - accompaniments
 - blends
 - service-ware
 - strength
 - sweeteners
 - type of:
 - beans
 - milk
 - factors relevant to quality of espresso coffee:
 - ambient humidity
 - consistency of used coffee grounds
 - crema on top of the espresso
 - quality and rate of espresso flow
 - steam pressure during foaming and steaming of milk
 - taste
- The assessment practices for the following students do not confirm the organisation conducted adequate assessment of the students that ensured they were competent against all requirements of the training product and that the assessment was conducted in accordance with the Principles of Assessment and the Rules of Evidence. For example, but not limited to:
 - BL
 - NA
 - Practical Checklists – tool for practical tasks did not ensure assessment involves the sufficient recording of an assessor’s critical analysis of the evidence provided and the specific recording of their judgement based on that critical analysis of evidence i.e. why the evidence suggests/supports competence.

CHC30113 Certificate III in Early Childhood Education and Care

CHCDIV002 Promote Aboriginal and/or Torres Strait Islander cultural safety

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

- The following evidence was reviewed:
 - Assessments/Marking guides
 - Mapping documents

Evidence of non-compliant assessment practice includes:

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

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tools component for the practical application are not a valid or sufficient mechanisms to ensure that all performance evidence requirements of the unit of competency is being assessed and gathered. For example, but not limited to:
 - Followed DRSABCD in line with ARC guidelines, including:
 - Performed at least 2 minutes of uninterrupted single rescuer CPR (5 cycles both compressions and ventilations) on a child resuscitation manikin placed on the floor

- Applied first aid procedures for the following:
 - o head injuries
 - o poisoning
 - o seizures & convulsions, including febrile convulsions and epilepsy
- o Knowledge Evidence:
 - The assessment tool is not a sufficient mechanism to ensure that all students are assessed on and evidence gathered for the following knowledge evidence requirements. For example, but not limited to:
 - first aid requirements for services under the Education and Care Services National Law
 - legal, workplace and community considerations, including:
 - o awareness of potential need for stress-management techniques and available support following an emergency situation, including the psychological impact on children
 - considerations when providing first aid including:
 - o specific considerations when using an AED on children aged between 1 and 8 years, including identification of AED with paediatric capability, paediatric voltage and use of paediatric pads
 - basic anatomy and physiology relating to:
 - o basic anatomical differences between adults and children, and the implications for provision of first aid
 - o normal clinical values for children
- Authenticity and Currency - the assessment tools provided for intended delivery is not a sufficient mechanism to ensure the RTOs ability to confirm the authenticity of the student's own work and currency. For example, but not limited to:
 - o The practical assessment tools do not contain any information regarding dates of assessment, areas for signatures to be placed or any further details apart from a checklist.

CHCDIV002 Promote Aboriginal and/or Torres Strait Islander cultural safety

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - o Performance Evidence:
 - The assessment tool component for the 'practical application of skills and knowledge' is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and gathered. The component is a checklist with instructions to student that states "write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace. Your assessor will assess the response you provide and confirm the detail with you and your supervisor". Specifically the performance evidence requirement for students to demonstrate skills for:
 - promoted Aboriginal and/or Torres Strait Islander cultural safety in the context of at least 1 workplace
 - o Assessment conditions:
 - The assessment conditions in the unit of competency states that assessment must involve persons approved of by relevant local community elders. During audit the RTO stated they have had the assessment approved in the Cairns area (no current delivery). The RTO provided a letter as evidence from Norma Tranby (third party trainer for the RTO), that stated "As a local community elder involved in the enhancement and use of Orion's learning and assessment tools developed for CHCDIV002, I agree that the materials are culturally appropriate and I approve of their use in the delivery of this unit of competency". Attached to the letter was a "Confirmation of Aboriginality", when questioned at the audit if Norma Tranby was a community elder the RTO phoned Norma and allowed the auditor to speak with her. Norma stated to the auditor that she cannot self-appoint herself as an elder, however she is the eldest in her clan, when asked by the auditor if she was an approved community elder her response was no. Therefore unable to determine if assessment will be delivered in accordance with the assessment conditions.

CHC33015 Certificate III in Individual Support

CHCDIV001 Work with diverse people

CHCCCS011 Meet personal support needs

- The following evidence was reviewed:
 - Assessments/Marking guides
 - Mapping documents
 - Completed student assessment

Evidence of non-compliant assessment practice includes:

CHCDIV001 Work with diverse people

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tool component for the 'practical application of skills and knowledge' is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and gathered. The component is a checklist with instructions to student that states "write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace. Your assessor will assess the response you provide and confirm the detail with you and your supervisor".
 - Knowledge Evidence:
 - The assessment tool is not a sufficient mechanism to ensure that all students are assessed on and evidence gathered for the following knowledge evidence requirements. For example, but not limited to:
 - own culture and the community attitudes, language, policies and structures of that culture and how they impact on different people and groups
 - features of diversity in Australia and how this impacts different areas of work and life:
 - political
 - social
 - economic
 - cultural

CHCCCS011 Meet personal support needs

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tool component for the 'practical application of skills and knowledge' is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and gathered. The component is a checklist with instructions to student that states "write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace. Your assessor will assess the response you provide and confirm the detail with you and your supervisor".
 - Knowledge Evidence:
 - The assessment tool is not a sufficient mechanism to ensure that all students are assessed on and evidence gathered for the following knowledge evidence requirements. For example, but not limited to:
 - features, functions and safe use of equipment and aids used in provision of personal support and devices used by the person including the importance of adjusting equipment and aids to the needs of the individual
 - techniques for completing physical support routines
 - infection control procedures

- The assessment practices for the following students do not confirm the organisation conducted adequate assessment of the students that ensured they were competent against all requirements of the training product and that the assessment was conducted in accordance with the Principles of Assessment and the Rules of Evidence. For example, but not limited to:
 - MN
 - CJC
 - Practical Checklists – tool for practical tasks did not ensure assessment involves the sufficient recording of an assessor’s critical analysis of the evidence provided and the specific recording of their judgement based on that critical analysis of evidence i.e. why the evidence suggests/supports competence.

BSB30115 Certificate III in Business

BSBCUS301 Deliver and monitor a service to customers

BSBDIV301 Work effectively with diversity

- The following evidence was reviewed:
 - Assessments/Marking guides
 - Mapping documents
 - Completed student assessment

Evidence of non-compliant assessment practice includes:

BSBCUS301 Deliver and monitor a service to customers

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tool component for the ‘practical application of skills and knowledge’ is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and gathered. The component is a checklist with instructions to student that states “write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace. Your assessor will assess the response you provide and confirm the detail with you and your supervisor”.

BSBDIV301 Work effectively with diversity

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tool component for the ‘practical application of skills and knowledge’ is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and gathered. The component is a checklist with instructions to student that states “write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace. Your assessor will assess the response you provide and confirm the detail with you and your supervisor”.
 - Knowledge Evidence:
 - The assessment tool is not a sufficient mechanism to ensure that all students are assessed on and evidence gathered for the following knowledge evidence requirements. For example, but not limited to:
 - explain the value of diversity to the economy and society in terms of:
 - workforce development
 - Australia’s place in the global economy
 - innovation
 - social justice
- The assessment practices for the following students do not confirm the organisation conducted adequate assessment of the students that ensured they were competent against all requirements of the training product and that the assessment was conducted in accordance with the Principles of Assessment and the Rules of Evidence. For example, but not limited to:

- PC
- SW
- FB
- AA

- Practical Checklists – tool for practical tasks did not ensure assessment involves the sufficient recording of an assessor’s critical analysis of the evidence provided and the specific recording of their judgement based on that critical analysis of evidence i.e. why the evidence suggests/supports competence.

CHC32015 Certificate III in Community Services

CHCCCS016 Respond to client needs

CHCDIS007 Facilitate the empowerment of people with disability

- The following evidence was reviewed:
 - Assessments/Marking guides
 - Mapping documents
 - Completed student assessment

Evidence of non-compliant assessment practice includes:

CHCCCS016 Respond to client needs

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tool component for the ‘practical application of skills and knowledge’ is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and gathered. The component is a checklist with instructions to student that states “write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace”.

CHCDIS007 Facilitate the empowerment of people with disability

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tool component for the ‘practical application of skills and knowledge’ is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and gathered. The component is a checklist with instructions to student that states “write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace. Your assessor will assess the response you provide and confirm the detail with you and your supervisor”.
 - Knowledge Evidence:
 - The assessment tool is not a sufficient mechanism to ensure that all students are assessed on and evidence gathered for the following knowledge evidence requirements. For example, but not limited to:
 - types of disability, including:
 - acquired brain injury
 - autism spectrum disorder
 - cognitive disability
 - developmental delay
 - intellectual disability
 - neurological impairment
 - physical disability
 - sensory disability, including hearing, vision impairment
 - speech/language disability
 - support practices for people, including but not limited to, the following conditions:
 - genetic factors

- physical trauma
 - psychological trauma
 - chronic lifestyle conditions
 - acquired brain injury
- principles of:
 - empowerment
 - rights-based approaches
 - person-centred practices
 - self-advocacy
 - active support
 - active listening
 - social justice, and the importance of knowing and respecting each person as an individual
 - strengths-based approaches
- The assessment practices for the following students do not confirm the organisation conducted adequate assessment of the students that ensured they were competent against all requirements of the training product and that the assessment was conducted in accordance with the Principles of Assessment and the Rules of Evidence. For example, but not limited to:
 - NW
 - Practical Checklists – tool for practical tasks did not ensure assessment involves the sufficient recording of an assessor’s critical analysis of the evidence provided and the specific recording of their judgement based on that critical analysis of evidence i.e. why the evidence suggests/supports competence.

FSK20113 Certificate II in Skills for Work and Vocational Pathways

FSKDIG03 Use digital technology for routine workplace tasks

FSKOCM07 Interact effectively with others at work

- The following evidence was reviewed:
 - Assessments/Marking guides
 - Mapping documents
 - Completed student assessment

Evidence of non-compliant assessment practice includes:

FSKDIG03 Use digital technology for routine workplace tasks

FSKOCM07 Interact effectively with others at work

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tool component for the ‘practical application of skills and knowledge’ is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and gathered. The component is a checklist with instructions to student that states “write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace. Your assessor will assess the response you provide and confirm the detail with you and your supervisor”.
- The assessment practices for the following students do not confirm the organisation conducted adequate assessment of the students that ensured they were competent against all requirements of the training product and that the assessment was conducted in accordance with the Principles of Assessment and the Rules of Evidence. For example, but not limited to:
 - MF
 - Practical Checklists – tool for practical tasks did not ensure assessment involves the sufficient recording of an assessor’s critical analysis of the evidence provided and the specific recording of their judgement based on that critical analysis of evidence i.e. why the evidence suggests/supports competence.

- MB
 - Practical Checklists – tool for practical tasks did not ensure assessment involves the sufficient recording of an assessor’s critical analysis of the evidence provided and the specific recording of their judgement based on that critical analysis of evidence i.e. why the evidence suggests/supports competence.
 - Completed assessment tool for FSKDIG03 Use digital technology for routine workplace tasks contained different handwriting within the final project, written questions and the practical application of skills and knowledge, therefore unable to confirm authenticity of the completed assessments.
 - Within the final project section of the completed assessment for FSKOCM07 Interact effectively with others at work, no student answers were present only a comment from the trainer “verbal communication” and signed of as satisfactory. No evidence to demonstrate what the student answered or any specific recording of how the assessor determined their judgement of competence.

SIR20216 Certificate II in Retail Services

SIRXRSK001 Identify and respond to security risks

SIRXCEG001 Engage the customer

- The following evidence was reviewed:
 - Assessments/Marking guides
 - Completed student assessment

Evidence of non-compliant assessment practice includes:

SIRXRSK001 Identify and respond to security risks

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tool component for the ‘practical application of skills and knowledge’ is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and gathered. The component is a checklist with instructions to student that states “write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace. Your assessor will assess the response you provide and confirm the detail with you and your supervisor”.
 - Knowledge Evidence:
 - The assessment tool is not a sufficient mechanism to ensure that all students are assessed on and evidence gathered for the following knowledge evidence requirements. For example, but not limited to:
 - impacts of security breaches on individuals and organisation:
 - emotional distress
 - financial loss
 - commercial loss
 - Assessment conditions:
 - The assessment tools does not indicate that the assessment will be conducted in accordance with the assessment conditions. Specifically:
 - Assessment must ensure access to:
 - customers and team members; these can be:
 - individuals in an industry workplace, or
 - individuals who participate in role plays or simulated activities, set up for the purpose of assessment, in a simulated industry environment
 - assessment activities that allow the individual to work with commercial speed and timing.

SIRXCEG001 Engage the customer

- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - The assessment tool component for the 'practical application of skills and knowledge' is not a valid or sufficient mechanism to ensure that all performance evidence requirements of the unit of competency is being assessed and gathered. The component is a checklist with instructions to student that states "write 1-2 sentences in the space provided that outlines how you conduct yourself in the workplace. Your assessor will assess the response you provide and confirm the detail with you and your supervisor".
 - Knowledge Evidence:
 - The assessment tool is not a sufficient mechanism to ensure that all students are assessed on and evidence gathered for the following knowledge evidence requirements. For example, but not limited to:
 - commercial impact of:
 - positive customer service
 - poor customer service
- The assessment practices for the following students do not confirm the organisation conducted adequate assessment of the students that ensured they were competent against all requirements of the training product and that the assessment was conducted in accordance with the Principles of Assessment and the Rules of Evidence. For example, but not limited to:
 - BB
 - JB
 - JA
 - Practical Checklists – tool for practical tasks did not ensure assessment involves the sufficient recording of an assessor's critical analysis of the evidence provided and the specific recording of their judgement based on that critical analysis of evidence i.e. why the evidence suggests/supports competence.

Trainer and assessor competency

Standards for RTOs Clause 1.13

Original Finding: Not compliant

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.

CHC32015 Certificate III in Community Services

- The following evidence was reviewed:
 - Trainer and assessors matrix
 - Qualifications
 - Trainer and assessor files
 - RTOs professional development register
- The organisation did not provide sufficient evidence to demonstrate that the below listed trainer and assessor possess relevant industry currency:
 - Norma Tranby

Specific examples of non-compliance include, but are not limited to:

- An industry letter was provided for the above listed trainer to demonstrate industry currency for Community Services. The letter stated she had completed housekeeping for 2 weeks at Coral Reef Resort under supervision. Furthermore, that the trainer is a long-term tenant at Coral Reef Resort, where she regularly liaises with other tenants on issues concerning them. It was described that the other tenants are from diverse backgrounds and some have a medical conditions.
- No other evidence was able to be provided at audit by the RTO to demonstrate industry currency for the above listed trainer for CHC32015 Certificate III in Community Services.

Completion

Standards for RTOs Clause 3.1

Original Finding: Not compliant

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.

SIT20316 Certificate II in Hospitality

CHC33015 Certificate III in Individual Support

BSB30115 Certificate III in Business

CHC32015 Certificate III in Community Services

FSK20113 Certificate II in Skills for Work and Vocational Pathways

SIR20216 Certificate II in Retail Services

- The following evidence was reviewed:
 - Assessment system as reported under Clause 1.8
 - Student data provided prior to the audit that identifies the students that have been issued AQF certification documentation
- The organisation has not demonstrated that its assessment system complies with the Principles of Assessment and Rules of Evidence (refer to non-compliance identified with Clause 1.8) with respect to students who were assessed as meeting the requirements of the training product and were issued with AQF certification documentation.

Regulatory Compliance / Governance

Third Parties (including education agents)

Standards for RTOs Clause 2.4

Original Finding: Not compliant

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

- The organisation has not demonstrated that it has used sufficient resources to systematically monitor and ensure that all of its third party arrangements comply with the Standards at all times. See non-compliances listed against 4.1, 1.1, 1.2 and 1.8.

