

AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 4/5 December 2018

RTO: Laverton Community Integrated Services Inc.

Applicant Details			
Applicant Name	Laverton Community Integrated Services Inc. T/as Laverton Community Education Centre	TOID	6408
Address	12 Crown St, Laverton VIC 3028		
		Website	
Registration Contact	Mr Bill Daly		
Phone Number	(03) 9369 2726	Email	dalyb@lcis.org.au
Audit Team			
Audit Firm	ShineWing Australia	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Michael Pernar, Executive Officer Bill Daley, Education Centre Manager Richelle Yow, VET Quality Compliance and Operations Manager
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.4
2016 VRQA Guidelines Audited	3.1, 3.2	4.1, 4.2	
Audit Date/s	4 and 5 December 2018		
RTO Background			
<p>Laverton Community Integrated Services Inc (LCIS) provides co-located, community integrated services that respond to social, educational and community needs through high responsive service delivery, overseen by a Volunteer Board and operationalised by a Chief Executive Officer and qualified, caring staff and volunteers. The CEO has been with the organisation for the past 24 years.</p> <p>An Education Centre Manager was appointed in April 2017 and he has extensive experience in finance, community development and welfare and TAFE training. A VET Quality Compliance Coordinator was appointed in February 2017, in recognition of the importance of having a dedicated and experienced compliance staff member.</p> <p>The organisation commenced as a Neighbourhood House in 1973, providing a range of community services</p>			

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included pre-accredited training with funding support from ACFE. LCIS registered as an RTO in 1999, initially to offer accredited foundation skills courses and added to its scope to provide access to VET qualifications for community members including people with a disability.

The education programs at LCIS are delivered through a dedicated training centre, Laverton Community Education Centre, which is managed by an Education Centre Manager.

The current RTO scope includes Early Childhood Education and Care, Aged Care and Hospitality qualifications and foundation skills courses.

The training is delivered with funding support from Government programs: Victorian Government Skills First Program (30%), Learn Local ACFE Program (20%), and Commonwealth Government SEE and AMEP Programs (30%). Fee for service activities account for approximately 5 – 10% of its income.

Enrolments in 2017 included 72 enrolments in accredited qualifications and 106 enrolments in foundation courses. In 2018, 57 enrolments in accredited qualifications and 83 enrolments in foundation skill courses.

Training is conducted at a number of locations including the Laverton Community Education Centre, the Laverton Hub, Laverton p-12 Secondary College and at Corio.

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Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
22251VIC	Certificate II in EAL (Access) Units: VU21297 Develop and document a learning plan and portfolio with guidance VU21457 Give and respond to simple verbal information and directions VU21460 Read and write simple descriptive and narrative texts.	12 Crown St, Laverton VIC 3028
CHC50113	Diploma of Early Childhood Education and Care Units: CHCECE026 Work in partnership with families to provide appropriate education and care for children CHCECE026 Work in partnership with families to provide appropriate education and care for children	12 Crown St, Laverton VIC 3028
CHC30113	Certificate III in Early Childhood Education and Care Unit: CHCECE005 Provide care for babies and toddlers HLTAID004 Provide an emergency first aid response in an education and care setting	12 Crown St, Laverton VIC 3028
CHC33015	Certificate III in Individual Support Unit: CHCHCS001 Provide home and community support services	12 Crown St, Laverton VIC 3028
Stand alone delivery	SITXFSA001 Use hygienic practices for food safety	12 Crown St, Laverton VIC 3028

¹ Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

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Interviewee(s) – Staff name and position; employer name and position	
Bill Daley	Education Centre Manager
Richelle Yow	VET Quality Compliance and Operations Manager
Debra Magnusson	Trainer/assessor CHC33015 Certificate III in Individual Support
Class of three students	CHC33015 Certificate III in Individual Support

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
If 'No', please provided amended details below:		

Third party Arrangements –	Yes	No
Do the RTO's third party arrangements match the information provided by the VRQA?	X	
If 'No', please provided amended details below:		

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Audit Summary - AQTF Conditions of Registration

	AQTF Conditions Place an X in the appropriate column	Compliant	Non - Compliant	Not audited
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation	X		
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment		X	
7	Recognition of Qualifications Issued by other RTOs	X		
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses	X		
Summary of Non-Compliance²				
<p>CF.6.1 Laverton Community Integrated Services Inc had not issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF) TGA.</p> <p style="color: red;">VRQA note: This was rectified post audit.</p> <p>CF.6.2 Laverton Community Integrated Services Inc had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years, however the Records Management Policy identified that student assessments would be retained for 6 months after the completion or withdrawal from the relevant unit, rather than 12 months as required by the AQTF and the VRQA.</p>				

² CF = Condition Finding. Finding references are aligned to the Detailed Findings section of this report.

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Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1		X	
1.1 – Continuous Improvement Strategy	X		
1.2 – Training and Assessment Strategies		X	
1.3 – Training and Assessment Resources		X	
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies		X	
Standard 2		X	
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services		X	
2.3 – Provision of Information to Clients	X		
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy	X		
Standard 3		X	
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations		X	
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management	X		
Summary of Non-Compliance³			
<p>SF 1.2.1 Strategies for training and assessment contains conflicting information.</p> <p>SF.1.3.1 Staff, facilities, equipment and training materials used by the RTO were consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.</p> <p>Assessment instruments and tools were not consistent with the assessment requirements of units sampled.- see S1.5.1</p> <p>SF.1.5.1 Assessments did not meet the requirements of the qualifications and were not conducted in accordance with the principles of assessment and the rules of evidence and were systematically validated.</p>			

³ SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.

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SF.2.2.1

Laverton Community Integrated Services Inc had not collected data for the continuous improvement of client services to enable the analysing and acting upon relevant information to ensure that student services met student needs.

SF.3.2.1

While Laverton Community Integrated Services Inc had used a systematic and continuous improvement approach to some aspects of the management of operations, this was not done in relation to the requirements of the AQTF and the VRQA Guidelines.

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Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
1. Governance, Financial viability and Management systems			X
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
2. Transparency and oversight of third parties			X
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)	X		
3.1 – Vocational & Industry skill requirements	X		
3.2 – Training and Assessment (TAE) skill requirements	X		
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
4. Delivery of training and assessment services		X	
4.1 – Training and assessment practices		X	
4.2 – Amount of training		X	
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
5. Annual Declaration of Compliance			X
5.1 – Annual Declaration of Compliance			X

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Summary of Non-Compliance⁴

GF.4.1.1

Laverton Community Integrated Services Inc training and assessment strategies and practices, including the amount of training it provided, were not consistent with the requirements of the Training Packages to enable each student to meet the requirements for each unit of competency in which the student was enrolled.

GF.4.2.1

The TAS identified a broad range of potential learners from unemployed and people from CALD backgrounds to vocationally experienced and people employed in another industry. The TAS did not identify how the needs of this broad range of learners would be addressed and how the program catered for the diversity of skills and experiences of the learners.

⁴ GF = Guideline Finding. Finding references are aligned to the Detailed Findings section of this report.

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Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration audit.		
CF.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A
Improvement Opportunities		
Summary of improvement opportunities relating to condition 1		
CONDITION 2 - Interactions with the Registering Body		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration audit.		
CF. 2	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A
Improvement Opportunities		
Summary of improvement opportunities relating to condition 2		

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CONDITION 3 - Compliance with Legislation		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Student Handbook <ul style="list-style-type: none"> • AQTF and VRQA Guidelines • ETRA Amendment Services Act 20111 • Employee Induction Handbook identified responsibilities of staff and included review questions to confirm their understanding. • Record Retention Policy identified privacy requirements for storage of documents. 		
CF.3.1	Finding	Required Rectification(s)
	<p>Following rectified at audit, to include the ETRA 2006 and 2010 in the procedures and Employee Induction Handbook, Laverton Community Integrated Services Inc had identified and implemented relevant Commonwealth, State or Territory legislation and regulatory requirements that were relevant to its operations and its scope of registration. It ensured that its staff and clients were fully informed of these requirements that affected their duties or participation in vocational education and training through the Employee Induction Handbook and the Student Handbook 2018.</p>	N/A

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CONDITION 4 - Insurance		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration audit.		
CF. 4	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A
Improvement Opportunities		
Summary of improvement opportunities relating to condition 4		

CONDITION 5 - Financial Management		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration audit.		
CF. 5	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A
Improvement Opportunities		
Summary of improvement opportunities relating to condition 5		

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CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment		Now Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Credential Checklist for student information before issuing a qualification. • Enrolment Form – included AVET parameters and Privacy Declaration. • Credential Issuing Procedure. • Certificate for Andrea Miller-Leydig, Certificate III in Early Childhood Education and Care 18/11/2018. • SoA for Carole Unuka, SITXFS001, 29/10/2018 that identified 'These competencies form part of the SITXFS001' • Records Management Policy that identified retention periods. • Enrolment Form – AVETMISS parameters • VETtrak Student Data Management System – records. • Quality Indicator report submitted 27/6/2018 for outcomes 2017. • Enrolment Form • Unique Student Identification Privacy Notice 		
CF.6.1	Finding	Required Rectification(s)
	<p>Laverton Community Integrated Services Inc had not issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF) TGA. The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.</p> <p>Certificates were accompanied by a Record of Results, however the date of enrolment for each unit listed was not included.</p> <p>The Statement of Attainment inappropriately identified 'These competencies form part of the SITXFS001'. This nomenclature is inconsistent with the AQF requirements for a Statement of Attainment, which requires that the unit issued is part of a qualification on the RTO's scope or not to include the statement on the Statement of Attainment.</p>	<p>Laverton Community Integrated Services Inc is required to:</p> <ul style="list-style-type: none"> • Modify the Record of Results template and include the date of enrolment for each unit. • Modify the Statement of Attainment to include a statement with the correct nomenclature about the partial completion of a qualification. <p>VRQA note: This was rectified post audit</p>

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CF.6.2.	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had a student records management system in place that had the capacity to provide the registering body with AVETMISS compliant data.	N/A
CF.6.3.	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2017 through monthly SVTS reporting.	N/A
CF.6.4.	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc met the requirements for implementation of a national unique student identifier.	N/A

Improvement Opportunities
Laverton Community Integrated Services Inc collected could consider retaining student records of assessment for 12 months to ensure it has time to validate units using completed student work and to provide evidence of quality training for future audits.

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CONDITION 7 - Recognition of Qualifications Issued by other RTOs		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Student Handbook 2018 • Recognition of Prior Learning • Credit Transfer – recognition of qualifications issued by other RTOs • Credit Transfer/RPL Policy • Credit Transfer and Recognition of Prior Learning Procedure • Credit Transfer/RPL Application Form 		
CF.7.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had procedures in place for the recognition of AQF Qualifications and Statements of Attainment issued by any other RTO. Students were informed in the Student Handbook 2018.	N/A

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CONDITION 8 - Accuracy and Integrity of Marketing		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Marketing and Advertising Policy • Marketing Register • Marketing Consent Form • TGA RTO Report • Marketing Permission Form that identified the purpose for the use of the image/story. • Marketing Approval Register that identified marketing items approved. Mainly brochures. • Samples of brochures identified on the Register and related email communications. 		
CF.8.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration. The NRT logo was employed in accordance with its conditions of use.	N/A

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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> Transition of Training Products Policy 		
CF.9.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA.	N/A

Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Informal feedback procedures • Formal feedback procedures – short courses and accredited courses Evaluation Form • Accredited courses or programs – unit evaluation forms to be completed once each semester. • VET QI survey indicator - at the completion of each course. • Continuous Improvement Register. • Opportunity for Improvement Form. • CI Register identified improvements 11/1/2017 – 21/11/2018 - 45 items. • The register identified who it was raised by, improvement type status, issue, action taken, action resolved. • Sighted industry feedback records completed 2017 and 2018. Referred back to CI Register. Sighted on CI Register 		
SF.1.1.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc collected, analysed and acted on relevant data for continuous improvement of training and assessment.	N/A

Improvement Opportunities
<p>Though Laverton Community Integrated Services Inc collected, analysed and acted on relevant data for continuous improvement of training and assessment, a systematic approach was not identified. Laverton Community Integrated Services Inc would benefit by developing and implementing a continuous improvement procedure that identified key stakeholders, the mechanisms by which feedback was collected from each stakeholder group and an annual schedule for the collection of feedback. Laverton Community Integrated Services Inc would benefit by reviewing the effectiveness of its continuous improvement processes and identifying strategies that will provide quality feedback.</p>

ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.	Non-Compliant
Evidence/Documentation Reviewed	
<p>Learning and assessment strategies for the following qualifications and units:</p> <ul style="list-style-type: none"> • CHC50113 Diploma of Early Childhood Education and Care Units: CHCECE026 Work in partnership with families to provide appropriate education and care for children CHCECE026 Work in partnership with families to provide appropriate education and care for children • CHC30113 Certificate III in Early Childhood Education and Care Units: CHCECE005 Provide care for babies and toddlers • CHC33015 Certificate III in Individual Support Units: CHCHCS001 Provide home and community support services SITXFSA001 Use hygienic practices for food safety HLTAID004 Provide an emergency first aid response in an education and care setting • Certificate II in EAL (Access) Units: VU21297 Develop and document a learning plan and portfolio with guidance VU21457 Give and respond to simple verbal information and directions VU21460 Read and write simple descriptive and narrative texts. 	

SF.1.2.1	Finding	Required Rectification(s)
	<p>Strategies for training and assessment did not meet the requirements of the relevant Training Package.</p> <p>CHC50113 Diploma of Early Childhood Education and Care</p> <ul style="list-style-type: none"> The TAS identified a broad range of potential learners from unemployed and people from CALD backgrounds to vocationally experienced and people employed in another industry. The TAS did not identify how the needs of this broad range of learners would be addressed and how the program catered for the diversity of skills and experiences of the learners. Course entry requirements did not identify any qualification or experience requirements. The AQF descriptors for a Diploma qualification identified delivery hours of 1,200 – 2,400 hours, and nominal hours for the units packaged in the qualification, as identified in the Victorian Purchasing Guide, was 1,988 hours. The qualification delivery hours were identified as 1,310 hours. A rationale for this amount of training, based on the experience of learners, was not identified. The Target Participant section of the TAS identified that potential students should meet the requirement of ACSF Level 2. This level was too low to enable learners to complete the Diploma level qualification. The TAS course duration identified that the course would run for 49 weeks, however, the Course Organisation and Delivery Modes section of the TAS identified that the course would be delivered over two days a week over a 20 week period. The Target Participant section of the TAS identified that this Diploma provided learners with the opportunity to build on their workplace skill set and develop new skills, however entry requirements did not require learners to have workplace skills. Schedule 2 of the TAS General Course Schedule and Timetable identified delivery weeks. The weeks for the delivery topics were inconsistent with those identified in the cluster/units table. In one table 38 weeks of delivery was identified, and practical placement weeks were not identified. and in the other 49 weeks were identified which included Practical Placement. Details of industry consultation were not provided. <p>CHC30113 Certificate III in Early Childhood Education and Care</p> <p>The TAS identified a broad range of potential learners from unemployed and people from CALD backgrounds</p>	<p>CHC50113 Diploma of Early Childhood Education and Care</p> <p>Laverton Community Integrated Services Inc is required to:</p> <ul style="list-style-type: none"> Review the Target Participants of the TAS and ensure that the delivery mode identifies how the learning needs of each group of learners will be addressed and how the program caters for the diversity of skills and experiences of the learners. Review qualification delivery durations as identified in the different sections of the TAS and ensure that they are consistent across the TAS and that a rationale for the amount of training is provided to identify why the qualification is delivered in considerably less hours than the AQF descriptors for a Diploma qualification and nominal hours for the units packaged in the qualification, as identified in the Victorian Purchasing Guide. Review the Target Participant section of the TAS and ensure that it identifies that the potential students should meet the requirement of ACSF Level 3 and clarify how the Diploma provides learners with the opportunity to build on their workplace skill set and develop new skills, when learners enrolling in the qualification are not required to have workplace skills. Review and clarify the identified TAS course duration and ensure that consistent durations are identified in the Course Organisation and Delivery Modes section of the TAS and the General Course Schedule and Timetable section.

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to vocationally experienced and people employed in another industry. The TAS did not identify how the needs of this broad range of learners would be addressed and how the program catered for the diversity of skills and experiences of the learners.

The AQF descriptors for a Certificate III qualification identified delivery hours of 1,200 – 2,400 hours, and nominal hours for the units packaged in the qualification, as identified in the Victorian Purchasing Guide was 858 hours. The qualification delivery hours were identified as 600 hours. A rationale for this amount of training, based on the experience of learners was not identified.

Schedule 2 of TAS General Course Schedule and Timetable, identifies delivery weeks. The weeks for the delivery topics were inconsistent with those identified in the Cluster/units table. In one table three weeks of Practical Placement were identified and in the other four weeks of Practical Placement were identified.

Details of industry consultation were not provided.

CHC33015 Certificate III in Individual Support

- The TAS identified a broad range of potential learners from unemployed and people from CALD backgrounds to vocationally experienced and people employed in another industry. The TAS did not identify how the needs of this broad range of learners will be addressed and how the program caters for the diversity of skills and experiences of the learners.
- The AQF descriptors for a Certificate III qualification identify delivery hours of 1,200 – 2,400 hours, and nominal hours for the units packaged in the qualification, as identified in the Victorian Purchasing Guide is 715 hours. The qualification delivery hours are identified as 633 hours. A rationale for this amount of training, based on the experience of learners was not identified.
- Schedule 2 of TAS General Course Schedule and Timetable, identifies delivery weeks. The weeks for the delivery of topics were inconsistent with those identified in the Cluster/units table. In one table 3 weeks of Practical Placement were identified and in the other 4 weeks of Practical Placement were identified.
- The Licensing Requirements of the TAS identifies the unit HLTAID003 Provide first aid is an accredited requirement for aged care workers. However, the TAS does not include this unit in listing

- Provide evidence of the conduct of industry consultation to confirm that strategies for training and assessment are developed in consultation with industry.

CHC30113 Certificate III in Early Childhood Education and Care

Laverton Community Integrated Services Inc is required to:

- Review the Target Participants of the TAS and ensure that the delivery mode identifies how the learning needs of each group of learners will be addressed and how the program caters for the diversity of skills and experiences of the learners.
- Review qualification delivery durations as identified in the different sections of the TAS and ensure that they are consistent across the TAS and that a rationale for the amount of training is provided to identify why the qualification is delivered in considerably less hours than the AQF descriptors for a Certificate III qualification and nominal hours for the units packaged in the qualification, as identified in the Victorian Purchasing Guide.
- Review and clarify the identified TAS course duration and ensure that consistent durations are identified in the Course Organisation and Delivery Mode section of the TAS and the General Course Schedule and Timetable section.
- Provide evidence of the conduct of industry consultation to confirm that strategies for training and assessment are developed in consultation with industry.

CHC33015 Certificate III in Individual Support

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<p>of units in the Course requirements section of the TAS, and no information is provided about how learners may achieve this unit.</p> <ul style="list-style-type: none"> • The Course Organisation and delivery Modes section of the TAS identifies that the course will be delivered over 2 days a week over a 20 week period, however the Schedule 2 of TAS General Course Schedule and Timetable, identifies 26 delivery weeks. The weeks for the delivery topics were inconsistent with those identified in the Cluster/units table. In one table 26 weeks were identified and in the other 29 weeks were identified. • Details of industry consultation were not provided. 	<p>Laverton Community Integrated Services Inc is required to:</p> <ul style="list-style-type: none"> • Review the Target Participants of the TAS and ensure that the delivery mode identifies how the learning needs of each group of learners will be addressed and how the program caters for the diversity of skills and experiences of the learners. • Review qualification delivery durations as identified in the different sections of the TAS and ensure that they are consistent across the TAS and that a rationale for the amount of training is provided to identify why the qualification is delivered in considerably less hours than the AQF descriptors for a Certificate III qualification and nominal hours for the units packaged in the qualification, as identified in the Victorian Purchasing Guide. • Review the TAS and modify to identify how learners may achieve the unit HLTAID003 Provide first aid • Provide evidence of the conduct of industry consultation to confirm that strategies for training and assessment are developed in consultation with industry.
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ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.	Non-Compliant
Evidence/Documentation Reviewed	
<p>Learning resources and assessment tools for the following units sampled.</p> <p>Learning Reference: The Early Childhood Educator for Certificate III by Lorraine Walker and Shelagh Miller Learning and Assessment Plan – approved learning resources Learning and Assessment Plan – approved assessment resources</p> <p>CHC50113 Diploma of Early Childhood Education and Care Units: CHCECE026 Work in partnership with families to provide appropriate education and care for children CHCECE026 Work in partnership with families to provide appropriate education and care for children</p> <p>CHC30113 Certificate III in Early Childhood Education and Care Units: CHCECE005 Provide care for babies and toddlers</p> <p>CHC33015 Certificate III in Individual Support Units: CHCHCS001 Provide home and community support services SITXFSA001 Use hygienic practices for food safety HLTAID004 Provide an emergency first aid response in an education and care setting</p> <p>Certificate II in EAL (Access) Units: <ul style="list-style-type: none"> • VU21297 Develop and document a learning plan and portfolio with guidance • VU21457 Give and respond to simple verbal information and directions </p>	

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- VU21460 Read and write simple descriptive and narrative texts.
Connect English Language resources
Learning and Assessment Plan – equipment requirement lists
Learning and Assessment Plan – approved learning resources
Learning and Assessment Plan – approved assessment resources

- SITXFSA001 (SITXFSA101) Use hygienic practices for food safety
HLTAID004 Provide an emergency first aid response in an education and care setting
Connect English Language resources
Learning and Assessment Plan – equipment requirement lists
Learning and Assessment Plan – approved learning resources
Learning and Assessment Plan – approved assessment resources

SF.1.3.1	Finding	Required Rectification(s)
	<p>Staff, facilities, equipment and training materials used by the RTO were consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies. Assessment instruments and tools were not consistent with the assessment requirements of units for CHCECE005 Provide care for babies and toddlers SITXFSA001 (SITXFSA101) Use hygienic practices for food safety,</p>	<p>See requirements at Standard 1.5 for the two units.</p>

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RTO: Laverton Community Integrated Services Inc.

<p>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Trainer/assessor information for the following qualification and units:</p> <p>Certificate II in EAL (Access) Trainer/assessor: Helen Chenoby</p> <p>CHC50113 Diploma of Early Childhood Education and Care (Enrolments 2018 – 17 students) CHC30113 Certificate III in Early Childhood Education and Care (Enrolments 2018 - 13 students) Trainer/assessor: Krystle Hills Trainer/assessor: Michelle Bradley</p> <p>CHC33015 Certificate III in Individual Support Trainer/assessor: Debra Magnusson</p> <p>SITXFSA001 (SITXFSA101) Use hygienic practices for food safety Trainer/assessor: Dusan Bajic</p> <p>HLTAID004 Provide an emergency first aid response in an education and care setting Trainer/assessor: Neil May</p>	

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RTO: Laverton Community Integrated Services Inc.

SF.1.4.1	Finding	Required Rectification(s)
	<p>Training and assessment was delivered by trainers and assessors who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed, could demonstrate current industry skills directly relevant to the training/assessment being undertaken and continued to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	<p>N/A</p>

Improvement Opportunities
<p>Laverton Community Integrated Services Inc. would benefit by requiring trainers/assessors to include in their Trainer Skills Matrix, for each unit, the dates of previous work positions and the work done in the positions, to confirm currency of work experience.</p>

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ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):

Non-Compliant

- a) meets the requirements of the relevant Training Package or accredited course
- b) is conducted in accordance with the principles of assessment and the rules of evidence
- c) meets workplace and, where relevant, regulatory requirements
- d) is systematically validated.

Evidence/Documentation Reviewed

Assessment strategies for the following qualification and units:

- Certificate II in EAL (Access)
Units:
VU21297 Develop and document a learning plan and portfolio with guidance
VU21457 Give and respond to simple verbal information and directions
VU21460 Read and write simple descriptive and narrative texts.
- CHC50113 Diploma of Early Childhood Education and Care
Units:
CHCECE026 Work in partnership with families to provide appropriate education and care for children
- CHC30113 Certificate III in Early Childhood Education and Care
Units:
- CHC33015 Certificate III in Individual Support
Units:
CHCHCS001 Provide home and community support services
SITXFSA001 (SITXFSA101) Use hygienic practices for food safety
HLTAID004 Provide an emergency first aid response in an education and care setting

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Certificate II in EAL (Access)

Units:

VU21297 Develop and document a learning plan and portfolio with guidance

Student Assessment Pack

- Task 1 Develop a Learning Plan
- Task 2 Review Learning Plan

Trainer assessment pack

Student completed assessments reviewed:

- Saada Ali 6/9/2018
- Ta Eh Sae 7/9/2018
- Chareeporn Thongpan 6/9/2018
- Ian tran 7/9/2018
- Yi Zhang 6/9/2018

VU21457 Give and respond to simple verbal information and directions

Student Assessment Pack Part 1

Student Assessment Pack Part 2

- Task 1 Describe a place – listen
- Task 2 Give spoken information
- Task 3 Public transport – listen
- Task 4 Give spoken instructions

Trainer's Assessment Pack Part 1

Trainer's Assessment Pack Part 2

Student completed assessments reviewed:

- Ngo Bich Dane 6/6/2018
- Shukria Latif 7/6/2018
- Khadija Karin 7/8/2018

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- Ngoc Diep Nyuyen 6/6/2018
- Mieu Ngo 5/6/2018

VU21460 Read and write simple descriptive and narrative texts.

Student Assessment Pack Part 1

- Task 1 A holiday you'll love – read
- Task 2 Write a descriptive text
- Task 3 Sea and sand – read
- Task 4 Write a narrative

Student Assessment Pack Part 2

Trainer's Assessment Pack Part 1

Trainer's Assessment Pack Part 2

Student completed assessments reviewed:

- Yi Zhang 7/6/2018
- Ngo Bich Dane 13/6/2018
- Shukria Latif 13/6/2018
- Khadija Karin 21/6/2018
- Yin Ching Chan 12/6/2018

CHC50113 Diploma of Early Childhood Education and Care

Unit:

CHCECE026 Work in partnership with families to provide appropriate education and care for children

Student completed assessments reviewed:

- Romei Wilson 20/2/2018
- Dinanben Prajapai
- G. Paleologoudias
- Cristina Buckham

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CHCMGT003 Lead work teams

Student completed assessments reviewed:

- Kumari, Jayaanthi.

Unit:

CHCECE026 Work in partnership with families to provide appropriate education and care for children

Learning resources:

The Early Childhood Educator for Certificate III, Lorraine Walker

Assessment resources:

- Third party report
- Chapter 15 Case Study
- Chapter 9 Interactive
- Chapter 4 Interactive
- Chapter 14 Interactive
- Chapter 9 Interactive
- Chapter 11 Interactive

Student completed assessments reviewed:

- Rowena
- Cristine Buckham
- G. Paleologoudias 26/11/2018
- Romelivileon 20/2/2018
- Dinaben Prajapai 14/6/2019

CHC30113 Certificate III in Early Childhood Education and Care

Unit:

CHCECE005 Provide care for babies and toddlers

CHC33015 Certificate III in Individual Support

Unit:

CHCHCS001 Provide home and community support services

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Performance Evidence

Sighted:

- Learning Resource Guide 7 - Compliant Learning Resources
- Learner Guide
- Assessor Guide
- Assessment Workbook

Theory Workbook

- Task 1 Written Questions
- Task 2 Case Studies

Skills Workbook

- Workplace projects
- Workplace demonstration
- Care delivery log
- Third party report

Student completed assessments reviewed:

- Helen Anglin
- Maxine Craig
- Kym Reading

Unit:

SITXFSA001 (SITXFSA101) Use hygienic practices for food safety

Assessment Tool Kit.

- Written assessment booklet with completed answers
- Written assessment record – included date and name

Student completed assessments: November 2018

- Gayle Rivas
- Emily Gilmore

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- Nelly Bonze
- Rhys Natoli
- Boe Elisaia

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

Assessments:

- Activity 1 Anaphylaxis management plan
- Activity 2 Sample incident report
- Observation 1 Emergency situation
- Observation 2 Emergency situation
- Observation 3 Emergency situation
- Observation 4 Emergency situation

Student completed assessments: November 2018 (assessor Neil May)

- Prasanthi Kotla
- Hiwot Gavetdeur
- Eva Sjaiful
- Kim Nam

SF.1.5.1	Finding	Required Rectification(s)
	<p>Assessments did not meet the requirements of the qualifications and were not conducted in accordance with the principles of assessment and the rules of evidence as they did not meet the workplace regulatory requirements and were systematically validated.</p> <p>CHC30113 Certificate III in Early Childhood Education and Care Unit: CHCECE005 Provide care for babies and toddlers The unit assessment requirements identify that there must be demonstrated evidence that the candidate has</p>	<p>CHC30113 Certificate III in Early Childhood Education and Care Unit: CHCECE005 Provide care for babies and toddlers Laverton Community Integrated Services Inc. is required to review the assessment tasks for this unit and modify to ensure that sufficient information is retained to confirm that the candidate has demonstrated the required evidence for</p>

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<p>completed the following tasks:</p> <ul style="list-style-type: none"> • provided care to at least different three babies and toddlers of varying ages using safe and hygienic practices, • developed a nurturing and securely attached relationship with at least three different babies and toddlers of varying ages, • supported the learning of at least three different babies and toddlers of varying ages, <p>The evidence of the completion of these tasks for three different babies and toddlers included a Third Party report that identified broad criteria such as ‘worked with at least three different children in age groups 0-2 responding to their needs and cues for hunger, distress, tiredness and pain.’</p> <p>The provision for providing the particulars of each baby and/or toddler and circumstances under which the demonstrations were conducted was not provided.</p> <p>The assessment relied on third party observations and comments, which was confirmed by the assessor as satisfactory. Not satisfactory for the cluster of units.</p> <p>The unit requires that assessment must involve interactions with actual babies and toddlers under the age of 24 months under the supervision of an early childhood educator. There was no evidence provided that the assessor had conducted assessment of interactions with actual babies and toddlers under the age of 24 months under the supervision of an early childhood educator.</p> <p>SITXFSA001 (SITXFSA101) Use hygienic practices for food safety Insufficient evidence was maintained to confirm that candidates had satisfactorily completed assessment tasks.</p> <p>The evidence of completed assessments maintained on student files were incomplete. The sections of the candidate assessment records:</p> <ul style="list-style-type: none"> • has the student satisfactorily completed all areas of this assessment? • which areas of this assessment have not been completed satisfactorily? • assessor comments 	<p>having completed tasks:</p> <ul style="list-style-type: none"> • provided care to at least different three babies and toddlers of varying ages using safe and hygienic practices; • developed a nurturing and securely attached relationship with at least three different babies and toddlers of varying ages; • supported the learning of at least three different babies and toddlers of varying ages; <p>including summary information for each baby/toddler including date of demonstration, age of the baby/toddler and brief description of the circumstances.</p> <p>Laverton Community Integrated Services Inc. is required to ensure that assessments are conducted by the assessor with the assessor observing the candidate, rather than just relying on third party evidence so as to ensure the assessment requirement “The unit requires that assessment must involve interactions with actual babies and toddlers under the age of 24 months under the supervision of an early childhood educator” is assessed and that the assessor has conducted the assessment of interactions with actual babies and toddlers under the age of 24 months under the supervision of an early childhood educator.</p> <p>SITXFSA001 (SITXFSA101) Use hygienic practices for food safety</p> <p>Laverton Community Integrated Services Inc, is required to ensure that all assessment records, maintained on student files, are thoroughly completed, including the completion of</p>
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<p>had not been completed by the assessor.</p> <p>Student files were incomplete. For the student files reviewed the Assessment Task 1 and Case Study Task 2 assessment tool included demonstration checklist which had not been completed. Only one of the two Case Studies was completed.</p> <p>The sections of assessment reports which identified that the candidate had satisfactorily/not satisfactorily completed the assessment task, had not been completed by the assessor.</p> <p>HLTAID004 Provide an emergency first aid response in an education and care setting Student assessment files were not complete. The observation assessments were not maintained on student files however the students were confirmed as competent.</p> <p>Assessment Validation Planner template was provided, however dates for the validation of qualifications and units had not been completed. Evidence of the conduct of unit assessment validations was not provided.</p>	<p>the sections of the candidate assessment records including:</p> <ul style="list-style-type: none"> • has the student satisfactorily completed all areas of this assessment? • which areas of this assessment have not been completed satisfactorily? • assessor comments <p>and that demonstration checklist maintained on the student are thoroughly completed and that all required assessments for the units are completed by the candidate.</p> <p>The sections of the assessment reports which identified that the candidate had satisfactorily/not satisfactorily completed the assessment task, had not been completed by the assessor.</p> <p>HLTAID004 Provide an emergency first aid response in an education and care setting Laverton Community Integrated Services Inc. is required to ensure that all student files are complete and include all the required completed assessment tasks, including observation assessment records.</p> <p>Laverton Community Integrated Services Inc. is required to complete the Assessment Validation Planner template and include the dates for the validation of qualifications and units and provide evidence of implementation.</p>
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RTO: Laverton Community Integrated Services Inc.

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • An LLN assessment tool for each qualification • Diploma level CPSA assessment tool • TAS - student support services available • Student Handbook - Student Support Services 		
SF.2.1.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had established the needs of clients and delivered services to meet these needs.	N/A

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RTO: Laverton Community Integrated Services Inc.

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Non-Compliant
Evidence/Documentation Reviewed		
No evidence provided.		
SF.2.2.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had not collected data for the continuous improvement of client services to enable the analysing and acting upon relevant information to ensure that student services met student needs.	Laverton Community Integrated Services Inc. is required to develop and implement a strategy for the collection of data for the continuous improvement of client services to enable the analysing and acting upon relevant information to ensure that student services meet student needs.

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RTO: Laverton Community Integrated Services Inc.

2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Website course information • Pre-enrolment interview templates and records • Enrolment Forms and pre-enrolment reviews 		
SF.2.3.1	Finding	Required Rectification(s)
Laverton Community Integrated Services Inc had provided sufficient information, before students enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.		N/A

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RTO: Laverton Community Integrated Services Inc.

2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Industry Engagement Folder • Workplace agreements • Workplace logbook 		
SF.2.4.1	Finding	Required Rectification(s)
	The employer contributed significantly to each learner's training and assessment and were engaged in the development, delivery and monitoring of training and assessment.	N/A

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RTO: Laverton Community Integrated Services Inc.

2.5 - Learners receive training, assessment and support services that meet their individual needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Student files – records of progress, support and communications. • Student interviews 		
SF.2.5.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs.	N/A

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RTO: Laverton Community Integrated Services Inc.

2.6 - Learners have timely access to current and accurate records of their participation and progress.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> Student Handbook – Privacy 		
SF.2.6.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress.	N/A

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RTO: Laverton Community Integrated Services Inc.

2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Complaints Policy • Complaints Form • Student Handbook • Staff induction folder • Complaints register – no entries 		
SF.2.7.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc provided appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. The complaints and appeals procedures included procedures for students to appeal a complaints decision and the source for an independent external mediator was identified.	N/A
Improvement Opportunities		
Laverton Community Integrated Services Inc. would benefit from including in the Complaints Policy the VRQA complaints process.		

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RTO: Laverton Community Integrated Services Inc.

3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Policy and Procedures Register • Continual update of policies and procedures • Feedback obtained from staff • Student Agreement • Enrolment Form • Training Plan 		
SF.3.1.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc management of its operations ensured clients received the services detailed in their agreement with the RTO.	N/A
Improvement Opportunities		
Laverton Community Integrated Services Inc would benefit from reviewing its operating systems and identify strategies for identifying the non-compliances identified in this audit report and actions to address these.		

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RTO: Laverton Community Integrated Services Inc.

3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.		Non-Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Partial – Skills First internal audit • Staff Meeting minutes 		
SF.3.2.1	Finding	Required Rectification(s)
	While Laverton Community Integrated Services Inc had used a systematic and continuous improvement approach to some aspects of the management of operations, this was not done in relation to the requirements of the AQTF and the VRQA Guidelines.	Laverton Community Integrated Services Inc. is required to develop and implement a systematic and continuous improvement approach to the management of operations in line with the requirements of the AQTF and the VRQA Guidelines.

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RTO: Laverton Community Integrated Services Inc.

3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.		Not audited
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc does not have third parties delivering training on its behalf.		
SF.3.3.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc does not have third parties delivering training on its behalf.	N/A

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RTO: Laverton Community Integrated Services Inc.

3.4 - The RTO manages records to ensure their accuracy and integrity.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Records Management Policy. • Back up procedures • Samples in VETtrak student data management system • Version control information of documents and files 		
SF.3.4.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc managed records to ensure their accuracy and integrity.	N/A

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RTO: Laverton Community Integrated Services Inc.

Detailed Findings – 2016 VRQA Guidelines for VET Providers

GUIDELINE 1.1 - An RTO must ensure that it has a current strategic plan and a detailed business plan which have been approved by its governing body.

**Not Audited in
Phase 2 audit**

- a) An RTO ensures the strategic plan details the overall vision, mission, board of directors and strategic directions of the RTO and clearly indicates that provision of vocational education is a primary purpose of the RTO.
- b) An RTO ensures the business plan details the operational and workforce development arrangements for a three year period that incorporates:
 - i. description of the business including an organisation chart, courses, location(s) and facilities
 - ii. a continuous improvement plan or risk management strategy
 - iii. a work force development plan
 - iv. strategic alliances with other education or service providers or third party arrangements
 - v. training and assessment delivery including proposed facilities and delivery hours

Evidence/Documentation Reviewed

Not audited as part of this re-registration audit.

GF 1.1	Finding	Required Rectification(s)
	Not audited as part of this re-registration audit.	N/A

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RTO: Laverton Community Integrated Services Inc.

<p>GUIDELINE 1.2 - An RTO demonstrates its financial viability and its capacity to sustain quality VET into the future by ensuring it has a three year financial plan that includes:</p> <ul style="list-style-type: none"> a) projected student enrolments by qualifications b) a range of financial indicators, including <ul style="list-style-type: none"> i. cash flow ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1) iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1) c) the VET provider shows that it has a financial guarantor with the capacity to service the guarantee and/or to demonstrate sufficient working capital to operate for at least 6 months without tuition fees. d) details about whether any person involved in the management or provision of courses by the RTO meets any of the descriptions listed in section 4.3.11(2) of the Act. 		<p>Not audited in Phase 2 audit</p>
<p>Evidence/Documentation Reviewed</p>		
<p>Not audited as part of this re-registration audit.</p>		
GF 1.2	Finding	Required Rectification(s)
	<p>Not audited as part of this re-registration audit.</p>	<p>N/A</p>

Audit Date: 4/5 December 2018

RTO: Laverton Community Integrated Services Inc.

<p>GUIDELINE 1.3 - An RTO ensures that it has management systems that include:</p> <ul style="list-style-type: none"> a) management information including: <ul style="list-style-type: none"> I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds) II. a physical address of the company in Victoria for the purposes of serving notices III. details of the directors, CEO/PEO and senior management members with associated police checks and Working With Children Checks if students are under 18 years of age IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria V. contact arrangements for the CEO/PEO including during holidays and other closure periods VI. a physical addresses for the location of financial, student and staff records including archives and computer back up storage b) a financial management system including a system for managing student fee payments and student refunds c) a student records management system that includes the capacity to provide the VRQA with AVETMISS compliant data and to ensure that copies of student records are <ul style="list-style-type: none"> I. not able to be withheld from the RTO; and II. able to be provided in electronic and print versions, at no cost to the VRQA in the event that the VET provider ceases operations d) a staff records management system including arrangements which ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills. 		<p>Not audited</p>
<p>Evidence/Documentation Reviewed</p>		
<p>Not audited as part of this re-registration audit.</p>		
GF 1.3.1	Finding	Required Rectification(s)
<p>Not audited as part of this re-registration audit.</p>		<p>N/A</p>

Audit Date: 4/5 December 2018

RTO: Laverton Community Integrated Services Inc.

<p>GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:</p> <ul style="list-style-type: none"> a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that: <ul style="list-style-type: none"> i. for an RTO with anticipated ongoing operation of less than 150 equivalent full time students or an annual student fee turnover of less than \$1.5m per annum, persons are appointed with suitable qualifications and experience; and ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience. 		<p>Not audited in Phase 2 audit</p>
<p>Evidence/Documentation Reviewed</p>		
<p>Not audited as part of this re-registration audit.</p>		
GF 1.4	Finding	Required Rectification(s)
	<p>Not audited as part of this re-registration audit.</p>	<p>N/A</p>

Audit Date: 4/5 December 2018

RTO: Laverton Community Integrated Services Inc.

<p>GUIDELINE 2.1 - An 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.</p> <ul style="list-style-type: none"> • A <i>third party</i> means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO. • <i>Services</i> mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services. 		Not audited
<p>Evidence/Documentation Reviewed</p> <p>Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
GF 2.1.1	Finding	Required Rectification(s)
	<p>Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

Audit Date: 4/5 December 2018

RTO: Laverton Community Integrated Services Inc.

GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:		Not audited
<ul style="list-style-type: none"> a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and b) for the purposes of the conduct of any audit or monitoring of its operations. 		
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
GF 2.2.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

Audit Date: 4/5 December 2018

RTO: Laverton Community Integrated Services Inc.

GUIDELINE 2.3 – An RTO notifies the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:		Not audited
<ul style="list-style-type: none"> a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and b) within 30 calendar days of the agreement coming to an end. 		
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
GF 2.3.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

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RTO: Laverton Community Integrated Services Inc.

GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:		Not audited
<ul style="list-style-type: none"> a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and b) distinguishing 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. 		
Evidence/Documentation Reviewed		
<p>Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
GF 2.4.1	Finding	Required Rectification(s)
	<p>Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

Audit Date: 4/5 December 2018

RTO: Laverton Community Integrated Services Inc.

<p>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO provides, in print or through referral to an electronic copy, current and accurate information that:</p> <ul style="list-style-type: none"> a) enables the student to make informed decisions about undertaking training with the RTO and b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf 		<p>Not audited</p>
<p>Evidence/Documentation Reviewed</p> <p>Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<p>GF 2.5.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		<p>N/A</p>

Audit Date: 4/5 December 2018

RTO: Laverton Community Integrated Services Inc.

GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.		Not audited
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
GF 2.6.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

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GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:		Not audited
<ul style="list-style-type: none"> a) the RTO, its trainers, assessors or other staff; b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or c) a student of the RTO. 		
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
GF 2.7.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

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RTO: Laverton Community Integrated Services Inc.

GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.		Not audited
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
GF 2.8.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

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<p>GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:</p> <ul style="list-style-type: none"> 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. <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4		
GF 3.1.1	Finding	Required Rectification(s)
	A review of trainer/assessor information confirmed that training and assessment was conducted by trainers/assessors who had vocational competencies at least to the level being delivered and assessed, current industry skills directly relevant to the training and assessment being provided, and current knowledge and skills in vocational training and learning that informed their training and assessment.	N/A

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GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4		
GF 3.2.1	Finding	Required Rectification(s)
	Training and assessment was delivered by appropriately qualified trainers/assessors.	N/A

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GUIDELINE 3.3 Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.		Not audited
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc does not provide assessment only services.		
GF 3.3.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc does not provide assessment only services.	N/A

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RTO: Laverton Community Integrated Services Inc.

GUIDELINE 3.4 Where the RTO, in delivering training and assessment, engages an individual who is not a qualified trainer and/or assessor, the individual works under the supervision of a qualified trainer and/or assessor and must not determine assessment outcomes.		Not audited
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc does not have trainers/assessors working under supervision.		
GF 3.4.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc does not have trainers/assessors working under supervision.	N/A

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GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:		Not audited
<ul style="list-style-type: none"> a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines; 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. 		
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc does not have trainers/assessors working under supervision.		
GF 3.5.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc does not have trainers/assessors working under supervision.	N/A

<p>GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</p>		<p>Non-Compliant</p>
<p>Evidence/Documentation Reviewed</p>		
<p>Learning and assessment strategies for the following qualification and units:</p> <ul style="list-style-type: none"> • CHC50113 Diploma of Early Childhood Education and Care • CHC30113 Certificate III in Early Childhood Education and Care • CHC33015 Certificate III in Individual Support • Certificate II in EAL (Access) Compliant 		
<p>GF 4.1.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>Laverton Community Integrated Services Inc training and assessment strategies and practices, including the amount of training it provided, were not consistent with the requirements of the Training Packages to enable each student to meet the requirements for each unit of competency in which the student was enrolled.</p> <p>For the qualifications reviewed, the AQF descriptors for the qualification identified delivery hours and Victorian Purchasing Guide nominal hours for the units packaged in the qualification. The qualification delivery hours identified for each qualification were considerably less. A rationale for this amount of training, based on the experience of learners, was not identified.</p>		<p>Laverton Community Integrated Services Inc is required to:</p> <ul style="list-style-type: none"> • For each qualification except EAL, review qualification delivery durations as identified in the different sections of the TAS and ensure that they are consistent across the TAS and that a rationale for the amount of training is provided to identify why the qualification is delivered in considerably less hours than the AQF descriptors for a Diploma qualification and nominal hours for the units. • Review the Target Participants of the TAS and ensure that the delivery modes identify how the learning needs of each group of learners will be addressed and how the program caters for the diversity of skills and experiences of the learners, and provide a rationale for the amount of training, based on the experience of learners.

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GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:		Non-Compliant
<ul style="list-style-type: none"> a) the existing skills, knowledge and the experience of the student; 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. 		
Evidence/Documentation Reviewed		
<p>Learning and assessment strategies for the following qualification and units:</p> <ul style="list-style-type: none"> • CHC50113 Diploma of Early Childhood Education and Care • CHC30113 Certificate III in Early Childhood Education and Care • CHC33015 Certificate III in Individual Support • Certificate II in EAL (Access) Compliant 		
GF 4.2.1	Finding	Required Rectification
	<p>The TAS identified a broad range of potential learners from unemployed and people from CALD backgrounds to vocationally experienced and people employed in another industry. The TAS did not identify how the needs of this broad range of learners would be addressed and how the program catered for the diversity of skills and experiences of the learners.</p>	<p>With the exception of EAL, (Access) Laverton Community Integrated Services Inc is required to review the Target Participants of the TAS and ensure that the delivery modes identify how the learning needs of each group of learners will be addressed and how the program caters for the diversity of skills and experiences of the learners.</p>

GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an RTO must have undergone an independent validation of its assessment system, tools, processes and	Not audited
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outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation) of these Guidelines.		
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc does not deliver a qualification or assessor skill set from the Training and Education Training Package.		
GF 4.3.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc does not deliver a qualification or assessor skill set from the Training and Education Training Package.	N/A

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GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.		Not audited
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
GF 4.4.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A

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<p>GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment:</p> <p>a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.</p>		<p>Not audited</p>
<p>Evidence/Documentation Reviewed</p> <p>Laverton Community Integrated Services Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>		
<p>GF 4.5.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>Laverton Community Integrated Services Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>		<p>N/A</p>

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GUIDELINE 4.6 - An RTO ensures that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 of these Guidelines and does not determine assessment outcomes.		Not audited
Evidence/Documentation Reviewed		
Laverton Community Integrated Services Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
GF 4.6.1	Finding	Required Rectification(s)
	Laverton Community Integrated Services Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A

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GUIDELINE 4.7 - An application to add any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor) to an RTO's scope of registration has only be granted if an RTO has:		Not audited
<ul style="list-style-type: none"> a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3. 		
<p>Not audited as part of this Re-registration audit.</p>		
GF 4.7	Finding	Required Rectification(s)
<p>Not audited as part of this Re-registration audit.</p>		<p>N/A</p>

GUIDELINE 5.1 - An RTO registered with the VRQA has provided an annual declaration of compliance with the AQTF Essential Conditions and Standards for Continuing Registration (the AQTF Standards) and these Guidelines, and in particular whether it:		Not audited
<ul style="list-style-type: none"> a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and c) has training and assessment strategies and practices in place that ensure that all current and prospective students are or will be trained and assessed in accordance with the requirements of the AQTF Standards and these Guidelines. 		
<p>Not audited as part of this Re-registration audit.</p>		
GF 5.1	Finding	Required Rectification(s)
<p>Not audited as part of this Re-registration audit.</p>		<p>N/A</p>