

<b>Applicant Details</b>			
Applicant Name	Merinda Park Learning and Community Centre Inc.	TOID	3952
Address	114-147 Endeavour Drive, Cranbourne North Vic 3977		
	Website	www.merindapark.com.au	
Registration Contact	Mrs Jan Gilchrist		
Phone Number	03 5996 9056	Email	jan@merindapark.com.au
<b>Audit Team</b>			
Audit Firm	Moore Stephens	Auditor/s	Anna-Louise Allen
Auditor/s		Other Attendees	
<b>Registering Body Details</b>			
Contact Person	Emma Hickingbotham		
Phone Number	9032 1562	Email	vet.audit@edumail.vic.gov.au
<b>Audit Details</b>			
Type of Audit	<b>Re-registration Audit</b>		
Conditions Audited	1, 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, 3.3, 3.4
VRQA Guidelines Audited	1,2,3,4,5		
Audit Date/s	7th and 8th July 2014		
<b>RTO Background</b>			
<p>Merinda Park Learning Community Centre (MPLCC) was established in June 1992 as a community managed facility. Located in a growth corridor of the City of Casey, the Centre aims to provide a focal point in the community where everyone feels welcome and individual needs are met.</p> <p>The four main areas of need in the community are Adult Education, Children's Services, Family Support and Youth Service Recreational Programs.</p> <p>MPLCC is one of 12 Neighbourhood Houses within the City of Casey, who provides this venue, co-ordination funding and amenities funding each year. They also have annual funding grants from organisations such as: Adult Community and Further Education, DEECD, Higher Education and Skills group and other Government funding.</p> <p>The Centre has been without an Education Manager for about 12 months, however Brett Shuttleworth was appointed this week.</p>			

Qualifications/Units Audited <sup>1</sup>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
CHC50908	Diploma of Children Services (Early Childhood Education and Care)	Vic
CHC51008	Diploma of Children's Services (Outside School Hours Care)	Vic
CHC40312	Certificate IV in Disability	Vic
CHC30212	Certificate III in Aged Care	Vic
CHC30312	Certificate III in Home and Community Care	Vic
TAE40110	Certificate IV in Training and Assessment	Vic
BSB50207	Diploma of Business	Vic
22238VIC	Certificate III in General Education for Adults	Vic

Interviewee(s) – Staff name and position; employer name and position	
Jan Gilchrist	CEO
Brett Shuttleworth	Education Manager
Joanne Dean	Childcare, Education Support Trainer
Leontyne Ellis	TAE Trainer
Rachel Lieske	Aged Care, HACC & Disability Trainer
Coreena Bron	Administration and VET records

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:		

<sup>1</sup> Samples have been selected in accordance with the *VRQA VET Audit Sampling Methodology*

## Audit Summary - AQTF Conditions of Registration

AQTF Conditions		Compliant	Non - Compliant	Not audited
1	Governance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Interactions with the Registering Body	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3	Compliance with Legislation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Insurance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5	Financial Management	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6	Certification & Issuing of Qualifications & Statements of Attainment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7	Recognition of Qualifications Issued by other RTOs	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
8	Accuracy and Integrity of Marketing	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
9	Transition to Training Packages/Expiry of Accredited Courses	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Summary of Non-Compliance<sup>2</sup></b>				
<p><b>CF 6.1</b> Certificates contain the employability skills statement.</p> <p><b>CF 7.1</b> Mutual recognition, credit transfer, RPL and current competency feature across RTO documents with different definitions.</p> <p><b>CF 8.1</b> The RTO's marketing and advertising of AQF qualifications to prospective clients contains some inconsistencies.</p> <p><b>CF 9.1</b> The RTO does not have a documented procedure for managing transition.</p>				
<b>Strengths</b>				

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

## Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<b>Standard 1</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1 – Continuous Improvement Strategy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2 – Training and Assessment Strategies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.3 – Training and Assessment Resources	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.4 – Trainer and Assessor Competency	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.5 – Assessment Strategies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Standard 2</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1 – Meeting the Needs of Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2 – Continuous Improvement of Client Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3 – Provision of Information to Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4 – Third-Party Engagement in Training and Assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.5 – Provision of Support Services to Clients	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.6 – Learner Access to Records of Participation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.7 – Complaints and Appeals Strategy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Standard 3</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.1 – Operations Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2 – Continuous Improvement of Operations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3 – Third-Party Training and/ or Assessment Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4 – Records Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Summary of Non-Compliance<sup>3</sup></b>			
<p><b>SF 1.2.1</b> There was no evidence of consultation with industry.</p> <p><b>SF 1.3.1</b> Training and assessment materials are not consistent with training package or accredited courses and RTO's own training and assessment strategies.</p> <p><b>SF 1.4.1</b> Professional Development records do not indicate that trainer/assessors are undertaking activities in the three areas specified by the standard.</p> <p><b>SF 1.5.1</b> Assessments do not meet the unit requirements.</p>			

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

## Audit Summary – VRQA Guidelines for VET Providers

VRQA Guidelines	Compliant	Non - Compliant	Not audited
<b>1. Governance, Probity and Compliance</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.1 – Strategic Plan and Business Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.2 – Financial Viability	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.3 – Management Systems	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.4 – Organisational Governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.5 – Academic/Educational Governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.6 – Change Reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>2. Quality Assurance, Review and Evaluation Processes</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1 – Course Quality	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2 – Cheating and Plagiarism	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3 – Quality Education and Training	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>3. Student Enrolment Records and Certification</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4 – Provision of Courses to Domestic Students	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>4. Student Learning Outcomes and Welfare Services</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.1 – Maximum Daily Hours of Attendance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2 – Out of Hours Attendance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.4 – Student Safety	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>5. Teaching, Learning and Assessment</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.1 – Capacity to Deliver Scope of Registration	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

### Summary of Non-Compliance<sup>4</sup>

- GF 1.3.1** Staff files do not contain trainer matrix.
- GF 5.1.1** Assessment does not meet the Principles of Assessment and rules of evidence.
- GF 5.1.2** Trainer/assessor files did not indicate that training and assessing staff meet NQC requirements.
- GF 5.1.3** Commercial mapping documents have not been updated to reflect the RTOs actual assessment processes.
- GF 5.1.4** Delivery and Assessment plans do not indicate that they meet the critical unit requirements.
- GF 5.1.5** Approaches to validation could be more systematic.
- GF 5.1.6** Units are being deemed competent at the task level rather than at the unit of competency.

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

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

**Detailed Findings - AQTF Conditions of Registration**

<b>CONDITION 1 - Governance</b>			<b>Compliant</b>
<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>	
<p><b>Condition 1 was Compliant</b></p> <p>The RTO governance structures ensure that key decision makers meet fit and proper person requirements and that the concerns of trainers and assessors are considered in decision making.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Organisational Chart</li> <li>• Interview with CEO and Education Manager</li> <li>• 8 member committee of management</li> <li>• monthly minutes of meetings</li> <li>• Jan Gilchrist File</li> <li>• Fit and Proper Person declaration</li> <li>• CEO is autonomous</li> <li>• Constitution</li> <li>• Monthly reports on MPLCC</li> </ul>	<p>No rectification required.</p>	

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

<b>CONDITION 3 – Compliance with Legislation</b>			<b>Compliant</b>
<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>	
<p>The RTO is <b>Compliant</b> with <b>Condition 3</b>.</p> <p>The RTO applies a systematic process to review and manage compliance with relevant Commonwealth, State or Territory legislation and regulatory requirements.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Policies supplied on a USB to staff during induction</li> <li>• Student Handbook item on Legislation covers relevant legislation</li> <li>• Staff Handbook</li> <li>• Interview with trainers</li> <li>• Interview with CEO and Education Manager</li> </ul>	<p>No rectification required.</p>	
<b>Improvement Opportunities</b>			
<p>Correct version of the AQTF referred to in the Staff Handbook</p>			

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment			Non-Compliant
CF 6.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is <b>Non-Compliant</b> with <b>Condition 6</b>. This condition requires that:</p> <p>The RTO does not issue qualifications and statements of attainment that meet the Australian Qualifications Framework (AQF) requirements.</p> <p>The samples audited included the employability skills statement on the Certificates and Record of results.</p>	<p>Evidence reviewed during the audit:</p> <p>Procedure for issuing certificates and statements of attainment</p> <p>Certificates audited</p> <ul style="list-style-type: none"> <li>• Sheree Bolger CHC30812 Certificate III in Education Support</li> <li>• Nicole Rushby</li> </ul> <p>Certificate and Record of results – contains the employability skills statement this should be removed</p> <p>Statement of Attainment</p> <ul style="list-style-type: none"> <li>• Chantelle McPHee</li> <li>• Rani Pillai</li> </ul> <p>Statement of Attainment template compliant.</p>	<p><u>Actions:</u></p> <p><b>The RTO should remove the employability skills statement from the Certificate.</b></p>



**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

CONDITION 7 - Recognition of Qualifications Issued by other RTOs			Non-Compliant
CF 7.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is <b>Non-Compliant</b> with <b>Condition 7</b>.</p> <p>The RTO recognises the AQF Qualifications and Statements of Attainment issued by any other RTOs.</p> <p>There is inconsistency across RTO documents. The terms mutual recognition, credit transfer, RPL and current competency feature across RTO documents with different definitions. This is confusing. A glossary of terms should be communicated and the definitions adhered to.</p>	<p>Evidence reviewed during the audit:</p> <p>Flyers:</p> <ul style="list-style-type: none"> <li>• CHC51008 Diploma of Children's Services (Outside School Hours Care)</li> <li>• CHC50908 Diploma of Children's Services (Early Childhood Education and Care)</li> <li>• CHC40312 Certificate IV in Disability</li> <li>• CHC30212 Certificate III in Aged Care</li> <li>• CHC30312 Certificate III in Home and Community Care</li> <li>• TAE40110 Certificate IV in Training and Assessment</li> <li>• BSB50207 Diploma of Business</li> <li>• 22238VIC Certificate III in General Education for Adults</li> <li>• Student Handbook</li> <li>• Website</li> </ul>	<p><u><b>Actions:</b></u></p> <p><b>Remove references to Mutual Recognition and ensure that definitions for RPL, Credit transfer and recognition are consistent with those provided, the AQTF Glossary and Training Packages, across RTO documents.</b></p>

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

CONDITION 8 - Accuracy and Integrity of Marketing			Non-Compliant
CF 8.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is <b>Non-Compliant</b> with <b>Condition 8</b>.</p> <p>The RTO's marketing and advertising of AQF qualifications to prospective clients is ethical and consistent with its scope of registration.</p> <p>The VRQA logo is used in marketing and advertising of AQF qualifications. This should be removed. Evidence of the removal of this logo was tabled at the closing meeting.</p> <p>Accuracy in the definition of terms across documents is inconsistent. The RTO should review their definitions in line with the Training Package and the AQTF.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Website</li> <li>• Information Sessions</li> <li>• Course Brochures:</li> <li>• Flyers</li> <li>• Program 2014</li> <li>• Semester Course Brochure 2014</li> <li>• Use VRQA logo must be removed – this was done at the time of the audit</li> </ul> <p><b>Flyers:</b></p> <ul style="list-style-type: none"> <li>• CHC51008 Diploma of Children's Services (Outside School Hours Care)</li> <li>• CHC50908 Diploma of Children's Services (Early Childhood Education and Care)</li> <li>• CHC40312 Certificate IV in Disability</li> <li>• CHC30212 Certificate III in Aged Care</li> <li>• CHC30312 Certificate III in Home and Community Care</li> <li>• TAE40110 Certificate IV in Training and Assessment</li> <li>• BSB50207 Diploma of Business</li> <li>• 22238VIC Certificate III in General Education for Adults</li> </ul>	<p><u><b>Actions:</b></u></p> <p><b>The RTO should ensure the accuracy and clarity of their marketing by ensuring that definitions of key terms are consistent with the Training Package and the AQTF.</b></p>

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses			Non-Compliant
CF 9.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is <b>Non-Compliant</b> with <b>Condition 9</b>.</p> <p>While the RTO has managed the transition from superseded Training Packages within 12 months of their publication on the Training.gov.au they do not have a documented procedure for managing the transition from superseded accredited courses so that the RTO only delivers currently endorsed training packages.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Application for extension to scope for Children Services was refused. Yet to reapply.</li> <li>• Email alerts from Training.gov.au</li> <li>• Fax backs to CEO</li> <li>• Role of the Education Manager</li> </ul> <p>No documented process.</p>	<p><b>Actions:</b></p> <p>The RTO should document their procedure for managing the transition from superseded Training Packages within 12 months of their publication on the training.gov.au website.</p>

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

Detailed Findings - AQTF Standards

STANDARD 1

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.		Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>The RTO is <b>Compliant</b> with <b>Element 1.1</b>.</p> <p>The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Learner surveys</li> <li>• Employer surveys</li> <li>• PD</li> <li>• Internal validation</li> <li>• Internal survey</li> <li>• Summaries of survey outcomes</li> <li>• Staff meetings</li> <li>• Manager/Co-ordinator meeting once pre month</li> <li>• Trainer meetings</li> <li>• Minutes of meeting – T&amp; A, Privacy Principles, PD/networks (no set agenda, response to issues as they arise)</li> <li>• Communication with the Centre's service – not documented</li> <li>• Feedback regarding the resources that were being used had spelling and grammatical errors and were difficult to understand.</li> <li>• Continuous improvement log – Certificate III in Children Services and coverage of the Early Years Learning Framework, added Karen Kearn Book as a reference.</li> <li>• Move to VET trak</li> </ul>	<p>No rectification required.</p>

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

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
SF 1.2.1	Finding	Evidence/Documentation Reviewed
	<p>The RTO is <b>Non-Compliant</b> with <b>Element 1.2</b>.</p> <p>Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course.</p> <p>While interview confirmed that trainers consult with workplaces during work placement, there was no documented industry consultation records. There was also no indication of how industry consultation has driven the development of training and assessment strategies.</p> <p>Employer Surveys are the only documented evidence of industry consultation.</p>	<p>Evidence reviewed during the audit:</p> <p>Program for 2014 Nationally accredited programs</p> <ul style="list-style-type: none"> <li>• CHC51008 Diploma of Children's Services (Outside School Hours Care)</li> </ul> <p>CHC50908 Diploma of Children's Services (There was no evidence of consultation with industry.</p> <ul style="list-style-type: none"> <li>• Early Childhood Education and Care)</li> <li>• CHC40312 Certificate IV in Disability</li> <li>• CHC30212 Certificate III in Aged Care</li> <li>• CHC30312 Certificate III in Home and Community Care</li> <li>• TAE40110 Certificate IV in Training and Assessment</li> <li>• BSB50207 Diploma of Business</li> <li>• 22238VIC Certificate III in General Education for Adults</li> </ul> <p>Packaging rules for qualifications:</p> <ul style="list-style-type: none"> <li>• CHC51008 Diploma of Children's Services (Outside School Hours Care)</li> <li>• CHC50908 Diploma of Children's Services (Early Childhood Education and Care)</li> <li>• CHC40312 Certificate IV in Disability</li> <li>• CHC30212 Certificate III in Aged Care</li> </ul>
		<p><b>Required Rectification(s)</b></p> <p><b>Actions:</b></p> <p>The RTO will need to document industry consultation for each qualification or course on their scope of registration and demonstrate how this has driven the development of training and assessment strategies.</p>

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

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

	<ul style="list-style-type: none"> <li>• CHC30312 Certificate III in Home and Community Care</li> <li>• TAE40110 Certificate IV in Training and Assessment</li> <li>• BSB50207 Diploma of Business</li> <li>• 22238VIC Certificate III in General Education for Adults</li> </ul> <p><b>Units of competency</b></p> <ul style="list-style-type: none"> <li>• TAEDES401A Design and develop learning programs</li> <li>• TAELLN401A Address adult language, literacy and numeracy skills</li> <li>• CHCPA301B Deliver care service using a palliative approach</li> <li>• CHCAC319A Provide support to people living with dementia</li> <li>• CHCDIS301C Work effectively with people with a disability</li> <li>• CHCiCS404B Plan and provide advanced behaviour support</li> <li>• CHCDIS410A Facilitate community participation and inclusion</li> <li>• CHCIC501B Manage children's services workplace practice to address regulations and quality assurance</li> <li>• CHCFC513A Foster social development in middle childhood</li> <li>• CHCIC511A Implement and promote inclusive policies and practices in children services</li> </ul>	
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## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

	<ul style="list-style-type: none"> <li>• CHCFC503A Foster social development in early childhood</li> </ul>	
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### **Improvement Opportunities**

While packaging rules are available and the training and assessment strategies comply with these. For blended programs it would be useful to demonstrate how the units meet the requirements or each qualification.

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

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
SF 1.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is <b>Non-Compliant</b> with <b>Element 1.3</b>.</p> <p>Staff, facilities, equipment and training and assessment materials used by the RTO are not consistent with the requirements of the Training Package or accredited courses and the RTO's own training and assessment strategies.</p> <p>Staff files do not demonstrate that trainers continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p> <p>Assessments do not meet the principles of assessment and rules of evidence.</p>	<p>Evidence reviewed during the audit:</p> <p><b>Training and Assessment Strategies for:</b></p> <ul style="list-style-type: none"> <li>• CHC51008 Diploma of Children's Services (Outside School Hours Care)</li> <li>• CHC50908 Diploma of Children's Services (Early Childhood Education and Care)</li> <li>• CHC40312 Certificate IV in Disability</li> <li>• CHC30212 Certificate III in Aged Care</li> <li>• CHC30312 Certificate III in Home and Community Care</li> <li>• TAE40110 Certificate IV in Training and Assessment</li> <li>• BSB50207 Diploma of Business</li> <li>• 22238VIC Certificate III in General Education for Adults</li> </ul> <p><b>Units of competency audited</b></p> <ul style="list-style-type: none"> <li>• TAEDES401A Design and develop learning programs</li> <li>• TAE LLN401A Address adult language, literacy and numeracy skills</li> <li>• CHCPA301B Deliver care service using a palliative approach</li> </ul>	<p><b>Actions:</b></p> <p>Refer to actions listed under standard 1.4 and 1.5.</p>



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

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

	<ul style="list-style-type: none"> <li>• CHCAC319A Provide support to people living with dementia</li> <li>• CHCDIS301C Work effectively with people with a disability</li> <li>• CHCiCS404B Plan and provide advanced behaviour support</li> <li>• CHCDIS410A Facilitate community participation and inclusion</li> <li>• CHCIC501B Manage children's services workplace practice to address regulations and quality assurance</li> <li>• CHCFC513A Foster social development in middle childhood</li> <li>• CHCIC511A Implement and promote inclusive policies and practices in children services</li> <li>• CHCFC503A Foster social development in early childhood</li> </ul> <p>Staff Files</p> <ul style="list-style-type: none"> <li>• Joanne Dean</li> <li>• Rachel Lieske</li> <li>• Leontyne Ellis</li> </ul> <p>Training and Assessment resources audited</p> <ul style="list-style-type: none"> <li>• Course flyer</li> <li>• Fees and Charges</li> <li>• Student payment plan</li> <li>• Validation of unit</li> <li>• Delivery plan that identifies the employability skills</li> </ul>	
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**Audit Date:** 7th and 8th July 2014

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	<ul style="list-style-type: none"> <li>• Content, learning strategies, Assessment Activities and Resources</li> <li>• Timetable/Training Plan/ Transcript</li> <li>• Practical Placement Log book – log of times and duties, questions related to each unit</li> <li>• Training and Assessment Strategy for Dual Qualification CHC50908 &amp; CHC51008</li> <li>• Packaging rules</li> <li>• Units of competency</li> <li>• Withdrawal Form</li> <li>• Practical placement information for students</li> <li>• Practical Placement Agreement</li> <li>• Host employer information</li> </ul> <p>Moderation/validation records</p> <ul style="list-style-type: none"> <li>• Certificate EGA</li> <li>• Certificate I Written and Spoke English</li> <li>• CHCIC501B Manage children's services workplace practice to address regulations and quality assurance – Internal validation</li> </ul>	
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Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

SF 1.4.1 Finding		Evidence/Documentation Reviewed	Required Rectification(s)
<p><b>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</b></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>			<b>Non-Compliant</b>
<p>The RTO is <b>Non-Compliant</b> with <b>Element 1.4</b>. Training and assessment is delivered by Trainers and Assessors who have the necessary training and assessment competencies as determined by the National Quality Council or its successors, the RTO will need to apply a more systematic approach to documenting vocational currency and professional development.</p> <p>Records of professional development are not systematic and do not demonstrate that the trainer/assessors are undertaking professional develop to their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>		<p>Evidence reviewed during the audit:</p> <p>Trainer Files</p> <ul style="list-style-type: none"> <li>• Joanne Dean</li> <li>• Rachel Lieske</li> <li>• Leontyne Ellis</li> </ul> <p>Interviews with:</p> <ul style="list-style-type: none"> <li>• Joanne Dean</li> <li>• Rachel Lieske</li> <li>• Leontyne Ellis</li> </ul> <p>Policies and procedures</p> <ul style="list-style-type: none"> <li>• Access &amp; Equity/ Diversity Policy</li> <li>• Bullying ad Harassment Policy</li> <li>• Bullying Fact Sheet</li> <li>• Code of Ethics and Code of Conduct</li> <li>• Direct supervision arrangements</li> <li>• Induction Policy and Procedure</li> <li>• OHS Policy</li> <li>• Privacy policy</li> <li>• Staff appointment policy</li> </ul>	<p><b>Actions:</b></p> <p>The RTO should revise their approach to conducting and recording professional development activities for trainer/assessors. They will need to make sure that all trainer/assessors undertake Professional Development in the three areas as specified by this standard.</p>

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

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

	<ul style="list-style-type: none"><li>• Staff Recruitment policy</li><li>• WWC and Police Check Policy</li></ul>	
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Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

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.			
SF 1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is <b>Non-Compliant</b> with <b>Element 1.5</b>.</p> <p>Assessment does not meet the requirements of the relevant unit of competency. Not all of the principles of assessment and the rules of evidence have been met by the assessment strategies. In particular the following issues were identified: The RTO is using the small print resources but selecting the Assessment activities and their own work placement booklet. The Projects and Third party reports are not used. The mapping documents within the Small Print resources have not been contextualise to reflect this.</p> <p>The work placement logbook needs to be mapped to the unit requirements in particular the skills to be demonstrated/applied.</p> <p>Delivery plans focus on elements and performance criteria which means that sometimes the essential knowledge is not addressed.</p> <p>Competency is being ruled at the task level. This should be satisfactory or not satisfactory.</p>	<p>Evidence reviewed during the audit:</p> <p><b>Training and Assessment Strategies for:</b></p> <ul style="list-style-type: none"> <li>• CHC51008 Diploma of Children's Services (Outside School Hours Care)</li> <li>• CHC50908 Diploma of Children's Services (Early Childhood Education and Care)</li> <li>• CHC40312 Certificate IV in Disability</li> <li>• CHC30212 Certificate III in Aged Care</li> <li>• CHC30312 Certificate III in Home and Community Care</li> <li>• TAE40110 Certificate IV in Training and Assessment</li> <li>• BSB50207 Diploma of Business</li> <li>• 22238VIC Certificate III in General Education for Adults</li> </ul> <p><b>Units of competency audited</b></p> <ul style="list-style-type: none"> <li>• TAEDES401A Design and develop learning programs</li> <li>• TAELLN401A Address adult language, literacy and numeracy skills</li> </ul>	<p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• The amended assessment procedures and tools needs to be validated against the unit requirements to demonstrate that all aspects of the unit has been met.</li> <li>• The RTO also needs to demonstrate what skills and knowledge are assessed during the work placement.</li> <li>• Delivery plans need to address all the critical requirements of the unit of competency.</li> <li>• The RTO should make sure that competency is consistently reported at the unit level.</li> </ul>

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

	<ul style="list-style-type: none"> <li>• CHCPA301B Deliver care service using a palliative approach</li> <li>• CHCAC319A Provide support to people living with dementia</li> <li>• CHCDIS301C Work effectively with people with a disability</li> <li>• CHCiCS404B Plan and provide advanced behaviour support</li> <li>• CHCDIS410A Facilitate community participation and inclusion</li> <li>• CHCIC501B Manage children's services workplace practice to address regulations and quality assurance</li> <li>• CHCFC513A Foster social development in middle childhood</li> <li>• CHCIC511A Implement and promote inclusive policies and practices in children services</li> <li>• CHCFC503A Foster social development in early childhood</li> </ul>	
<b>SF 1.5.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>All units that were audited for Aged Care, Disability and Home and community care require the assessment of access, equity and human rights issues in relation to their own area of work.</p> <p>All workers should develop their ability to work in a culturally diverse environment In recognition of particular issues facing Aboriginal and Torres Strait Islander communities, workers should be aware of cultural, historical and current issues impacting on Aboriginal and Torres Strait Islander people</p> <p>This is something that could considered in the work placement logbook, if there is not direct exposure to Aboriginal and Torres Strait Islanders, this could be an opportunity for research and the development of policy around this group. Workplace activities could be clustered under common themes such as this that run through a number of units.</p>		<p><b>Actions</b></p> <ul style="list-style-type: none"> <li>• <b>The RTO will need to revise all assessments for Aged Care, Disability and Home and community care to ensure that assessment of access, equity and human rights issues in relation to their own area of work is addressed.</b></li> <li>• <b>The RTO will also need to consider a strategy for assessing issues regarding cultural diversity, particularly those facing Aboriginal and Torres Strait Islander communities.</b></li> </ul>
<p>Staff Files</p> <ul style="list-style-type: none"> <li>• Joanne Dean</li> <li>• Rachel Lieske</li> <li>• Leontyne Ellis</li> </ul> <p>Training and Assessment resources audited</p> <ul style="list-style-type: none"> <li>• Course flyer</li> <li>• Fees and Charges</li> <li>• Student payment plan</li> <li>• Validation of unit</li> </ul>		

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

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

	<ul style="list-style-type: none"> <li>• Delivery plan that identifies the employability skills</li> <li>• Content, learning strategies, Assessment Activities and Resources</li> <li>• Timetable/Training Plan/ Transcript</li> <li>• Practical Placement Log book – log of times and duties, questions related to each unit</li> <li>• Training and Assessment Strategy for Dual Qualification CHC50908 &amp; CHC51008</li> <li>• Packaging rules</li> <li>• Units of competency</li> <li>• Withdrawal Form</li> <li>• Practical placement information for students</li> <li>• Practical Placement Agreement</li> <li>• Host employer information</li> </ul> <p>Moderation records</p> <ul style="list-style-type: none"> <li>• Certificate EGA</li> <li>• Certificate I Written and Spoke English</li> </ul>	
<p><b>Children’s services</b></p> <p>The work placement logbook includes Essential Skills and Knowledge. Further work on how this will be assessed. The work placement should focus on the application of knowledge and demonstration of skills in a workplace.</p>	<p><b>Units of competency audited</b></p> <ul style="list-style-type: none"> <li>• TAEDES401A Design and develop learning programs</li> <li>• TAELLN401A Address adult language, literacy and numeracy skills</li> <li>• CHCPA301B Deliver care service using a palliative approach</li> <li>• CHCAC319A Provide support to people living with dementia</li> </ul>	<p><b><u>Actions:</u></b></p> <ul style="list-style-type: none"> <li>• The RTO will need to review their work placement log books to ensure that they link the activities undertaken and demonstrated back to the units of competency.</li> <li>• There are three models of work placement log in place, it is suggested that the RTO develop a consistent approach across the Community Services Training Package.</li> </ul>

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

<p>There is no distinction between formative and summative assessment – all activities are summative.</p> <p>CHCIC501B Manage children’s services workplace practice to address regulations and quality assurance &amp; CHCFC503A Foster social development in early childhood do not address all the skills and knowledge requirements.</p> <p><b>Disability</b></p> <p>CHCICS404B Plan and provide advanced behaviour support</p> <p>CHCDIS410A Facilitate community participation and inclusion</p> <p>It is unclear how the work placement relates to these two units. The log book includes observations of:</p> <ul style="list-style-type: none"> <li>• oral care;</li> <li>• assisting with showering/bathing;</li> <li>• dressing; assisting with meals;</li> <li>• observation and reporting</li> </ul> <p>The Third Party reports from Small Print are used to gather feedback from the Workplace supervisor. This tool is outside the Supervisor’s qualifications</p>	<ul style="list-style-type: none"> <li>• CHCDIS301C Work effectively with people with a disability</li> <li>• CHCiCS404B Plan and provide advanced behaviour support</li> <li>• CHCDIS410A Facilitate community participation and inclusion</li> <li>• CHCIC501B Manage children’s services workplace practice to address regulations and quality assurance</li> <li>• CHCFC513A Foster social development in middle childhood</li> <li>• CHCIC511A Implement and promote inclusive policies and practices in children services</li> <li>• CHCFC503A Foster social development in early childhood</li> </ul>	<p><b>The RTO should revise the following unit assessments:</b></p> <ul style="list-style-type: none"> <li>• <b>CHCIC501B Manage children’s services workplace practice to address regulations and quality assurance &amp; CHCFC503A Foster social development in early childhood do not address all the skills and knowledge requirements.</b></li> <li>• <b>CHCICS404B Plan and provide advanced behaviour support</b></li> <li>• <b>CHCDIS410A Facilitate community participation and inclusion</b></li> <li>• <b>CHCPA301B Deliver care service using a palliative approach are not met by the current assessment tools.</b></li> </ul> <p><b>to ensure that all the essential knowledge and skills are assessed.</b></p> <p><b>Supervisor feedback should be within their knowledge and skills. The use of Training package language should be avoided in third party report.</b></p>
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**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

<p>as it uses training package language and requires an assessment of skills.</p> <p><b>Aged Care/HACC</b></p> <p>A minimum of three assessment methods is required. The RTO is using observation and written/oral questions. The required skills for CHCPA301B Deliver care service using a palliative approach are not met by the current assessment tools.</p>		
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#### **Improvement Opportunities**

The RTO is currently delivering the superseded unit of competency for TAELLN401A Address adult language, literacy and numeracy skills, If they intend to deliver this as a standalone unit they will need to upgrade their strategies to meet this unit.

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

Detailed Findings - AQTF Standards

STANDARD 2

ELEMENT 2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 2.1</b>.</p> <p>The RTO establishes the needs of clients and delivers services to meet these needs.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Internal survey</li> <li>• Feedback summaries</li> <li>• Enrolment pack</li> <li>• Enrolment interview</li> <li>• LLN test as part of the interview process for enrolment</li> <li>• Information sessions</li> <li>• Complaints register</li> <li>• Issues resolution</li> </ul>	<p>No rectification required.</p>	

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

ELEMENT 2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 2.2</b>.</p> <p>The RTO continuously improves client services by collecting, analysing and acting upon relevant data.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Learner surveys</li> <li>• Employer surveys</li> <li>• PD</li> <li>• Internal survey</li> <li>• Summaries of survey outcomes</li> <li>• Staff meetings</li> <li>• Manager/Co-ordinator meeting once pre month</li> <li>• Trainer meetings</li> <li>• Communication with the Centre's service – not documented</li> <li>• Need calculators, the course brochure now requires students to bring their own calculator</li> <li>• Feedback regarding the resources that were being used had spelling and grammatical errors and were difficult to understand.</li> <li>• Internal survey asks about what other training the students would like</li> <li>• Demand driven – inquiries are logged in Waiter, a part of VET trak. Night Diploma course resulted from this.</li> <li>• Surveys and follow up of those who have expressed an interest in the next course.</li> </ul>	<p>No rectification required.</p>	

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

ELEMENT 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
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 2.3</b>.</p> <p>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.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Enrolment pack</li> <li>• Literacy &amp; Numeracy Test</li> <li>• Enrolment Form</li> <li>• Student Agreement/Course information 2014 – contains release for photos, refunds, rules, responsibilities, acknowledgement of student handbook and course brochures</li> <li>• Eligibility form (out of date)</li> </ul> <p>Student Handbook 2014 -</p> <ul style="list-style-type: none"> <li>• Message from CEO</li> <li>• Welcome</li> <li>• Introduction</li> <li>• Certificate courses</li> <li>• Administrative responsibilities</li> <li>• Office hours</li> <li>• Class times</li> <li>• VCAL/Youth/CEGA – class times</li> <li>• Special needs</li> <li>• Enrolment</li> <li>• Citizenship Criteria</li> <li>• Fees</li> <li>• Qualifications</li> <li>• Partial completion of studies</li> </ul>	<p>No rectification required.</p>	

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

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

	<ul style="list-style-type: none"> <li>• Refunds for accredited courses</li> <li>• Withdrawing</li> <li>• Staff</li> <li>• Graduation</li> <li>• RE-issuing of certificates</li> <li>• Justice of the Peace</li> <li>• Facilities</li> <li>• Kitchen</li> <li>• Toilets</li> <li>• Parking</li> <li>• Public Transport</li> <li>• Access &amp; Equity</li> <li>• Privacy</li> <li>• Confidentiality and Privacy</li> <li>• Children in classrooms</li> <li>• Valuables</li> <li>• Students in private cars</li> <li>• Student references</li> <li>• First Aid</li> <li>• Security</li> <li>• Fire &amp; Evacuation Procedure</li> <li>• Other services available for students</li> <li>• Student responsibilities</li> <li>• Class attendance</li> <li>• Student monitoring their own learning procedure</li> <li>• Contacting trainers</li> <li>• Code of Conduct</li> <li>• Discrimination and Sexual harassment</li> <li>• Mobile phones/personal music players</li> </ul>	
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## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

	<ul style="list-style-type: none"> <li>• Smoking</li> <li>• Eating in class</li> <li>• Punctuality</li> <li>• Unsupervised breaks</li> <li>• Use of equipment</li> <li>• Student compliant/ Grievance policy &amp; Appeals process</li> <li>• Revision of learning materials</li> <li>• Study requirements</li> <li>• Training plan</li> <li>• How will I manage my study?</li> <li>• Code of Educational Practice</li> <li>• Student requirement list</li> <li>• Transfer</li> <li>• Transferring from venue to venue</li> <li>• Deferment</li> <li>• Legislation</li> <li>• Withdrawal from courses</li> <li>• Student support</li> <li>• Evaluation</li> <li>• Course outcome requirements</li> <li>• Assessment</li> <li>• Assessment of all units</li> <li>• Student records</li> <li>• Student records request</li> <li>• Plagiarism</li> <li>• Copyright</li> <li>• Extensions</li> <li>• Resubmission</li> </ul>	
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## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

	<ul style="list-style-type: none"> <li>• Disciplinary procedures</li> <li>• Late work</li> <li>• Off campus</li> <li>• Recognition of Prior Learning (RPL)</li> <li>• Employability skills</li> <li>• Credit Transfer</li> <li>• National recognition – brochures talk about Mutual recognition</li> <li>• Placement responsibilities</li> <li>• Practical Placement</li> <li>• Immunisation</li> <li>• Supervised field placements</li> <li>• Organising placement</li> <li>• Who cannot be counted as a staff member</li> <li>• Discontinuing a placement</li> <li>• Role of the student on placement</li> <li>• Dress Code on Placement</li> <li>• Confidentiality</li> <li>• Insurance and Liabilities</li> <li>• Additional requirement in placement</li> <li>• Police record checks</li> <li>• Working with Children Check</li> <li>• Family contact</li> <li>• Feedback</li> </ul>	
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**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

<b>ELEMENT 2.6 - Learners have timely access to current and accurate records of their participation and progress.</b>			<b>Compliant</b>
<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>	
<p><b>Element 2.6 was Compliant</b></p> <p>Learners have timely access to current and accurate records of the participation and progress.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Timetable/Training Plan / Transcript</li> <li>• Submission slips</li> <li>• Request access to records, via trainer</li> <li>• Student Handbook</li> </ul>	<p>No rectification required.</p>	



**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

<b>ELEMENT 2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>			<b>Compliant</b>
<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>	
<p>The RTO is <b>Compliant</b> with <b>Element 2.7</b>.</p> <p>The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Internal complaint and appeal management process</li> <li>• External complaint and appeal management process</li> <li>• website</li> <li>• Student Handbook</li> </ul>	<p>No rectification required.</p>	
<b>Improvement Opportunities</b>			
<p>The RTO should consider referring to the National complaints Hotline – Code for handling complaints. Time frames should be identified for all steps.</p>			

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

Detailed Findings - AQTF Standards

STANDARD 3

ELEMENT 3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 3.1</b>.</p> <p>The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</p>	<p>Evidence reviewed during the audit:</p> <p>Flyers:</p> <ul style="list-style-type: none"> <li>• CHC51008 Diploma of Children's Services (Outside School Hours Care)</li> <li>• CHC50908 Diploma of Children's Services (Early Childhood Education and Care)</li> <li>• CHC40312 Certificate IV in Disability</li> <li>• CHC30212 Certificate III in Aged Care</li> <li>• CHC30312 Certificate III in Home and Community Care</li> <li>• TAE40110 Certificate IV in Training and Assessment</li> <li>• BSB50207 Diploma of Business</li> <li>• 22238VIC Certificate III in General Education for Adults</li> </ul>	<p>No rectification required.</p>	

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

ELEMENT 3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.		Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>The RTO is <b>Compliant</b> with <b>Element 3.2</b>.</p> <p>The RTO uses a systematic and continuous improvement approach to the management of operations.</p> <ul style="list-style-type: none"> <li>No evidence that data has been collected to inform improvement of operations</li> <li>Data on operations is collected but not analysed or acted upon</li> <li>No evidence of actions taken to improve operations</li> </ul>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>Access &amp; Equity/ Diversity Policy</li> <li>Accidents and illness Policy – Children’s Services</li> <li>Adult education Childcare policy</li> <li>Asthma Policy</li> <li>Anaphylaxis policy</li> <li>Behaviour management Children’s Services policy</li> <li>Blood and Bodily Fluids Spill Policy</li> <li>Bullying ad Harassment Policy</li> <li>Bullying Fact Sheet</li> <li>Child Care Fees</li> <li>Code of Ethics and Code of Conduct</li> <li>Confidentiality policy for Children’s Services</li> <li>Direct supervision arrangements</li> <li>Diversity ad inclusion for Children’s Services</li> <li>Electronic Back up policy</li> <li>Enrolment and attendance for Children’s Services Policy</li> <li>Extreme Hardship Policy</li> <li>Fatal accident or illness of a child</li> <li>Fatal accident notification form</li> <li>Induction Policy and Procedure</li> <li>OHS Policy</li> <li>Photo permission and usage policy</li> <li>Privacy policy</li> </ul>	<p>No rectification required.</p>

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

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

	<ul style="list-style-type: none"> <li>• Staff appointment policy</li> <li>• Staff Recruitment policy</li> <li>• WWC and Police Check Policy</li> </ul>	
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<b>Improvement Opportunities</b>
No suggested improvement opportunities relating to <b>Element 3.2.</b>

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

<b>ELEMENT 3.4 - The RTO manages records to ensure their accuracy and integrity.</b>			<b>Compliant</b>
<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>	
<p>The RTO is <b>Compliant</b> with <b>Element 3.4.</b></p> <p>The RTO manages records to ensure their accuracy and integrity</p>	<p>Evidence reviewed during the audit:</p> <p>Policies and procedures:</p> <ul style="list-style-type: none"> <li>• Child Care Fees</li> <li>• Confidentiality policy for Children's Services</li> <li>• Direct supervision arrangements</li> <li>• Electronic Back up policy</li> <li>• Enrolment and attendance for Children's Services Policy</li> <li>• Fatal accident notification form</li> <li>• Photo permission and usage policy</li> <li>• Privacy policy</li> </ul> <p>Other procedures</p> <ul style="list-style-type: none"> <li>• VET Trak for the past 2 years</li> <li>• Originally with En rolls</li> <li>• Administration Officer – VASS, VET trak,</li> <li>• Signed timetable/ Training plan/ transcript with the Certificate to the CEO for final signature</li> <li>• Signed off by the trainer</li> <li>• Trainer checks that all evidence is in place prior to signing off the final training plan for issuance of Certificate.</li> <li>• Same process for Statement of Attainment</li> <li>• Website</li> <li>• Lockable Filing cabinets</li> <li>• Administration has security pin pads</li> </ul>	<p>No rectification required.</p>	

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

Detailed Findings – VRQA Guidelines for VET Providers

GUIDELINE 1.3 - GUIDELINE 1.3 The provider must provide information about its management systems. Details of staff records management system and administration capacity, including arrangements that are in place to ensure that for each training and assessment staff member the following verified or certified and/or signed documents are held by the RTO		Non-Compliant
<ul style="list-style-type: none"> <li>o trainer skills matrix – signed by trainer/assessor</li> <li>o assessor qualifications – verified by RTO or otherwise certified</li> <li>o vocational qualifications – verified by RTO or otherwise certified</li> <li>o CV - signed by trainer/assessor</li> <li>o professional development activities – verified and/or signed by trainer/assessor</li> <li>o position description</li> <li>o employment contract/agreement.</li> </ul>		
GF 1.3.1	Finding	Evidence/Documentation Reviewed
	<p>The RTO is <b>Non-Compliant</b> with <b>Guideline 1.3</b></p> <p>Staff files do not contain a trainer skills matrix that is signed by the trainer/assessor. CVs on file indicate that the trainer holds the vocational qualifications and experienced, however this has not been documented in an appropriate trainer skills matrix.</p> <p>The RTO approach to Professional Development is not systematic to make sure that trainer/assessors undertake activities to address the three areas as specified by the NSSC.</p>	<p>Evidence reviewed during the audit:</p> <p>Trainer Files</p> <ul style="list-style-type: none"> <li>• Joanne Dean</li> <li>• Rachel Lieske</li> <li>• Leontyne Ellis</li> </ul> <p>Interviews with:</p> <ul style="list-style-type: none"> <li>• Joanne Dean</li> <li>• Rachel Lieske</li> <li>• Leontyne Ellis</li> </ul> <p>Policies and procedures</p> <ul style="list-style-type: none"> <li>• Access &amp; Equity/ Diversity Policy</li> <li>• Bullying and Harassment Policy</li> </ul>
		<p><b>Required Rectification(s)</b></p> <p><u>Actions:</u></p> <p>The RTO will need to review their procedures for maintaining trainer/assessor records to ensure that this includes a trainer skills matrix signed by the trainer/assessor and records that indicate that the trainer undertakes professional development activities to develop VET knowledge and skills, maintain industry currency and develop training and assessing competencies.</p>

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

**Audit Date:** 7th and 8th July 2014

**RTO:** Merinda Park Learning and Community Centre Inc.

	<ul style="list-style-type: none"> <li>• Bullying Fact Sheet</li> <li>• Code of Ethics and Code of Conduct</li> <li>• Direct supervision arrangements</li> <li>• Induction Policy and Procedure</li> <li>• OHS Policy</li> <li>• Privacy policy</li> <li>• Staff appointment policy</li> <li>• Staff Recruitment policy</li> </ul> <p>WWC and Police Check Policy</p>	
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GUIDELINE 2.1 - The provider must demonstrate that it is able to monitor course quality, externally moderate student performance and drive continuous improvement in course delivery.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Guideline 2.1</b>.</p> <p>The RTO monitors course quality. Validation record for both internal and external validation are in place.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• CEGA and EAL moderation with VU and Keysborough</li> <li>• Internal validation for all training programs</li> <li>• Commercial mapping documents</li> <li>• Moderation meetings with Chisholm Institute for CEQA</li> <li>• Difficult to get external people involved in moderation in Community Services ad TAE</li> </ul>	<p>No rectification required.</p>	

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

GUIDELINE 2.2 - The provider must demonstrate that it has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Guideline 2.2</b>.</p> <p>The RTO has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Plagiarism Policy</li> <li>• Assessment coversheet with student declaration</li> </ul>	<p>No rectification required.</p>	



Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

GUIDELINE 2.3 - The provider must demonstrate that they can provide quality education and training to students			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Guideline 2.3</b>.</p> <p>The RTO provides a standard set of training and assessment materials to support each program on their scope of registration.</p> <p>Records management retains key records for 2, 7 and 30 years in line with the guidelines.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Records management in line with HESG service agreement for 2, 7 and 30 years</li> <li>• Trainer meetings</li> <li>• Staff meetings</li> </ul> <p>Training records include:</p> <ul style="list-style-type: none"> <li>• Training and assessment strategy</li> <li>• assessment schedule for that unit</li> <li>• assessment tasks, current and archive</li> <li>• training plan</li> <li>• Validation records</li> </ul>	<p>No rectification required.</p>	

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

GUIDELINE 4.1 - A provider must not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Guideline 4.1</b>.</p> <p>The RTO does not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Website</li> <li>• Timetable/Training Plan / Transcript</li> <li>• Program</li> <li>• Semester booklet</li> <li>• Timetable</li> <li>• Room utilisation</li> </ul>	<p>No rectification required.</p>	

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

GUIDELINE 4.2 - A provider must not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Guideline 4.2</b>.</p> <p>The RTO does not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Website</li> <li>• Timetable/Training Plan / Transcript</li> <li>• Program</li> <li>• Semester booklet</li> <li>• Timetable</li> <li>• Room utilisation</li> </ul>	<p>No rectification required.</p>	

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

GUIDELINE 4.4 - Providers must indicate the measures they intend to take to address matters of student safety.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Guideline 4.4</b></p> <p>Both the RTO and School policies are designed to address matters of student wellbeing and Safety.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Website</li> <li>• Timetable/Training Plan / Transcript</li> <li>• Program</li> <li>• Semester booklet</li> <li>• Timetable</li> <li>• Room utilisation</li> <li>• Security procedures after 6pm.</li> <li>• Front door is locked and mobile phone for access</li> <li>• Trainers leave 1 pairs</li> <li>• Upgrade to lighting in car park</li> <li>• Classes end at 9.15pm.</li> <li>• Cleaner is often present prior to closure</li> <li>• night training induction</li> <li>• Emergency phone numbers</li> </ul>	<p>No rectification required.</p>	

Audit Date: 7th and 8th July 2014

RTO: Merinda Park Learning and Community Centre Inc.

GUIDELINE 5.1 - The provider must demonstrate that they have the capacity to deliver and assess ALL the courses requested/on the scope of registration.			Non-Compliant
GF 1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is <b>Non-Compliant</b> with <b>Guideline 5.1</b></p> <p>The RTO is currently using a range of log books to support the work placement for Children's Services, Aged Care and HACC and Disability. There is no specific identification of the units that require assessment in the workplace, however all units have skill requirements which need to be applied on work placement. The RTO will need to review their current processes to ensure that their delivery and timing of the work placement is structured to ensure that students are not deemed competent until they have satisfied essential knowledge and skills in the workplace.</p>	<p>Evidence reviewed during the audit:</p> <p><b>Units of competency audited</b></p> <ul style="list-style-type: none"> <li>• TAEDES401A Design and develop learning programs</li> <li>• TAELLN401A Address adult language, literacy and numeracy skills</li> <li>• CHCPA301B Deliver care service using a palliative approach</li> <li>• CHCAC319A Provide support to people living with dementia</li> <li>• CHCDIS301C Work effectively with people with a disability</li> <li>• CHCiCS404B Plan and provide advanced behaviour support</li> <li>• CHCDIS410A Facilitate community participation and inclusion</li> <li>• CHCIC501B Manage children's services workplace practice to address regulations and quality assurance</li> <li>• CHCFC513A Foster social development in middle childhood</li> <li>• CHCIC511A Implement and promote inclusive policies and practices in children services</li> </ul>	<p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• It is recommended that the RTO review the logbooks used to support work placement for the qualifications within the Community Services Training Package.</li> <li>• Work placement activities need to be mapped to the units they relate to. A consistent format for the log book is also recommended.</li> <li>• Scheduling of the workplace must also be factored into the assessment of each unit, so that there is an opportunity to collect evidence of application of skills and knowledge before deeming competency.</li> </ul>

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**Audit Date:** 7th and 8th July 2014

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	<ul style="list-style-type: none"> <li>• CHCFC503A Foster social development in early childhood</li> <li>• Delivery plan that identifies the employability skills</li> <li>• Content, learning strategies, Assessment Activities and Resources</li> <li>• Timetable/Training Plan/ Transcript</li> <li>• Practical Placement Log book – log of times and duties, questions related to each unit</li> <li>• Training and Assessment Strategy for Dual Qualification CHC50908 &amp; CHC51008</li> <li>• Packaging rules</li> <li>• Units of competency</li> <li>• Withdrawal Form</li> <li>• Practical placement information for students</li> <li>• Practical Placement Agreement</li> <li>• Host employer information</li> </ul>	
<b>GF.5.1.2 Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>
<p>Verified evidence that all proposed training and assessing staff meet NQC requirements was not available.</p>	<p>Evidence reviewed at audit</p> <p>Staff Files</p> <ul style="list-style-type: none"> <li>• Joanne Dean</li> <li>• Rachel Lieske</li> <li>• Leontyne Ellis</li> </ul>	<p><b><u>Actions:</u></b></p> <p><b>Refer to actions listed under Guideline 1.3 and Standard 1.4</b></p>

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GF 5.1.3	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Commercial mapping documents provided in the Small Print resources have not been updated to reflect changes to the assessment strategy made by the RTO.	<p><b>Small Print resources to support:</b></p> <ul style="list-style-type: none"> <li>• CHCPA301B Deliver care service using a palliative approach</li> <li>• CHCAC319A Provide support to people living with dementia</li> <li>• CHCDIS301C Work effectively with people with a disability</li> <li>• CHCiCS404B Plan and provide advanced behaviour support</li> <li>• CHCDIS410A Facilitate community participation and inclusion</li> <li>• CHCIC501B Manage children's services workplace practice to address regulations and quality assurance</li> <li>• CHCFC513A Foster social development in middle childhood</li> <li>• CHCIC511A Implement and promote inclusive policies and practices in children services</li> <li>• CHCFC503A Foster social development in early childhood</li> </ul>	<p><b>Actions:</b></p> <p><b>The RTO should map their assessment strategy to the critical unit requirements as outlined in this guideline.</b></p>

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GF 5.1.4	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>Delivery plans relate to performance criteria, this needs to be expanded to include all requirements of the unit of competency.</p> <p>The advice to students as to how the unit(s) will be assessed is not always clear. It may be necessary to provide templates or formats for documents that the candidate needs to develop or supply e.g. report, policies, forms.</p> <p>The instructions to students and assessor must provide clarity around model answers and specific criteria and benchmarks.</p>	<p>Delivery plans and Commercial mapping documents for:</p> <ul style="list-style-type: none"> <li>• CHCPA301B Deliver care service using a palliative approach</li> <li>• CHCAC319A Provide support to people living with dementia</li> <li>• CHCDIS301C Work effectively with people with a disability</li> <li>• CHCICS404B Plan and provide advanced behaviour support</li> <li>• CHCDIS410A Facilitate community participation and inclusion</li> <li>• CHCIC501B Manage children's services workplace practice to address regulations and quality assurance</li> <li>• CHCFC513A Foster social development in middle childhood</li> <li>• CHCIC511A Implement and promote inclusive policies and practices in children services</li> <li>• CHCFC503A Foster social development in early childhood</li> <li>• TAEDES401A Design and develop learning programs</li> <li>• TAE LLN401A Address adult language, literacy and numeracy skills</li> </ul>	<p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• <b>Both delivery and assessment needs to demonstrate that they meet the critical unit requirements.</b></li> <li>• <b>Mapping documents of assessment strategies to the critical requirements of the unit is a requirement of this guideline.</b></li> <li>• <b>Instructions to both candidate and assessor must be clear and provide the key assessment criteria or benchmarks that must be included in a satisfactory performance.</b></li> </ul>



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GF 5.1.5	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>While validation records are in place the approach to assessment validation could be applied in a more systematic manner.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• CEGA and EAL moderation with VU and Keysborough</li> <li>• Internal validation for all training programs</li> <li>• Commercial mapping documents</li> <li>• Moderation meetings with Chisholm Institute for CEQA</li> <li>• Difficult to get external people involved in moderation in Community Services ad TAE</li> </ul> <p>Moderation records</p> <ul style="list-style-type: none"> <li>• Certificate EGA</li> <li>• Certificate I Written and Spoke English</li> </ul>	<p><b><u>Actions:</u></b></p> <p><b>The approach to validation and moderation should be reviewed to make sure it is more systematic in its approach to ensure that all units are reviewed on a rotational basis.</b></p>
GF 5.1.6	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The VRQA will only approve whole units - <b>not</b> part units of competency. Some units indicate that competency is being deemed competent at the task level.</p>	<p>Evidence reviewed during the audit:</p> <p>Assessment tools and processes reviewed:</p> <ul style="list-style-type: none"> <li>• HCPA301B Deliver care service using a palliative approach</li> <li>• CHCAC319A Provide support to people living with dementia</li> <li>• CHCDIS301C Work effectively with people with a disability</li> <li>• CHCiCS404B Plan and provide advanced behaviour support</li> <li>• CHCDIS410A Facilitate community participation and inclusion</li> </ul>	<p><b><u>Actions:</u></b></p> <p><b>The RTO must ensure that competency is only ruled at the unit level.</b></p>

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	<ul style="list-style-type: none"> <li>• CHCIC501B Manage children's services workplace practice to address regulations and quality assurance</li> <li>• CHCFC513A Foster social development in middle childhood</li> <li>• CHCIC511A Implement and promote inclusive policies and practices in children services</li> <li>• CHCFC503A Foster social development in early childhood</li> </ul>	
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### Improvement Opportunities

Generally there are assessment record sheets in place, however the RTO should review and make sure that every task has an assessment record sheet.