



# REPORT

## Audit report: MADEC Australia

RTO number:	3957
CRICOS number:	N/A
Date/s of audit:	10 December 2019 - 11 December 2019
Date report created:	18 December 2019
Date report updated:	19 February 2020

## Organisation details

Organisation's legal name:	MADEC Australia
Trading name/s:	MADEC Community College MADEC Training MADEC Labour Hire
RTO number:	3957
CRICOS number:	N/A

## Audit team

Lead auditor:	Monica McFadyen
Auditor/s:	Karla Halsall Vicky Smith

## Audit details

Application number/s:	N/A
Audit number/s:	AUDREC0009995
Audit reason/s:	Compliance Monitoring MADEC Wesley Centre
Address of site/s visited:	126-130 Deakin Avenue Mildura VIC 3500 Australia
Date/s of audit:	10 Dec 2019 - 11 Dec 2019
Organisation's contact for audit:	Laurence Burt Chief Executive Officer lburt@madec.edu.au 0350254046

## Original finding at time of audit

### Audit finding: Critical non-compliance

Report completed by: Monica McFadyen

Practice	Standards for RTOs	Finding
Training and Assessment	1.1*, 1.2*, 1.3*, 1.8*, 1.13, 1.14, 1.16	Not compliant
Marketing/Recruitment Practices	4.1	Compliant
Enrolment	5.1, 5.2, 5.3	Compliant
Support and Progression	1.7	Compliant

Completion	3.1*	Not compliant
Regulatory Compliance / Governance	2.3, 2.4, 8.2	Compliant

\*Indicates a non-compliant clause

## Audit finding following analysis of additional evidence

### Audit finding following analysis of additional evidence provided on 13/02/2020: Concerning non-compliance

Report completed by: Monica McFadyen

Practice	Standards for RTOs	Finding
Training and Assessment	1.1, 1.2, 1.3, 1.8	Compliant
Completion	3.1*	Not compliant

\*Indicates a non-compliant clause

## Background

On 1 February 1992, the Organisation was initially registered as a training organisation. Its current registration expires on 28 February 2026. The organisation operates as a not-for-profit organisation and has a 50 year history of providing relief to people experiencing poverty or distress. It delivers training and assessment services all over South Australia and Victoria. The organisation also provides indigenous wellness support program, indigenous youth and leadership program, employment services, disability services, labour hire & seasonal worker program. Its head office is based in Mildura and a sub branch to the head office is located at Christies Beach in South Australia.

Summary of organisation and management structure:

- Chief Executive Officer – Laurence Burt
- 9 Members on the Board of Directors
- National Training Manager
- 3 Team Leaders – Training Delivery
- 1 State Training Manager VIC/NSW
- Compliance Manager
- Training Administration Manager
- 51 Trainers (14 in VIC, 35 in SA, 2 in NSW)

Scope of organisation's registration:

- The organisation has 26 Qualifications and 7 units of competency on its scope of registration consisting of:
  - 3 Agriculture, Horticulture and Conservation and Land Management Training Package (Certificate III)
  - 6 Business Services Training Package (Certificate II to IV)
  - 7 Community Services Training Package ( Certificate II to Diploma)
  - 1 Property Services Training Package (Certificate III)
  - 1 Food, Beverage and Pharmaceutical (Certificate III)
  - 2 Foundation Skills Training Package (Certificate I and II)
  - 2 Information and Communications Technology (Certificate III)
  - 2 Retail Services Training Package (Certificate II to III)
  - 2 Tourism, Travel and Hospitality Training Package (Certificate II to III)

- Currently the organisation is delivering a group of units from qualifications that make up varying skill sets. Students are being enrolled in the full qualification and therefore the completion number for the full qualification is registering as a low completion rate.

Suburb and state of all delivery sites:

- MADEC Australia currently has a total of 60 sites across South Australia, Victoria and New South Wales including the head office located at:
  - 126 – 130 Deakin Ave Mildura Victoria – Head Office
  - 111 Beach Road, Christies Beach SA 5165 – Branch Office

Third party usage:

- Brighton Secondary School – Recruitment of prospective learners, enrolment and training and assessment.

Core clients/target groups:

- Community services students – predominantly in aged, individual support and child care
- Job seekers – through Job Active Providers
- Several VET in Schools students where the organisation’s trainers and assessors provide the training and conduct assessment.
- Students associated with Regional Development Australia Government initiative.
- Students wanting short courses such as white card, first aid or hospitality skill sets.
- Trainees - on the job

Training Revenue (Funded or fee for service):

- RTO provides government funded programs as well as fee for service.

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

- 1261 students

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 MADEC Australia to ASQA.
- Existing information and records held by ASQA concerning MADEC Australia.
- Information provided to ASQA’s auditors and documentation reviewed during the site audit of MADEC Australia conducted on 10 Dec 2019 - 11 Dec 2019.
- Other publicly available information - including but not limited to, information published on the organisation’s and third-party websites.

## Audit Sample

<b>Training Products</b>	<b>Mode/s of delivery/assessment*</b>	<b>Current enrolments</b>
<i>AHC30116 Certificate III in Agriculture</i>	Face to face & Workplace	256
<i>CHC30113 Certificate III in Early Childhood Education and Care</i>	Face to face & Workplace	477
<i>CHC33015 Certificate III in Individual Support</i>	Face to face & Workplace	7
<i>SIT30616 Certificate III in Hospitality</i>	Face to face	47
<i>CPCCWHS1001 Prepare to work safely in the construction industry</i>	Face to face	0

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

## Interviewees

<b>Name</b>	<b>Position</b>	<b>Training products</b>
Laurence Burt (opening and closing meeting only, via telephone)	Chief Executive Officer	All
Laurie Brautigan	National Training Manager	All
Ellie Little	Compliance Manager	NA
Kate Anderson	Administration Manager	NA
Jim Cavallo	Trainer and Assessor	AHC30116
Simon Burke	Trainer and Assessor	CPCCWHS1001
Adam Swift	Trainer and Assessor	SIT30616
Adam Moore	Trainer and Assessor	SIT30616
Glenis Tennison-Woods	Trainer and Assessor	CHC30113
Belinda Selge	Trainer and Assessor	CHC30113
Gaylene Binney	Trainer and Assessor	CHC33015
Samantha Irvine	Trainer and Assessor	CHC33015

---

## 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

MADEC Australia did not meet all requirements for clauses Standards for RTOs: 1.1, 1.2, 1.3, 1.8, 3.1

*The organisation is required to provide evidence that demonstrates:*

Remedial action is required for the following training products:

- *AHC30116 Certificate III in Agriculture*
  - *AHCCHM303 Prepare and apply chemicals*
  - *AHCCHM304 Transport and store chemicals*
- *CHC30113 Certificate III in Early Childhood Education and Care*
  - *CHCECE004 Promote and provide healthy food and drinks*
  - *CHCECE005 Provide care for babies and toddlers*
- *CHC33015 Certificate III in Individual Support*
  - *CHCAGE005 Provide support to people living with dementia*
  - *CHCCCS023 Support independence and wellbeing*
- *SIT30616 Certificate III in Hospitality*
  - *SITHFAB002 Provide responsible service of alcohol*
  - *SITHFAB005 Prepare and serve espresso coffee*
- *CPCCWHS1001 Prepare to work safely in the construction industry*

*The organisation is required to provide evidence that demonstrates:*

### **Training and Assessment:**

Standards for RTOs Clauses 1.1 and 1.2

- the organisation has corrected its training and assessment practices for current and future students enrolling in training products on its scope of registration and ensures:
  - training and assessment meets the requirements of the training product
  - a sufficient amount of training is provided to students to develop their skills and knowledge prior to being assessed
- its practices are consistent with other learning and assessment documentation produced by the organisation.

Standards for RTOs Clause 1.3

- the organisation has:

- sufficient resources to comply with the Standards for RTOs Clause 1.3 for the delivery of *CHC30113 Certificate III in Early Childhood Education and Care* and *CHC33015 Certificate III in Individual Support*
- a process to ensure students undertaking the training on farms and not in the simulated environment have access to sufficient facilities and equipment for the delivery and assessment of *AHC30116 Certificate III in Agriculture*.

### **Standards for RTOs Clause 1.8**

*AHC30116 Certificate III in Agriculture*

*CHC30113 Certificate III in Early Childhood Education and Care*

*CHC33015 Certificate III in Individual Support*

*SIT30616 Certificate III in Hospitality*

*CPCCWHS1001 Prepare to work safely in the construction industry*

- if not already undertaken, the organisation has corrected its assessment system (to comply with Clause 1.8) for current and future students enrolling in training products on its scope of registration and ensures
  - it has compliant systems that must include the full suite of assessment tools for each unit of competency identified as non-compliant
  - the organisation will implement an assessment system that ensures assessment:
    - complies with the assessment requirements of the relevant training products
    - 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 enrolled in the above training products 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 the organisation in the past six months.

### **Standards for RTOs Clause 3.1**

- the organisation has carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training products 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 package. Remedial action needs to cover students issued with AQF certification in the past six months.

## **Audit finding following analysis of additional evidence**

**Following analysis of additional evidence provided by MADEC Australia on 13/02/2020, the organisation:**

- provided sufficient evidence to demonstrate compliance with:
  - Standards for RTOs:
  - Clauses 1.1, 1.2, 1.3 and 1.8
- remains not compliant with:
  - Standards for RTOs:
  - Clause 3.1

Refer to analysis of additional evidence detailed under each clause in this report for further information.

## Areas of non-compliance

### Training and Assessment

#### Training Delivery and Assessment

##### Standards for RTOs Clause 1.1

*Original Finding: Not compliant*

*Finding following additional evidence: 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*

*Finding following additional evidence: 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.

*AHC30116 Certificate III in Agriculture*

*CHC30113 Certificate III in Early Childhood Education and Care*

*CHC33015 Certificate III in Individual Support*

*SIT30616 Certificate III in Hospitality*

*CPCCWHS1001 Prepare to work safely in the construction industry*

The following evidence was reviewed:

- The following sample of training and assessment strategies were provided:

*AHC30116 Certificate III in Agriculture*

- Two training and assessment strategies consisting of:
  - *Classroom – General*
  - *Traineeship – General*
- A training and assessment strategy for 'Classroom – General Enrolments' for the delivery of *AHCCHM303 Prepare and apply chemicals* and *AHCCHM304 Transport and store chemicals*
- Session Plan

*CHC30113 Certificate III in Early Childhood Education and Care*

- Three training and assessment strategies consisting of:
  - *Group 2 – Classroom – VIC*
  - *Classroom - VET in Schools – SA*
  - *External Enrolments – SA*
- Session Plan

*CHC33015 Certificate III in Individual Support*

- Two training and assessment strategies consisting of:
  - *Ageing specialisation – Classroom based*
  - *Disability specialisation – external (ie, primarily online)*
- Session Plan



### *SIT30616 Certificate III in Hospitality*

- One training and assessment strategy for:
  - *VET in Schools – Classroom delivery*
- One training and assessment strategy for:
  - *SITHFAB002 Provide responsible service of alcohol*
- One training and assessment strategy for:
  - *SITXFSA001 Use hygienic practices for food safety, SITHFAB05 Prepare and serve espresso coffee and SITXCCS007 Enhance customer service* (Brighton High School Coffee Course program)
- Session Plan

### *CPCCWHS1001 Prepare to work safely in the construction industry*

- One training and assessment strategy for 'classroom – general'.
- Session Plan

The organisation's documented training and assessment strategies contain conflicting and/or unclear information regarding the amount of training provided to the target student cohort. For example, but not limited to:

- The same issues were identified across all training and assessment documents as follows:
  - The amount of training is unclear as training and assessment are not separated in the delivery hours. For example, but not limited to:
  - The training and assessment strategy for *SIT30616 Certificate III in Hospitality VET in Schools – Classroom* noted the following hours for delivery and assessment:
    - Delivery period 40 weeks with 33 class days (Page 3 of 47)
    - Duration of Placement 72 hours minimum (Page 7 of 47)
    - Duration and Amount of Training (Page 8 of 47)
      - Amount of Training 830 hours comprising of:
        - 198 hours of supervised instructions
        - 400 hours of unsupervised instructions
        - 160 hours assessment preparation
        - 72 hours of work placement
    - The Course Structure and Delivery Plan (Pages 19 to 23 of 47) equate to 600 hours.
- From the information provided above, it is not clear what hours relate to training and what hours relate to assessment to determine the actual amount of training the students receive for this qualification. Furthermore, the Course Structure and Delivery Plan and the Amount of Training hours noted are not consistent.
- With the exception of the VET in Schools *CHC30113 Certificate III in Early Childhood Education and Care*, the training and assessment strategies for the full qualifications contain conflicting information between the stated Volume of Learning (VoL) and the hours listed in the Delivery Order Schedule. For example, for the *CHC33015 Certificate III in Individual Support (Ageing)* training and assessment strategy, the VoL is stated as 1030 hours, but the hours in the Course Structure and Delivery Plan equate to 699 hours (excluding 3 hours of course orientation). It is unclear how this aligns with the breakdown of the VoL and amount of training, which is given as:
  - 'Amount of Training 1030 hours comprising of:
    - 338 hours of supervised instruction
    - 520 hours of unsupervised activities (and assessment preparation)
    - 120 hours of work placement
    - 52 hours of online activities.'
- In some training and assessment strategies, it is not clear what the component parts of the stated VoL are, how these have been calculated or how they differ. For example, in the breakdown for the *CHC33015 Certificate III in Individual Support (Ageing)* training and assessment strategy outlined above, it is not clear what the 52 hours of 'online activities' consists of and how this is different to the 520 hours of 'unsupervised activities'.
- For the training products requiring work placement:
  - it is not clear whether the student is responsible for sourcing their own work placement.
  - the work placement section in the training and assessment strategies refers to learners being able to undertake work placement with their employer if employed in the industry, despite learner cohorts not being employed in industry.

- it is unclear when the work placement is to occur.
- In relation to *SIT30616 Certificate III in Hospitality* training and assessment strategy for VET in Schools – Classroom delivery:
  - although the units of competency selected meet the packaging rules, the packaging includes the unit *SITHFAB014 Provide table service of food and beverage*. As identified in the training and assessment strategy, a pre-requisite for this unit is *SITHFAB002 Provide responsible service of alcohol*. However, this pre-requisite unit is not delivered as part of the program. The organisation stated that students entering this qualification must have already completed *SITHFAB002 Provide responsible service of alcohol*. The strategy did not include *SITHFAB002 Provide responsible service of alcohol* as an entry requirement.
  - the training and assessment strategy does not clearly state that students under the age of 18 must not use alcohol during training and assessment.
  - the training and assessment strategy notes the course includes 72 hours of work placement; however, there is no information for the trainer and assessor that guides them on how this will be arranged.
  - VoL is noted as 830 hours and the rationale given is that the course is being delivered 'holistically'. The schedule shows units are delivered as stand-alone units, not clustered; however, the organisation explained at audit that the assessment is conducted holistically, not the training. This is also not reflected in the training and assessment strategy.
- In relation to *AHC30116 Certificate III in Agriculture – Traineeships*
  - page 3 of the training and assessment strategy (in the 'Delivery period' row) states '12 months (classroom based 1 day per week)'. At audit, it was agreed the reference to weekly classes was incorrect and requires amending.
  - the delivery location in the training and assessment strategy is noted as institutional delivery and work in industry/work placement. However, on page 10 it notes that it is external delivery and workplace training. There is no mention of class based delivery.
  - the Duration & Amount of Training section notes that there are only 40 hours of 'supervised instruction' and refers only to trainer visits in the workplace for one hour one day per month to conduct delivery assessment and study assistance (approximately 52 hours). The VoL has been calculated based on eight hours of employment per week at the workplace (total of 416 hours). The majority of the noted 1496 VoL hours consist of 'unsupervised activities' (1040 hours) consisting of reading, case studies and research. This does not seem appropriate given the units selected are predominantly units with practical application of skills and knowledge required to be demonstrated in a workplace or an environment that accurately represents workplace conditions.
  - Furthermore, the course includes the unit *HLTAID03 Provide first aid*. It was noted at audit that this unit is delivered and assessed off-job. This is not reflected in the training and assessment strategy.
  - The schedule for traineeships is the same as for the classroom program, with a total of 696 hours. It is unclear how this has been calculated, what it consists of or how it fits with the VoL breakdown.

For all training products reviewed at audit:

The organisation has not demonstrated that its conduct of assessment meets all requirements of the relevant training package. Refer to Clause 1.8 for further detail.

---

#### *Analysis of additional evidence*

*AHC30116 Certificate III in Agriculture*

*CHC30113 Certificate III in Early Childhood Education and Care*

*CHC33015 Certificate III in Individual Support*

*SIT30616 Certificate III in Hospitality*

*CPCCWHS1001 Prepare to work safely in the construction industry*

The following additional evidence was reviewed:

- CHC30113 Cluster 5 Session Plan SA VETiS - homework-unsupervised hours highlighted.pdf
- CHCAGE005 Session Plan Final - homework-unsupervised hours highlighted.docx
- CHCCS023 Session Plan Final - homework-unsupervised hours highlighted.docx

- TAS - AHC30116 - Traineeship - VIC.pdf
- TAS - CHC30113 - Classroom - VETiS - SA.pdf
- TAS - CHC30113 - Classroom - VETiS - VIC.pdf
- TAS - CHC33015 - Ageing - Classroom - SA.pdf
- TAS - CHC33015 - Disability - External - SA.pdf
- TAS - Chemical Users - Classroom - VIC.pdf
- TAS - CPCCWHS1001 - Classroom - SA.pdf
- TAS - CPCCWHS1001 - Classroom - VIC.pdf
- TAS - SIT30616 - Classroom - VETiS - SA.pdf
- TAS - SITHFAB002 - Classroom - SA.pdf
- Training and Assessment Strategy Update Plan 2020.docx
- Unsupervised Hours Breakdown CHCAGE005 and CHCCCS023 - External.docx

The organisation addressed the non-compliance for future students for the following training products:

- *AHC30116 Certificate III in Agriculture*
- *CHC30113 Certificate III in Early Childhood Education and Care*
- *CHC33015 Certificate III in Individual Support*
- *SIT30616 Certificate III in Hospitality*
- *CPCCWHS1001 Prepare to work safely in the construction industry*

The amended sample training and assessment strategies:

- clearly note the amount of training
- clearly separate the assessment hours from the training hours
- include consistent information
- clearly identify the pre-requisite units of competency where they are applicable
- contain clear instructions for the trainers and assessors
- meet legislative requirements where applicable.

### Standards for RTOs Clause 1.3

*Original Finding: **Not compliant***

*Finding following additional evidence: **Compliant***

**The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:**

- trainers and assessors to deliver the training and assessment;**
- educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;**
- learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and**
- facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.**

*AHC30116 Certificate III in Agriculture*

*CHC30113 Certificate III in Early Childhood Education and Care*

*CHC33015 Certificate III in Individual Support*

*SIT30616 Certificate III in Hospitality*

*CPCCWHS1001 Prepare to work safely in the construction industry*

The following evidence was reviewed:

*AHC30116 Certificate III in Agriculture*

*AHCCHM303 Prepare and apply chemicals*

*AHCCHM304 Transport and store chemicals*

- Photos of equipment (sprayers, ute, storage, Personal Protective Equipment (PPE), restraints)

- National AG Vet Chemical Users Course Developed by AusChem (Revised 2017)
- Action Plan
- Trainer Guide
- Completed Assessments
- PowerPoints
- Mapping
- Hazardous Manual Handling: Safety Basics
- Hazardous Manual Handling: Health and Safety Guide
- Hazardous Manual Handling: Review and Revision of Risk Control Measures
- Compliance Code Hazardous Manual Handling

*CHC30113 Certificate III in Early Childhood Education and Care*

- Tour of training facility for the sampled training products
- Session Plans for the sampled units of competency
- PowerPoint slides for the sampled units of competency
- Text book – *The Early Childhood Educator*

*CHC33015 Certificate III in Individual Support*

- Tour of training facility for the sampled training products
- Session Plans for the sampled units of competency
- PowerPoint slides for the sampled units of competency
- Text book – *The Individual Support Worker*
- Dementia Australia videos;
  - *The Unspoken Impact of Dementia* (<https://www.youtube.com/watch?v=z15-0xZTng4>)
  - *What annoys you most about living with dementia? | 'Life doesn't stop with a diagnosis of dementia'* - <https://www.youtube.com/watch?v=W9ooQNcwNvM>
  - *You're Not Alone, Discussing Dementia – Introduction*
  - *You're Not Alone, Discussing Dementia – Episode 1*
  - *You're Not Alone, Discussing Dementia - Episode 2*
  - *You're Not Alone, Discussing Dementia - Episode 3*
  - *You're Not Alone, Discussing Dementia - Episode 6*
  - *You're Not Alone, Discussing Dementia - Episode 9*
  - *You're Not Alone, Discussing Dementia - Episode 10*

*SIT30616 Certificate III in Hospitality*

*SITHFAB005 Prepare and serve espresso coffee*

- Simulated environment included access to sufficient industrial and modern coffee machines and the relevant equipment
- Mapping Guide
- Information handouts
- Observation Checklist
- Student Assessment Kit
- Trainers and Assessors Guide
- User Manuals for machinery
- PASEC Handouts
- Coffee Menus

*SITHFAB002 Provide responsible service of alcohol*

- A Guide to the Responsible Service of Alcohol
- Responsible Service of Alcohol Facilitator Guide (New)
- Liquor Licensing Fact Sheet
- Incident report
- Victorian Commission for Gambling and Liquor Regulation Breaches under the Liquor Control Reform Act 1998
- RSA Test Questions
- Scenario 3 Functions
- Trainers & Assessor Guide (Old)
- Trainer and Assessor Guide (New)

- Order Barring a person from entering or remaining on a licensed premises
- Identification seizure receipt
- Conciliation of complaint application
- General Code of Practice
- Signage related to service of alcohol to under 18
- Signage to Declared Criminal Organisations
- Signage Lock Out
- Signage Taxi Cabs
- Late Night Trading Code of Practice
- General and Hotel License Information
- Intoxication Guidelines
- Parent FAQ Keep teens safe. Stop the Supply
- On Premises Licence Information
- General Information
- Restaurant and Catering Licence Information
- Residential Licence Information
- Community Impact Assessment Guidelines
- Harmful Interactions mixing alcohol with medicines
- PowerPoint
- House Policy Example

*CPCCWHS1001 Prepare to work safely in the construction industry*

- Review of equipment as noted in the unit of competency including:
  - PPE
  - Signage
- State and Territory Acts relevant to locations
- User Guide to Safety Regulators Act
- Assessment Mapping
- Session Plans
- PowerPoint
- Trainer and Assessor Guide
- Student Resources

The evidence provided confirm sufficient resources are available for the delivery of the following training products

- *SIT30616 Certificate III in Hospitality*
  - *SITHFAB005 Prepare and serve espresso coffee*
  - *SITHFAB002 Provide responsible service of alcohol*
- *CPCCWHS1001 Prepare to work safely in the construction industry*

The facilities and equipment to be utilised by the organisation do not enable each student to meet the requirements of the relevant training product. For example, but not limited to:

***AHC30116 Certificate III in Agriculture***

*AHCCHM303 Prepare and apply chemicals*

*AHCCHM304 Transport and store chemicals*

- The organisation provided evidence to confirm it has access to sufficient equipment to deliver these units in the organisation's simulated environment. However, a process was not in place to confirm that when training is conducted on a private working property, the organisation has a process in place to confirm access to sufficient equipment will be available at the property.

*CHC30113 Certificate III in Early Childhood Education and Care*

- The organisation has not demonstrated that it has access to adequate and/or sufficient learning resources to enable its student cohort to meet the requirements for each unit of competency. For example, but not limited to:

- The learner resources for *CHCECE005 Provide care for babies and toddlers* do not address all unit of competency requirements. Specifically:
  - 'different practices and routines used by various families and their underlying cultural or personal rationale'

#### *CHC33015 Certificate III in Individual Support*

- The organisation has not demonstrated that it has access to adequate and/or sufficient learning resources to enable its student cohort to meet the requirements for each unit of competency. For example, but not limited to:
  - the learner resources for *CHCCCS023 Support independence and wellbeing* do not sufficiently address all unit of competency requirements. For example:
    - 'legal and ethical requirements and how these are applied in an organisation and individual practice, including:
      - ... discrimination
      - ... work role boundaries – responsibilities and limitations'

The learning resources discussed disability discrimination, but not, for example, age discrimination, and did not address limitations on the work role.

- the learner resources for *CHCAGE005 Provide support to people living with dementia* do not address all unit of competency requirements. For example:
  - 'competency and image enhancement as a means of addressing devaluation'
  - 'verbal and non-verbal communication strategies including:
    - ... allowing expressions of distress'
  - 'progression of dementia and potential impact on the person with dementia, their family and significant others, including:
    - ... anger
    - ... social embarrassment a family member might feel'

The learning resources did not contain information on the above to enable students to meet the expectations for learning defined by the unit of competency requirements.

#### *Analysis of additional evidence*

*AHC30116 Certificate III in Agriculture*

*CHC30113 Certificate III in Early Childhood Education and Care*

*CHC33015 Certificate III in Individual Support*

*SIT30616 Certificate III in Hospitality*

*CPCCWHS1001 Prepare to work safely in the construction industry*

The following additional evidence was reviewed:

- AG Physical Resources
  - AHC Workplace Resource Procedure.doc
  - Certificate III in Agriculture Resources Checklist.docx
  - Chemical Users Resources Checklist.docx
  - Completed Chemical Users Resources Checklists.pdf
- CHCAGE005 Learning Material – gaps
  - 10 ways to help educate a family living with dementia.pdf
  - activities (1).pdf
  - Additional learner material CHCAGE005.docx
  - Alzheimers-Australia-Caring for Someone with Dementia.pdf
  - Caring for someone with dementia.pdf
  - Case Management Progress Notes template 20191203.docx
  - CHCAGE005 Learning Material Mapping.docx
  - CHCAGE005 Resource Links Document.docx
  - CHCAGE005 Session Plan Final.docx
  - CHCAGE005\_IS\_PPT.pptx

- COAG Health Council\_Communique\_National Code of Conduct for health care workers (1).pdf
  - Dementia in Australia Statistics and Prevalence Estimates and Causes of Dementia.pdf
  - Dementia Strategies to address distress.pdf
  - Dementia-Key-facts-stats.pdf
  - Documentation Skills.docx
  - Documenting-Skills-in-Aged-Care-Progress-Notes.pdf
  - FamilyAndFriendsMatter\_english.pdf
  - Helpsheet-DementiaQandA15-DepressionAndDementia\_english.pdf
  - LGBTI and Dementia tips and take homes.pdf
  - LGBTI key issues and strategies.pdf
  - Managing Communication.pdf
  - Mandatory reporting policy.docx
  - Module-6-Philosophy-of-care.pdf
  - Person-Centred-Guide-South-Australian-Disability-Sector.pdf.docx
  - Phoenix-Helping-Yourself.pdf
  - Progression of dementia in stages.docx
  - Progression of Dementia.docx
  - Reminiscence Guide.pdf
  - Reporting and Documenting Client Care.pdf
  - supporting and reporting client behaviours concern procedure.pdf
  - The Individual Support Worker Text Book Pages.pdf
  - The use of Image and competency enhancement as a means of addressing devaluation.docx
- CHCCCS023 Learning Material – gaps
    - Aged Discrimination Act 2004.pdf
    - AustraliasHumanRightsFramework.pdf
    - Case Management Progress Notes template.docx
    - CHCCCS023 Essential learner reading.docx
    - CHCCCS023 Learning Material Mapping.docx
    - CHCCCS023 PPT.pptx
    - CHCCCS023 reading material list.docx
    - CHCCCS023 Resource Links Document.docx
    - CHCCCS023 Session Plan Final.docx
    - Cultural-Competence-in-Australia-A-Guide.pdf
    - Culture\_specific\_information\_2018.pdf
    - Disability Discrimination Act 1992.pdf
    - Documentation Skills.docx
    - EMPLOYEE JOB SPECIFICATION CHCCCS023023 Ageing.docx
    - EMPLOYEE JOB SPECIFICATION CHCCCS023023 Disability.docx
    - EXAMPLE Privacy Policy - Disclosure.docx
    - Example Support Worker Job Description.pdf
    - Hygiene, personal care, continence, dressing, eating and nutrition.pdf
    - LGBTI and Dementia tips and take homes - Shortcut.Ink
    - LGBTI key issues and strategies - Shortcut.Ink
    - Mandatory reporting policy.docx
    - Maslow's hierarchy of needs and Intimacy and sexual issues.pdf
    - Maslow's hierarchy of needs.docx
    - Mental Health Statement of Rights and Responsibilities 2012.pdf
    - Module-6-Philosophy-of-care.pdf
    - National practice standards for the mental health workforce 2013.pdf
    - NDIS - code\_of\_conduct\_workers.pdf
    - Privacy Act 1988.pdf
    - Professional Boundaries.docx
    - Short Guide to the Information Privacy Principles.pdf
    - SMART goal setting.docx

- Social Styles Jen Jones (2).pdf
- The Aged Care Act 1997.pdf
- The Individual Support Worker Text Book Pages.pdf
- The original hierarchy of needs five.docx
- understanding-professional-boundaries (1).pdf
- Universal Declaration of Human Rights.pdf
- What is consumer directed care.pdf
- CHCECE005 learning Material - gapsbuild-strong-partnerships-with-families.pdf
  - Enrolment and Orientation Policy.docx
  - Individual Routine Parent Requests and Rationales Examples.docx
  - My daily routine.docx
  - Nursery Room Routine.docx
  - plan-effective-transitions-for-children-in-education-and-care-services (1).pdf
  - QA6\_EnrolmentandOrientation.pdf
  - The Childhood Educator - Pages.pdf

The organisation addressed the non-compliance for future students for the following training products:

- *AHC30116 Certificate III in Agriculture*
- *CHC30113 Certificate III in Early Childhood Education and Care*
- *CHC33015 Certificate III in Individual Support*

The response evidence included sufficient evidence to confirm the organisation ensured all student have access to all the required resources.

#### Standards for RTOs Clause 1.8

**Original Finding: *Not compliant***

**Finding following additional evidence: *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	The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.  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.
Flexibility	Assessment is flexible to the individual learner by: <ul style="list-style-type: none"> <li>● reflecting the learner's needs;</li> <li>● assessing competencies held by the learner no matter how or where they have been acquired; and</li> <li>● 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.</li> </ul>
Validity	Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.  Validity requires:



- 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 Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

Table 1.8.2 Rules of Evidence

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

*AHC30116 Certificate III in Agriculture*

*CHC30113 Certificate III in Early Childhood Education and Care*

*CHC33015 Certificate III in Individual Support*

*SIT30616 Certificate III in Hospitality*

*CPCCWHS1001 Prepare to work safely in the construction industry*

The following evidence was reviewed:

*AHC30116 Certificate III in Agriculture*

*AHCCHM303 Prepare and apply chemicals*

*AHCCHM304 Transport and store chemicals*

- Photos of equipment (sprayers, ute, storage, Personal Protective Equipment (PPE), restraints)
- National AG Vet Chemical Users Course Developed by AusChem (Revised 2017)
- Action Plan
- Trainer Guide
- Completed Assessments
- PowerPoints
- Mapping
- Hazardous Manual Handling: Safety Basics
- Hazardous Manual Handling: Health and Safety Guide
- Hazardous Manual Handling: Review and Revision of Risk Control Measures
- Compliance Code Hazardous Manual Handling
- Completed Student Assessments for:
  - AAA (68567) (Victoria)
  - JB (67530) (Victoria)
  - ARMHIB (67568) (Victoria)
  - NC (53896) (Victoria)
  - TC (54000) (Victoria)
  - MC (66871)
  - NC (66477)
  - NC

*CHC30113 Certificate III in Early Childhood Education and Care*

*CHCECE005 Provide care for babies and toddlers*

- Trainer and Assessor Guide for Cluster 5 (Date of issue: 28 February 2019)
- Student Assessment Kit for Cluster 5 (Date of issue: 28 February 2019)
- Workplace Supervisor Report (Date of issue: 16 April 2019)
- Assessment Recording Tool for Cluster 5 (Date of issue: 28 February 2019)
- Cluster 5 Assessment Mapping version 5
- Workplace Reflection Diary (date of issue: 15 March 2019)
- Assessor Observation Report (Date of issue: 9 April 2019)

*CHCECE004 Promote and provide healthy food and drinks*

- Trainer and Assessor Guide for Cluster 5 (Date of issue: 28 February 2019)
- Student Assessment Kit for Cluster 5 (Date of issue: 28 February 2019)
- Workplace Supervisor Report (Date of issue: 16 April 2019)
- Assessment Recording Tool for Cluster 5 (Date of issue: 28 February 2019)
- Cluster 5 Assessment Mapping version 5
- Workplace Reflection Diary (date of issue: 15 March 2019)
- Assessor Observation Report (Date of issue: 9 April 2019)

Completed student assessment items (and the assessment tools used):

*CHCECE005 Provide care for babies and toddlers*

*CHCECE004 Promote and provide healthy food and drinks*

- AC (63925)
- HC (114142)
- BD (64159)

*CHC33015 Certificate III in Individual Support*

*CHCAGE005 Provide support to people living with dementia*

- Trainer and Assessor Guide (Date of issue: 23 August 2019)
- Assessor Observation Report (Date of issue: 23 August – no year)
- Student Practical Placement Information Guide (Date of issue: 12 December 2017)
- Workplace Supervisor Report (Date of issue: 05 April 2019)

*CHCCCS023 Support independence and wellbeing*

- Trainer and Assessor Guide (Date of issue: 12 March 2019)
- Assessor Observation Report (Date of issue: 12 March 2019)
- Workplace Supervisor Report (Date of issue: 05 April 2019)
- Student Assessment Kit (Date of issue: 12 March 2019)
- Student Practical Placement Information Guide (Date of issue: 12 December 2017)

Completed student assessment items (and the assessment tools used):

- SD (65325)
- LP (65203)
- MJ (64980)

*SIT30616 Certificate III in Hospitality*

*SITHFAB005 Prepare and serve espresso coffee*

- Simulated environment included access to sufficient industrial and modern coffee machines and the relevant equipment
- Mapping Guide
- Information handouts
- Observation Checklist
- Student Assessment Kit
- Trainers and Assessors Guide
- User Manuals for machinery
- PASEC Handouts
- Coffee Menus

*SITHFAB002 Provide responsible service of alcohol*

- A Guide to the Responsible Service of Alcohol
- Responsible Service of Alcohol Facilitator Guide (New)
- Liquor Licensing Fact Sheet
- Incident report
- Victorian Commission for Gambling and Liquor Regulation Breaches under the Liquor Control Reform Act 1998
- RSA Test Questions
- Scenario 3 Functions
- Trainers & Assessor Guide (Old)
- Trainer and Assessor Guide (New)
- Order Barring a person from entering or remaining on a licensed premises
- Identification seizure receipt
- Conciliation of complaint application
- General Code of Practice
- Signage related to service of alcohol to under 18
- Signage to Declared Criminal Organisations
- Signage Lock Out
- Signage Taxi Cabs
- Late Night Trading Code of Practice
- General and Hotel License Information
- Intoxication Guidelines
- Parent FAQ Keep teens safe. Stop the Supply
- On Premises Licence Information
- General Information
- Restaurant and Catering Licence Information
- Residential Licence Information
- Community Impact Assessment Guidelines
- Harmful Interactions mixing alcohol with medicines
- PowerPoint
- House Policy Example
- Completed student assessment items for:
  - IJC (67708) (SA) SITHFAB002
  - DDS (67787) (SA) SITHFAB002
  - RDS (67701) (SA) SITHFAB002
  - Victoria:
    - HA - SITHFAB002
    - SMB - SITHFAB002
    - RAC - SITHFAB002
  - BJB (68176) (VIC) SITHFAB005
  - SLD (68180) (VIC) SITHFAB005
  - BWW (68172) (VIC) SITHFAB005

*CPCCWHS1001 Prepare to work safely in the construction industry*

- Review of equipment as noted in the unit of competency including:
  - PPE
  - Signage
- State and Territory Acts relevant to locations
- User Guide to Safety Regulators Act
- Assessment Mapping
- Session Plans
- PowerPoint
- Trainer and Assessor Guide
- Student Resources
- Completed student assessment items for:
  - PM (66426) (SA)
  - SN (67713) (SA)
  - PP (68016) (SA)

- KA (68349) (VIC)
- BN (67820) (VIC)
- PD (67383) (VIC)
- RR (68577) (NSW)
- JW (new)
- JG (new)

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 their assessment system and implementation of the assessments 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 above that addresses all requirements of Clause 1.8.
- that confirms students were assessed as meeting all the requirements of the training products in which they are/were enrolled.

#### *AHC30116 Certificate III in Agriculture*

##### *AHCCHM303 Prepare and apply chemicals*

Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:

- Performance Criteria:
  - '1.3 Undertake a hazard and risk analysis of different chemical options'
  - '2.7 Follow label instructions in the event of a spill'

The assessment tasks and material do not assess and/or capture evidence of the students demonstrating the above criteria.

- Performance Evidence:
  - 'apply chemicals safely in compliance with labels, legislation and codes of practice'
  - 'follow emergency procedures during an accident or spillage'.

The assessment task do not include a practical assessment and/or capture evidence of the students demonstrating their skills on the above performance evidence.

- Knowledge Evidence:
  - 'how to mix chemicals including mixing order, adjuvants and water quality'
  - 'features, functions and calibration techniques for a range of powered and hand held application equipment relevant to the industry sector'

The assessment material does not assess the students' knowledge on the mixing order of chemicals or the features and functions for a range of powered and hand held application equipment relevant to the industry sector.

##### *AHCCHM304 Transport and store chemicals*

Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:

- Performance Criteria:
  - '2.2 Carry out emergency procedures according to chemical label, SDS and workplace procedures'

This assessment criteria is mapped to questions 21 and 22 and Assessment 2, Activity 3 that require the students to demonstrate their knowledge on carrying out emergency procedures according to the chemical label, SDS and workplace procedures. They do not require the students to actually demonstrate their practical skills in carrying out emergency procedures according to the chemical label, SDS and workplace procedures. Assessment 4 includes in the instructions that the students are to respond to a chemical spill; however, this is not included in the observation assessment tool.

- '4.2 Report storage incidents according to legislative and regulatory requirements and workplace procedures'

The assessment activities do not require the student to report storage incidents in accordance with legislative and regulatory requirements and workplace procedures.

- Foundation Skills:
  - 'Address problems and initiate standard procedures in response to emergencies applying problem solving processes'

Because the practical assessment does not assess against the above performance criteria, the assessments do not confirm the students applied this foundation skill whilst getting the work done.

- Performance Evidence:
  - 'There must be evidence that on at least one occasion the individual has demonstrated that they have ... monitored chemical expiration and disposed of chemicals and waste according to workplace procedures and legislative and regulatory requirements'

This is mapped to Assessment 2, Activity 3, which does not sufficiently capture the students being assessed on applying their practical skills in monitoring chemical expiration and disposing of chemicals and waste according to workplace procedures and legislative and regulatory requirements.

- Knowledge Evidence:
  - 'knowledge of:
    - risk factors including human and animal health and environmental
    - health and safety in the workplace requirements including ... manual handling
    - recording and monitoring of chemical stores including, expiration and disposal procedures'

The assessment questions 21, 23 and 24 do not assess the students on the risk factors associated to human, animal health and environmental health. The assessment tasks do not assess students on appropriate manual handling when loading, unloading and using chemicals. The assessment tools include a tool that captures monitoring of chemical stores, including, expiration and disposal procedures; however, the tool is not currently used as part of the assessment process.

Completed student assessments for both units:

The assessment practices 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:

- Student NC (68342) incorrectly answered questions 3, 11, 14, 23, 30 and 33
- Student NJC (66477) incorrectly answered questions 11 and 12
- Student JB (119542) did not answer the last part of question 17

The above are examples only of where students incorrectly answered and/or did not answer questions in their assessment and yet the students were marked as correct and marked as competent by the assessor/s. There was no other evidence provided of a further assessment or resubmission being conducted.

Furthermore, the assessment practices are not valid and reliable as some student responses were exactly the same, word for word, as the assessor model answer guidance (for example, but not limited to students JB & AA). The organisation stated that this was because the assessment was an open book and the students could copy directly from their resources or a PowerPoint. This method does not ensure the students have gained the knowledge required by the unit of competency.

#### Action Plan

The organisation provided an Action Plan (no date) that includes items of non-compliance they have become recently aware of and the actions that have been completed against the items, including cessation of enrolments into *AHC30116 Certificate III in Agriculture*. The Action Plan also noted the above findings and the corrective actions taken by the organisation.

#### *SIT30616 Certificate III in Hospitality*

- *SITHFAB005 Prepare and serve espresso coffee*

Current assessment tools:

Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:

- Performance Criteria:
  - '2.5.Clean grinder as required during or after the service period'
  - '5.1.Select cold milk and appropriate milk foaming jug to fulfil customer orders'

- The above two performance criteria were not sufficiently assessed in the practical assessment tasks.
- Foundation Skills
  - 'sequence the preparation of beverages and their components to efficiently serve customers'

The practical assessment requires the students to demonstrate this; however, it is not captured in the assessment tools.

- Knowledge Evidence:
  - 'major ... characteristics of espresso coffee beverages specified in the performance evidence'
  - 'quality indicators for espresso coffee extraction:
    - cake of used ground coffee'
  - 'available options to meet specific customer preferences relating to:
    - accompaniments'

The assessment activities did not ensure the above knowledge requirements were sufficiently assessed.

New assessment tools:

The organisation has addressed some of the non-compliance for future students by providing new assessment tools. The new assessment tools address all of the unit of competency requirements and are deemed compliant.

Completed student assessments for both units:

The assessment practices 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:

- BJB (68176) did not answer/fully answer or incorrectly answered questions 2b, 13, 22 & 26
- SLD (68180) did not answer/fully answer or incorrectly answered questions 2b, 5 & 13,
- BWW (68172) did not answer/fully answer or incorrectly answered questions 2b, 5 & 13

The group of students consisted of Flexible Learning Option (FLO) students, which is students who are having trouble staying at school. The assessor conducted several verbal assessment where the students did not sufficiently answer the written questions. However, in some instances, sufficient information of the verbal assessment responses was not sufficiently captured.

- *SITHFAB002 Provide responsible service of alcohol*

Validity and Sufficiency - the assessment tools for both the old and the new assessments do not address all unit of competency requirements. For example, but not limited to:

- Performance Criteria:
  - '3.3 Identify customers to whom sale or service must be refused according to state and territory legislation.'

The practical assessment is mapped to Assessment Task 2 – Observations 4 and 8, it does not specifically state which part of the legislation of a state or territory students are to identify in order to refuse sale or service of particular customers, as per the requirements of the unit of competency.

Of note: Although there are several other performance criteria not covered in the old assessment instruments, the new one has addressed all of these gaps with the exception of the above.

- Foundation Skills
  - 'Teamwork skills to: share customer information with team members to ensure proper responsible service of alcohol practices within the organisation.'

The practical assessment is mapped to Assessment Task 2 Observations. This does not include the students demonstrating teamwork skills as per the requirements of the unit of competency.

Of note: Although there are several other Foundation Skills not covered in the old assessment instruments, the new one has addressed all of these gaps with the exception of the above.

- Performance Evidence:
  - 'document organisational policies and procedures that must be followed for the responsible sale or service of alcohol'

The practical assessment is mapped to Assessment Task 2, Observations 2, 10, 12 and 15. Although these include procedures, they do not specifically include organisational policies as per the requirements of the unit of competency.

Of note: This is the only assessment gap in both the old and the new assessment tools.

- Knowledge Evidence:
  - 'impact of excessive drinking on: ... those around the person drinking to excess:
    - family
    - friends
    - colleagues'

The Assessment Task 2 – Observational Checklist provided at audit mapped to Question 7. This question does not specifically address and include the above three categories of persons, as per the requirements of the unit of competency.

- Reliability - the assessment tools do not contain sufficient performance benchmarks for each skill and/or behaviour to be demonstrated; therefore, it cannot be confirmed that all training package requirements will be met and that consistent judgements will be made by assessors across a range of students. For example, but not limited to:
  - the Trainer & Assessor Guides and Observational Checklists both old and new include model answers for some questions. However, some of the guidance on the criteria for acceptable performance is insufficient. For example:
    - for the new assessment tool, Assessment Task 2 – Observation 8, the criteria for acceptable performance notes:
      - 'the assessor may ask questions in order to assess the students' competence in this element'.

Student completed assessments:

- As identified at audit by the organisation, the Victorian based students must use the mandated assessment instruments from the *Victorian Commission for Gambling and Liquor Regulation* for the assessment of this unit. The organisation already identified there are large gaps between the mandated assessment instruments and the unit of competency. Therefore, they have developed the new assessment tools that will be implemented to all students in all locations. The future Victorian-based students will need to complete the mandated assessments as well as the new assessments.

New assessment tools:

- The organisation has addressed some the non-compliance for future students by providing a newly amended and updated Trainer & Assessor Guide at audit; however:
  - further changes and amendments are required to the Trainer and Assessor Guide as well as the Students Assessment documents regarding the identified gaps to the assessment requirements as per the above examples.

*CPCWHS1001 Prepare to work safely in the construction industry*

Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:

Old assessment tools:

- Performance Criteria:
  - '1.1. Basic roles, responsibilities and rights of duty holders are identified and explained according to jurisdictional health and safety legislative requirements'
  - '1.2. Duty of care requirements are identified'
  - '2.1 Basic principles of risk management are identified'
  - '3.4. Procedures for reporting hazards, incidents and injuries are identified'.

The questions and assessment tasks in the old assessment tools did not address the above performance criteria.

- Foundation Skills:
  - 'locate and recognise numbers commonly used in safety signs
  - ask questions to clarify instructions
  - listen to instructions to identify key safety information'

The assessment tasks did not ensure the students were assessed on the above performance evidence.

- Knowledge Evidence:
  - 'construction hazards, including those relating to:
    - asbestos
    - confined spaces'
  - 'types, purpose and use of PPE used in construction, as specified in the performance evidence, and including safety footwear, harnesses and respiratory protection, and ultraviolet (UV) protective clothing and sunscreen'

The assessment activities did not ensure the above knowledge requirements were sufficiently assessed.

New assessment tools:

The organisation has addressed some of the non-compliance for future students by providing new assessment tools that have already been implemented. The new assessment tools address all of the unit of competency requirements with the minor exception of 'meanings and symbols associated with construction safety signs ... including emergency information signs: exits'. The students reviewed using the new tools included:

- JW
- JG

Completed student assessments:

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:

- PJM (66426)
- SGN (67713)
- PTP (68016)

For example, but not limited to:

- The above students were assessed using the old assessment instruments that did not assess against all of the unit requirements as noted in, but not limited to, the examples provided above.

### **CHC33015 Certificate III in Individual Support**

#### **CHCCCS023 Support independence and wellbeing**

Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:

- Performance Criteria:
  - '1.2 Avoid imposing own values and attitudes on others and support the person to express their own identity and preferences'
  - '3.5 Recognise indications that the person's physical situation is affecting their wellbeing and report according to organisation procedures'
  - '4.8 Recognise and report possible indicators of abuse or neglect and report according to organisation procedures'

The above Performance Criteria, among others, are mapped to verbal questions only. These verbal questions assess the student's knowledge, not the practical skills required to be demonstrated in accordance with the Performance Criteria.

The assessor instructions for the Observations in the Trainer and Assessor Guide includes the statement:

- 'Where the full range of contexts and situations have not been provided for the above criteria, the assessor may use simulation or engage the student in a verbal discussion and ask the student to demonstrate the criteria under simulation in the workplace.'

However, there are no assessor instructions or scenarios stipulating how simulation will be undertaken or what 'verbal discussion' should occur if this is required. Without knowing how this would be conducted, it cannot be confirmed that where simulation is used, the unit of competency requirements will be met.



Examples of unit of competency requirements that may not be able to be demonstrated on work placement include, but are not limited to:

- '1.4 Recognise, respect and accommodate the person's expressions of identity and sexuality as appropriate in the context of their age or stage of life'
- '3.3 Identify hazards and report according to organisation procedures'
- '4.5 Identify variations to a person's wellbeing and report according to organisation procedures'
- Knowledge Evidence:
  - 'service delivery models and standards'The assessment tool addresses service delivery models, but not standards.
  - 'support strategies, resources and networks'The assessment tool addresses support strategies and resources; however, it does not ensure that knowledge of support networks will be elicited as students may answer the questions but only discusses support resources.
- Reliability - the assessment tools do not contain sufficient performance benchmarks for each skill and/or behaviour to be demonstrated; therefore, it cannot be confirmed that all training package requirements will be met and that consistent judgements will be made across a range of students and assessors. For example, but not limited to:
  - As above, the assessor instructions for the observations state that assessors may use simulation. However, there are no assessor instructions or scenarios stipulating how simulation will be undertaken if required. Accordingly, it cannot be confirmed that the assessment will be reliably conducted and assessed.
  - It is unclear from the marking guide provided for some questions in Assessment Task 1 – Research Task, what information, at a minimum, must be provided by the student for the answer to be assessed as correct. For example, question 16 parts b and c.
  - The model answers in the marking guide for some questions in Assessment Task 1 – Research Task do not answer the question. For example, but not limited to, question 15 part b. specifically, the answer does not describe how networks aid emotional needs.

Completed student assessments:

- 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:
  - SD (65325)
    - The student did not sufficiently answer Question 16 part b in accordance with the marking guide, but has been marked correct.
    - The Assessment Recording Tool observation checklists for the practical assessments for this student state 'classroom simulation' in the assessor comments or observations field. The Assessment Conditions for this unit of competency state 'Skills must have been demonstrated in a relevant workplace with the addition of simulations and scenarios where the full range of contexts and situations have not been provided in the workplace.' Accordingly, simulations are to be used to support assessment where they are unable to be completed in the workplace, not as the sole means of practical assessment.
  - LP (65203)
    - The student's answers to Questions 6 and 13 part b do not answer the questions, but have been marked as correct.
  - MJ (64980)
    - The student's answer to Question 13 part b does not fully answer the question but has been marked as correct.
    - The observation checklists and attached written notes for this student suggest that some or all of these assessment tasks were completed as a theoretical written case study, not a practical observation. This does not meet the Performance Criteria and performance evidence requirements.

The assessment records for this student also include a Work Task Diary completed on placement. This Work Place Diary:

- is not valid or sufficient as it does not cover all unit of competency requirements for the Performance Criteria and Performance Evidence requirements.
- is not reliable because it does not include any benchmarks or observables for assessors or the supervisors to ensure that all training package requirements will be met and that consistent judgements will be made by assessors across a range of students.
- For all students, the completed assessment records do not capture sufficient evidence that the student has 'safely supported at least 3 people to enhance support and wellbeing', as required by the performance evidence requirements. The Work Task Diary does not indicate that evidence was assessed regarding who the 'clients' referred to were and their care plans to verify that the student safely supported at least three (3) people. In addition, no Work Task Diary was provided for student SD (65325).

### **CHCAGE005 Provide support to people living with dementia**

Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:

- Performance Criteria:
  - '1.4 Recognise signs consistent with financial, physical or emotional abuse or neglect of the person and report to an appropriate person'

This is mapped to a verbal question. This assesses knowledge only, not the practical skill as required in the Performance Criteria.

- '2.2 Gain cooperation and provide reassurance as appropriate by using reality orientation'  
This is mapped to Assessment Task 3 Assessment Criteria b) 'Identified client's needs for a stable and familiar environment by using reality orientation to provide reassurance where appropriate.'  
This stated assessment criteria and 'examples of what to look for' in the Trainer and Assessor Guide address providing reassurance by using reality orientation, but not gaining cooperation by using reality orientation.

- Knowledge Evidence:
  - 'verbal and non-verbal communication strategies including:
    - ... Acknowledgement
    - ... allowing expressions of distress'

This knowledge evidence requirement is mapped to Question 8. Question 8 does not include acknowledgement. In addition, the model answer for allowing expressions of distress in Question 8 does not describe the strategy of allowing expressions of distress nor provide examples of situations when it is used as instructed by the question.

- Reliability - the assessment tools do not contain sufficient performance benchmarks for each skill and/or behaviour to be demonstrated; therefore, it cannot be confirmed that all training package requirements will be met and that consistent judgements will be made across a range of students and assessors. For example, but not limited to:
  - '3.5 Provide support and guidance to family, carers and/or significant others where appropriate'

The 'Examples of what to look for' in relation to providing support and guidance for the relevant assessment tasks (Assessment Criteria d, for both Assessment Task 2 and Assessment Task 3) state, 'provide support and guidance' and specify generally when the support and guidance should be provided; however, do not provide any guidance to assessors on observables or performance benchmarks for when a student should be assessed as competently having provided support and guidance.

- '5.1 Comply with the organisation's reporting requirements, including reporting observations to supervisor'  
'5.2 Complete, maintain and store documentation according to organisation policy and protocols'

The instructions state 'Comply with the workplaces (sic) reporting requirements, including reporting observations to supervisor and completing the Case Management Progress Note (or similar workplace document) to workplace standards.'

The 'Examples of what to look for' for Assessment Criteria i) for both Assessment Task 2 and Assessment Task 3 is a restatement of the Assessment Criteria, with the additional instruction that 'Documents must contain factual and accurate information'. This is not a sufficient performance benchmark. In addition, a template Case Progress Note form is provided for Assessment Task 2: Role Play, but there is no example model answer for a completed Case Progress Note for the scenario.

Completed student assessments:

- 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:
  - LP (65203)
    - Question 9 of Assessment Task 1 is mapped to the knowledge evidence criteria:
      - 'progression of dementia and potential impact on the person with dementia, their family and significant others, including:
        - depression
        - loss and grieving
        - anger
        - despair
        - social embarrassment a family member might feel
        - isolation
        - financial burden on the family
        - social devaluation'
    - The student's answers to Question 9 discuss only effects on the family or significant others. The answers do not discuss impacts on the person with dementia, as required by the knowledge evidence criteria.
    - The student's answer to Question 10 part c does not answer the question. The answer has been marked as correct.
    - The completed Case Management Progress Notes for Assessment Task 2 do not demonstrate that the student is competent in completing documentation in accordance with Performance Criteria 5.2. For example, for 'Summary of Actions', the Case Management Progress Notes state 'Help her to monitoring promote her verbally & non-verbally' and 'Validation Reality, orienting, reminiscence (sic) therapy, calm down', respectively. It is not clear from the forms what the student did and does not give sufficient information for the purposes of case management and record keeping.
  - SD (65325) and LP (65203)
    - The Observation Checklist for Assessment Task 3 indicates this Assessment Task was completed only as a simulation, not in the workplace for the above two students. Assessment Task 2 is also conducted as a simulated role play. The assessment conditions for this unit of competency states that 'skills must have been demonstrated in an ageing support workplace with the addition of simulations and scenarios where the full range of contexts and situations have not been provided in the workplace.' Accordingly, simulations are to be used to support assessment where unable to be completed in the workplace, not as the primary means of practical assessment.
  - For all students, the completed assessment records do not capture sufficient evidence that the student has 'provided support to three (3) different people living with dementia', as required by the performance evidence requirements. The Work Task Diary does not indicate that evidence was assessed regarding who the 'clients' referred to were and their care plans to verify that the student provided support to 3 different people living with dementia. In addition, no Work Task Diary was provided for student SD (65325).

**CHC30113 Certificate III in Early Childhood Education and Care  
CHCECE005 Provide care for babies and toddlers**

Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:

- Performance Criteria:

- '1.1 Reach agreement with families on how sleep and rest will occur'

This Performance Criteria is mapped to Assessment Task 6. Assessment Task 6 assesses the student's ability to comply with the family's preferences, not the ability to reach agreement with families on how sleep and rest will occur.

- '3.3 Follow approved standards for safe storage and heating of formula and breast milk and for cleaning equipment and utensils'

The assessment tools do not assess whether the student is able to follow approved standards for safe storage.

- '5.2 Respond to babies and toddlers when they practise language by repeating words, sounds and gestures that children use'

The assessment tools do not assess the student responding to toddlers when they practise language by repeating words, sounds and gestures that children use.

- Performance evidence:

- 'provided care to at least three different babies and toddlers of varying ages using safe and hygienic practices, including:

- assessing and responding appropriately to babies' needs, including hunger, distress, tiredness and pain'

The above performance criteria is mapped to an observation conducted in the workplace while the student is on placement. This does not ensure that the student will demonstrate the ability to assess and respond appropriately to pain as such a situation may not occur whilst the student is on placement and the observation is being conducted. There are no instructions regarding simulation of this situation.

- 'developed a nurturing and securely attached relationship with at least three different babies and toddlers of varying ages, including:

- settling new babies and toddlers through observing, monitoring and appropriately interacting with them and their caregivers'

The assessment tools do not ensure that the student will demonstrate their ability to settle babies and toddlers. In particular, Assessment Task 7 refers to settling 'children' and does not require that the task be completed with babies and toddlers. Nor does the observation checklist for this Assessment Task record the age of the children in the observation. It is noted that this cluster also includes the unit *CHCECE003 Provide care for children*, which includes the element 'settle new arrivals'.

- Knowledge evidence:

- 'appropriate interactions with babies and toddlers, including:

- individual differences of babies' and toddlers' needs for rest, and sleep/rest patterns
- signs of stress, distress or pain in babies and toddlers'

The assessment tools do not assess the student's knowledge of individual differences or signs of pain.

- 'recommendations for oral health, including restricting bottles meal times only'

The assessment tools do not assess the student's knowledge of restricting bottles to meal times only.

- 'emotional, physical and language development of babies and toddlers'

The assessment tools do not assess knowledge of physical development of toddlers.

### ***CHCECE004 Promote and provide healthy food and drinks***

- Performance Criteria:

- '2.4 Assist in providing education and support to families around healthy eating'
- '3.1 Assist in developing and maintaining food safety procedures according to relevant guidelines'

The assessment tools do not assess the above Performance Criteria.

- Performance evidence:

- 'planned and provided food and drink for children on at least three occasions, including... ensuring safe handling, preparation and storage of food and drinks'

The assessment tools do not ensure that the student will be assessed on planning and providing, including safe handling, preparation and storage of, drinks on three occasions.

- Knowledge evidence:
  - 'implications of poor diet including tooth decay, deficiencies, poor concentration, out of character behaviour'

The assessment tools do not ensure that the assessment will elicit knowledge of each of the specified implications as required by the knowledge evidence criteria; namely, tooth decay, deficiencies, poor concentration and out of character behaviour as implications of poor diet.

- 'importance of addressing individual dietary needs and preferences with particular reference to specific cultural, religious or health requirements'

The assessment tools do not address the importance of addressing individual dietary needs and preferences.

- 'organisational standards, policies and procedures.'

The assessment tools did not address this knowledge evidence requirement.

- Reliability - the assessment tools do not contain sufficient performance benchmarks for each skill and/or behaviour to be demonstrated; therefore, it cannot be confirmed that all training package requirements will be met and that consistent judgements will be made across a range of students and assessors. For example, but not limited to:

*CHCECE005 Provide care for babies and toddlers*

*CHCECE004 Promote and provide healthy food and drinks*

- The 'Examples of what to look for' sections of the Trainer and Assessor Guide for the observations do not include sufficient benchmarks or observables. They provide only a reference to the Standards or Elements within the National Quality Framework, they do not include the benchmarks or observable behaviours required for the student to be assessed as meeting the relevant Performance Criteria or Performance Evidence requirement.

Completed student assessments:

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:

***CHCECE005 Provide care for babies and toddlers***

***CHCECE004 Promote and provide healthy food and drinks***

- AC (63925)
  - For Assessment Task 2, although it has been ticked 'yes' on all three observation checklists for this task, the comments on the completed Assessor Observation Report indicate that the student did not demonstrate 'identifying and responding to requirements related to food allergies, medical conditions and cultural and religious requirements' on each of the three occasions as required by the performance evidence. In particular, the comments for the second occasion state 'next meal/snack time, [the student] will ask educators about where she can find this information', and the comments for the third occasion state 'speak with parents. Check enrolment forms or deviation forms', indicating that this was answered as a knowledge question of how it could be identified, not an observation of the student performing this skill.
  - The instructions for Assessment Task 3 state, 'the student will need to complete two nappy changes of children under 24 months and assist one toddler with going to the toilet.' The completed observation checklist for this assessment task only captures the child performing one nappy change and the comments of the checklist suggest that the student observed educators assisting a toddler with toileting tasks and discussed how she would do this, not completed this herself. For example, '[the student] expressed that she would encourage him to do most of the routine himself'.
  - No completed observation checklists were provided for Assessment Tasks 4, 5, 6 or 7 for this student.

- HC (114142)
  - The student's answers to Question 53 of Assessment Task 1 do not fully answer the question. The answer has been marked as correct.
  - The student's answer to Question 61 of Assessment Task 1 for Principle 4 does not relate to Principle 4 as defined in the marking guide. The answer has been marked as correct.
  - Performance Criteria 4.5 'Keep up-to-date with children's immunisation status and recommended immunisation schedule'. The student's response to Assessment Task 8 Portfolio states 'As a student, it is not my responsibility to keep up to date with children's immunisation status and recommended immunisation schedule' and goes on to explain that the student was advised by the centre that it does not have a policy but the centre requires an immunisation form on enrolment before enrolling students. This does not demonstrate the student's ability to keep up-to-date with children's immunisation status and recommended immunisation schedule.
  - The Trainer and Assessor Guide for Assessment Task 8 Portfolio requires the student to provide evidence of their ability to 'communicate with families about the children's progress'. The student's response states 'as a student I am not allowed to talk to parents about their child's progress however I did observe other educators do this' then goes on to discuss the communication the student observed. This does not meet the criteria specified in the Trainer and Assessor Guide.
  - Completed Observation Checklists were not provided for this student.
  
- BD (64159)
  - The student's answers for Question 61 of Assessment Task 1 do not answer the question. The answers have been marked as correct.
  - The comments in the Assessment Recording Tool demonstrate that the student has been marked as satisfactory for Assessment Tasks when she has not met all Assessment Task requirements. For example, but not limited to:
    - The comments in the Assessment Recording Tool for Assessment Task 2 for all three observations note that cleaning of plates and utensils is performed by kitchen staff, and was not performed by the student. For example, observation 1 states 'Once meal times were completed the cook would collect the food trolleys and with the plate and utensils and take them back to the kitchens for deep clean'. This does not demonstrate the student's ability to follow approved standards for cleaning equipment and utensils as required by Performance Criteria 3.3 of CHCECE005 *Provide care for babies and toddlers*.
    - The comments in the Assessment Recording Tool for observation 1 of Assessment Task 2 states 'None of the food came in with food labels', yet the assessor has ticked 'yes' for 'Review food labels to ensure any ingredients of concern are identified and nutrition content aligns with the healthy eating requirements of that age group'. The comments in observation 2 and 3 for this assessment task do not demonstrate that the assessor directly observed the student reviewing food labels. This does not demonstrate that the student can 'Read and interpret food labels and other information about food contents' as required by Performance Criteria 2.3 of CHCECE004 and corresponding performance evidence criteria.
    - The comments in the Assessment Recording Tool for Assessment Tasks 4 and 6 do not demonstrate the student was observed performing the stated tasks. The comments record a conversation with the student, not a practical observation.

---

*Analysis of additional evidence*

*AHC30116 Certificate III in Agriculture*

*CHC30113 Certificate III in Early Childhood Education and Care*

*CHC33015 Certificate III in Individual Support*

*SIT30616 Certificate III in Hospitality*

*CPCCWHS1001 Prepare to work safely in the construction industry*

The following additional evidence was reviewed:

- Assessments
  - CHC30113
    - CHC30113 Cluster 5 AOR FINAL.docx
    - CHC30113 Cluster 5 SAK FINAL (gap highlighted).docx
    - CHC30113 Cluster 5 TAG FINAL.docx
    - CHC30113 Simulation Employer Letters.pdf
  - CHC33015
    - CHC33015 Simulation Employer Letters.pdf
    - CHCAGE005 IS AOR FINAL.docx
    - CHCAGE005 IS SAK FINAL.docx
    - CHCAGE005 IS SAR FINAL.docx
    - CHCAGE005 IS TAG FINAL.docx
    - CHCCCS023 IS AOR FINAL.docx
    - CHCCCS023 IS SAKFINAL.docx
    - CHCCCS023 IS SAR FINAL.docx
    - CHCCCS023 IS TAG FINAL.docx
  - Chemical Users
    - AHCCHM307 & AHCCHM304 SAK FINAL.doc
    - AHCCHM307 & AHCCHM304 TAG FINAL.doc
  - CPCCWHS1001
    - CPCCWHS1001 work safely in construction PPT SA FINAL.pptx
    - White Card Handout FINAL.docx
    - CPCCWHS1001 SA GAP SAK FINAL.docx
    - CPCCWHS1001 SA SAK FINAL.docx
    - CPCCWHS1001 SA TAG FINAL.docx
    - CPCCWHS1001 VIC GAP SAK FINAL.docx
    - CPCCWHS1001 VIC SAK FINAL.docx
    - CPCCWHS1001 VIC TAG FINAL.docx
  - SITHFAB002
    - SITHFAB002 SA GAP ASSESS SAK FINAL.docx
    - SITHFAB002 SA SAK FINAL.docx
    - SITHFAB002 SA TAG FINAL.docx
    - SITHFAB002 VIC SAK - GAP ASSESS FINAL.docx
    - SITHFAB002 VIC SAK FINAL.docx
    - SITHFAB002 VIC TAG FINAL.docx
  - SITHFAB005
    - SITHFAB005 SAK GAP ASSESS FINAL.docx
  - GAP ASSESSMENT COVER SHEET.docx
  - Trainer Professional Development
    - Assessment and Moderation Session - Christies Beach.pdf
    - Assessment and Moderation Session - Mildura.pdf
    - MADEC T&A PD Assess, Validation, Moderation.pptx
    - Trainer and Assessor Professional Development Plan - 2020.docx
  - Gap Assessment Calander.docx
  - Post Audit Validation Plan 2020.docx
  - Sample ASQA Gap Training Letter.docx
  - Student Contact - GAP Training & Assessment.xlsx
  - Validation and Moderation Plan 2020-2025.docx
  - Assessment and Moderation Session - Christies Beach.pdf
  - Assessment and Moderation Session - Mildura.pdf
  - MADEC T&A PD Assess, Validation, Moderation.pptx
  - Trainer and Assessor Professional Development Plan - 2020.docx

The organisation addressed the non-compliance for future students for the following training products.

*AHC30116 Certificate III in Agriculture*

- *AHCCHM304 Transport and store chemicals*

- *AHCCHM303 Prepare and apply chemicals*

*CHC30113 Certificate III in Early Childhood Education and Care*

- *CHCECE004 Promote and provide healthy food and drinks*
- *CHCECE005 Provide care for babies and toddlers*

*CHC33015 Certificate III in Individual Support*

- *CHCCCS023 Support independence and wellbeing*
- *CHCAGE005 Provide support to people living with dementia*

*SIT30616 Certificate III in Hospitality*

- *SITHFAB002 Provide responsible service of alcohol*
- *SITHFAB005 Prepare and serve espresso coffee*

*CPCCWHS1001 Prepare to work safely in the construction industry*

Of Note:

*CHC30113 Certificate III in Early Childhood Education and Care*

*CHCECE005 Provide care for babies and toddlers*

A minor gap remains with the practical assessment activities; however, this is not noted as a non-compliance as it is covered in the knowledge requirement and is easily amended. The assessment task did not include the assessment of the students demonstrating all of the requirements of Performance Criteria:

- '3.3 Follow approved standards for safe storage and heating of formula and breast milk and for cleaning equipment and utensils'

This is mapped to Assessment task 5 a, b, c, d and p; however, this task is in preparing a bottle of formula and breast milk to provide to babies. The assessment task does not include observing the student safely storing formula or breast milk. Assessment task 1, question 39 ensures the student has the knowledge requirements about safe storage of formula and breast milk. However, the assessment task should also include ensuring that any breast milk is clearly labelled to identify the correct mother and child (avoiding cross infection) and include a date when the breast milk was expressed to ensure that it has not expired.

Also of note: Whilst the evidence provided for the unit of competency *SITHFAB002 Provide responsible service of alcohol* for South Australia 'SITHFAB002 SA TAG FINAL' and Victoria 'SITHFAB002 VIC TAG FINAL' are compliant; a minor amendment for future use in 'SITHFAB002 VIC TAG FINAL' is required for the Model answer on page 38 as it refers to SA instead of VIC.

Remedial Actions for all training products reviewed at audit:

- The organisation has a plan to address the impact the non-compliances may have had to current students and students that completed the unit within a six month timeframe from receiving the audit report. The gap assessments of students is set to occur from March to June 2020. The gap assessment, if implemented appropriately will ensure all students are assessed against all unit of competency requirements and in accordance with the Principles of Assessment and the Rules of Evidence.

## Completion

### Standards for RTOs Clause 3.1

**Original Finding: *Not compliant***

**Finding following additional evidence: *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.**

*AHC30116 Certificate III in Agriculture*

*CHC30113 Certificate III in Early Childhood Education and Care*



*CHC33015 Certificate III in Individual Support*  
*SIT30616 Certificate III in Hospitality*  
*CPCCWHS1001 Prepare to work safely in the construction industry*

The following evidence was reviewed:

- Refer to the assessment evidence provided as noted in Clause 1.8.

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.

---

*Analysis of additional evidence*

*AHC30116 Certificate III in Agriculture*  
*CHC30113 Certificate III in Early Childhood Education and Care*  
*CHC33015 Certificate III in Individual Support*  
*SIT30616 Certificate III in Hospitality*  
*CPCCWHS1001 Prepare to work safely in the construction industry*

The following additional evidence was reviewed:

- Refer to the evidence detailed under Clause 1.8.

The organisation has demonstrated that its assessment system comply with the Principles of Assessment and Rules of Evidence (refer to Clause 1.8 for findings) for future students.

It cannot be confirmed AQF certification documentation was only issued to learners whom the organisation has assessed as meeting the requirements of the training product as specified in the relevant training package. Specifically, the evidence provided did not confirm the organisation is committed to apply appropriate remedial action as the remedial action Sample Letter/Email sent to students that were identified as needing gap training and assessment states, 'Please note: This does not affect your issued Statement of Attainment / Certificate if you choose not to participate in these training sessions.'

This statement, contradicts the RTO's intentions for remedial action for students that were issued an AQF certification. Furthermore, it does not encourage students who were assessed with the non-compliant assessment tools and who were issued with AQF certification documentation to participate in the gap reassessment.

The organisation did not provide any other evidence of their intended remedial actions for students that may not want to participate in the re-assessment process because they have been issued their AQF certification.