

**Audit Date: 11-12 December 2024**

**RTO: Yarraville Community Centre**

<b>Applicant Details</b>			
Applicant Name	Yarraville Community Centre	TOID	4207
Address	59 Francis St Yarraville		
	Website	<a href="http://www.ycc.net.au/">http://www.ycc.net.au/</a>	
Registration Contact	Jessica Deane		
Phone Number	9687 1560	Email	<a href="mailto:ceo@ycc.net.au">ceo@ycc.net.au</a>
<b>Audit Team</b>			
Audit Firm	Audit Express	Auditor/s	Kevin Ekendahl
Auditor/s		Other Attendees	
<b>Registering Body Details</b>			
Contact Person	Julie Florence		
Phone Number	9059 4537	Email	<a href="mailto:vet.audit@education.vic.gov.au">vet.audit@education.vic.gov.au</a>
<b>Audit Details</b>			
Type of Audit	<b>Re-registration Audit</b>		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.3, 3.4
2016 VRQA Guidelines Audited		2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8 (If applicable)	
	3.1, 3.2, 3.3, 3.4, 3.5	4.1,4.2, 4.3 to 4.6 (If applicable)	
	6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.7, 6.8, 6.9, 6.10, 6.11		
Audit Date/s	11-12 December 2024		
<b>RTO Background</b>			
<p>Yarraville Community Centre became a Registered Training Organisation (RTO) approximately 15 years ago, focusing on providing language and vocational training to Culturally and Linguistically Diverse (CALD) communities. It is funded by the Adult, Community and Further Education (ACFE) and delivers Adult Migrant English Program (AMEP) and Skills for Education and Employment (SEE) programs. These programs primarily support new arrivals and migrants, with approximately 70% of training focused on English as an Additional Language (EAL). The RTO is also funded through Skills First delivering programs in individual support, disability services, Community Services and School Based Education Support targeting CALD communities. These programs help participants improve their English language skills and provide pathways into further education. This model aims to increase employability and community engagement.</p> <p>The organisation serves a diverse cohort, with over 50% of students from the Vietnamese community, and 45% from Arabic-speaking countries, such as Sudan, Somalia, Iraq, and Afghanistan. The staff reflects this diversity, with many coming from CALD backgrounds, offering valuable lived experiences. This cultural understanding helps the organisation address the unique challenges faced by its students, such as trauma and displacement.</p> <p>The organisation's learning environment is designed to be more supportive and relaxed than traditional educational institutions like TAFE. This approach helps students, especially those with anxiety, feel more comfortable and engaged in their studies. Students also participate in community programs, providing</p>			

**Audit Date: 11-12 December 2024**

**RTO: Yarraville Community Centre**

opportunities for social interaction and volunteer work. Volunteer tutors support students with one-on-one tutoring and classroom assistance, further enhancing the learning experience.

The organisation also provides pre-accredited training in literacy, numeracy, and employment preparation. It offers practical facilities, such as a kitchen for training purposes and a childcare facility for students' occasional care needs.

Yarraville Community Centre aims to expand its course offerings, such as adding Early Childhood Education and Care to its scope, to provide students with more pathways.

The Footscray campus faces accessibility challenges, which the organisation is addressing to improve student access.

The Centre serves approximately 145 students across various programs, including Certificates II & III in Community Services, Certificate III in School Based Education Support, Certificate III in Individual Support, Certificate IV in Disability Support and multiple levels of EAL. It employs 18-20 trainers, most of whom are part-time, with four full-time staff members and a small number of fixed-term staff. Class sizes are kept small, with 10-12 students per class, allowing for more personalised attention.

The organisation uses Vettrak as its Student Management System (SMS) to track student progress and ensure compliance with AVETMISS requirements.

**Audit Date: 11-12 December 2024**

**RTO: Yarraville Community Centre**

<b>Qualifications/Units Audited<sup>1</sup></b>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
<b>CHC33021</b>	<b>Certificate III in Individual Support</b>	59 Francis St, Yarraville VIC
<i>CHCCCS040</i>	<i>Support independence and wellbeing</i>	
<i>CHCAGE011</i>	<i>Provide support to people living with dementia</i>	
<b>22639VIC</b>	<b>Certificate II in EAL (Access)</b>	59 Francis St, Yarraville & 9 Victoria St, Footscray
<i>VU22358</i>	<i>Develop learning goals</i>	
<i>VU22369</i>	<i>Work with simple numbers and money in familiar situations</i>	

<b>Interviewee(s)</b> – Staff name and position; employer name and position	
Ms Jessica Deane	Chief Executive Officer
Ms Melissa Giffard	Education Manager
Ms Deb Magnusson	Trainer/assessor – Individual Support
Mr Andrew Robertson	Trainer/assessor – EAL Programs

<b>Permanent Delivery Sites –</b>	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
If ' No' , please provided amended details below:		
Note, the National Register should be reviewed and updated to include the full address of the Victoria Street Campus.		

<b>Third party Arrangements –</b>	Yes	No
Do the RTO's third party arrangements 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 Date: 11-12 December 2024

RTO: Yarraville Community Centre

**Audit Summary - AQTF Conditions of Registration**

AQTF Conditions Place an X in the appropriate column		Compliant	Non - Compliant	Not audited
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation	X		
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	X		
7	Recognition of Qualifications Issued by other RTOs	X		
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses	X		
<b>Strengths</b>				
<p>The organisation has several key strengths that contribute to its success in serving CALD communities. One of its main strengths is the small class sizes, typically 10-12 students, which allow for personalised attention and create a supportive learning environment. This is complemented by a community-focused approach that helps students feel comfortable and engaged.</p> <p>The organisation's staff, many of whom come from CALD backgrounds themselves, reflect the diversity of the student cohort and are able to provide culturally relevant support. The close connection staff have with students and their families enables them to understand individual needs and offer tailored assistance.</p> <p>The organisation also benefits from its holistic learning environment, which includes strong community engagement and opportunities for students to participate in volunteer work. Volunteer tutors support students with one-on-one tutoring and in the classroom. The staff's sensitivity to the needs of students, particularly those from traumatic backgrounds, fosters a nurturing atmosphere that promotes learning and personal growth.</p>				

Audit Date: 11-12 December 2024

RTO: Yarraville Community Centre

**Audit Summary - AQTF Standards**

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<b>Standard 1</b>			
1.1 – Continuous Improvement Strategy	X		
1.2 – Training and Assessment Strategies	X		
1.3 – Training and Assessment Resources		X	
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies		X	
<b>Standard 2</b>			
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services	X		
2.3 – Provision of Information to Clients	X		
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy	X		
<b>Standard 3</b>			
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations	X		
3.3 – Third-Party Training and/ or Assessment Services	X		
3.4 – Records Management	X		
<b>Summary of Non-Compliance<sup>2</sup></b>			
<p><b>SF.1.3.1</b> The RTO was not able to demonstrate it had access to all the required facilities and equipment required for each component of the training products on its scope of registration.</p> <p><b>SF.1.3.2</b> The RTO was not able to demonstrate students had access to the range of equipment and conditions which were consistent with the requirements of the training package.</p> <p><b>SF 1.5.1</b> The RTO was not able to demonstrate that its observation assessment tools and practices were conducted in accordance with the principles of validity and reliability and the rules of validity and sufficiency.</p> <p><b>SF 1.5.2</b> The RTO was not able to demonstrate that it conducted assessments which met the requirements of the training package as learners did not meet the conditions of assessment.</p>			

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

Audit Date: 11-12 December 2024

RTO: Yarraville Community Centre

**Audit Summary – 2016 VRQA Guidelines for VET Providers**

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
<b>1. Governance, Financial viability and Management systems</b>			
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
<b>2. Transparency and oversight of third parties</b>			
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
<b>3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)</b>			
3.1 – Vocational & Industry skill requirements	X		
3.2 – Training and Assessment (TAE) skill requirements	X		
3.3 – Assessment only skill requirements	X		
3.4 – Supervision arrangement requirements	X		
3.5 – Trainer under supervision skill requirements	X		
<b>4. Delivery of training and assessment services</b>			
4.1 – Training and assessment practices	X		
4.2 – Amount of training	X		
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
<b>5. Annual Declaration of Compliance</b>			
5.1 – Annual Declaration of Compliance			X
<b>6. Child Safe Standards</b>			

**Audit Date: 11-12 December 2024**

**RTO: Yarraville Community Centre**

6.1 – First Nations cultural safety			X
6.2 – Child safety and wellbeing is embedded			X
6.3 – Empowerment of young people			X
6.4 – Families of young people are informed and involved			X
6.5 – Equity is upheld and diversity respected			X
6.6 – RTO supports employees working with young people			X
6.7 – Complaints processes respond to child safety concerns			X
6.8 – Staff and volunteers receive child safety training			X
6.9 – RTO environments are child safe			X
6.10 – Child safety processes are reviewed			X
6.11 – Policies and procedures ensure child safety practices			X

**Detailed Findings - AQTF Conditions of Registration**

**CONDITION 1 – Governance**

**Not audited in  
Phase 2 audit**

**CONDITION 2 – Interactions with the Registering Body**

**Not audited in  
Phase 2 audit**

**CONDITION 3 - Compliance with Legislation**

**Compliant**

**Evidence/Documentation Reviewed**

C3\_YCC\_2024\_Skills First Teacher Trainer Handbook.pdf  
 C3\_YCC\_Access & Equity Policy & Procedure.pdf  
 C3\_YCC\_Anti Bullying Policy & Procedure.pdf  
 C3\_YCC\_Code of Conduct Policy.pdf  
 C3\_YCC\_Delegation of Authority.pdf  
 C3\_YCC\_Equal Employment Opportunity Policy & Procedure.pdf  
 C3\_YCC\_Flexible Work Arrangements\_Policy & Procedure.pdf  
 C3\_YCC\_Occupational Health & Safety Policy.pdf  
 C3\_YCC\_Policy & Procedure\_Copyright & Intellectual Property.pdf

C3\_YCC\_Position Description Data Entry & Compliance Officer.pdf  
 C3\_YCC\_Position Description\_CEO.pdf  
 C3\_YCC\_Position Description\_EAL Teacher.pdf  
 C3\_YCC\_Position Description\_Education Manager.pdf  
 C3\_YCC\_Position Description\_Foundation Coordinator.pdf  
 C3\_YCC\_Position Description\_VET Trainer.pdf  
 C3\_YCC\_Student\_Information Booklet\_2024.pdf

**CF.3.1 Finding**

**Required Rectification(s)**

The RTO was able to demonstrate that it understood its legislative obligations. These obligations were communicated to staff and students through respective handbooks which provided the information in an easy to understand format.

No action required.

<b>CONDITION 4 – Insurance</b>		<b>Not audited in Phase 2 audit</b>
<b>CONDITION 5 – Financial Management</b>		<b>Not audited in Phase 2 audit</b>
<b>CONDITION 6 - Certification &amp; Issuing of Qualifications &amp; Statements of Attainment</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>C6_YCC_Certificate &amp; Awards Register.xlsx  C6_YCC_Certificate Issuance Policy &amp; Procedure.pdf  C6_YCC_Certificate Template.pdf  C6_YCC_Records Management Policy &amp; Procedure.pdf  C6_YCC_Statement of Attainment Template.pdf  C6_YCC_USI and Privacy Notice.pdf</p>		
<b>CF.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The RTO was able to demonstrate that it had documented systems in place to issue AQF certification documentation.  The AQF certification documentation reviewed:</p> <ul style="list-style-type: none"> <li>• Met the requirements of the AQF</li> <li>• Identified the RTO by its national provider number</li> <li>• Included the NRT logo in accordance with the current conditions of use.</li> <li>• Were issued directly to the learners upon successful completion, and</li> <li>• Were accessible to learners.</li> </ul> <p>The RTO had a documented policy to retain records for a period for 30 years.</p>	<p>No action required</p>

The RTO used VETtrak as a student management system which is an AVETMISS compliant software.

The RTO supplied students with a USI Privacy Statement. USIs were obtained prior to issuing certificates and USI information was secured.

<b>CONDITION 7 - Recognition of Qualifications Issued by other RTOs</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>C7_YCC_Recognition of Prior Learning Policy &amp; Procedure.pdf            C7_YCC_Recognition of Qualifications from other RTOs &amp; Credit Transfer.pdf            C7_YCC_Student_Information Booklet_2024.pdf            C7, G4.1 &amp; 4.2_Student_Angelique_Credit Transfer granted evidence #2.pdf            C7, G4.1 &amp; G4.2_Student_Credit Transfer granted evidence #1.pdf            C7, G4.1 &amp; G4.2_Student_Credit Transfer granted evidence #3.pdf</p>		
<b>CF.7.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The RTO was able to demonstrate that it had a documented system to recognise qualifications and statements of attainment issued by other RTOs.</p> <p>The RTO was able to demonstrate that it communicated this process to prospective and current students.</p> <p>A sample of credit transfers issued by the RTO demonstrated that the RTO implemented its policies and procedures and appropriately verified documents to ensure their authenticity.</p>	<p>No action required.</p>

<b>CONDITION 8 - Accuracy and Integrity of Marketing</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>C8_CHC32015 Cert III in Community Services.pdf            C8_YCC_CHC30221 Cert III in School Based Edn Supp.pdf            C8_YCC_CHC33021 Cert III Ind Support.pdf            C8_YCC_Creation of Prom &amp; Marketing Materials Policy &amp; Procedure.pdf            C8_YCC_English-Classes-MB-MD-WFNH-Flyer.pdf            C8_YCC_Image Consent Form.pdf            C8_YCC_Links to social media platforms.pdf</p>		
<b>CF.8.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The RTOs marketing materials were ethical, accurate and consistent with the RTOs scope of registration.</p> <p>The RTO uses the NRT logo on brochures advertising nationally accredited training. The NRT logo was used according to the conditions of use.</p> <p>The RTO has used personal images of learners and staff in marketing materials. The RTO was able to demonstrate that it had obtained consent for the use of images. It is also noted that the RTO has recently strengthened its process for obtaining explicit consent of individuals with the ability to withdraw consent if requested.</p>	<p>No action required.</p>
<b>Improvement Opportunities</b>		
<p>The RTOs website contains a link which references CHC33021 Certificate III in Individual Support (Ageing, Home and Community) <a href="https://www.ycc.net.au/vocational-education/">https://www.ycc.net.au/vocational-education/</a>. This link then downloads a brochure for CHC33021 Certificate III in Individual Support (Ageing and Disability). The RTO may consider updating references to the specialisation to reflect the correct course titles.</p>		

<b>CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
C9_YCC_Course Transition Policy & Procedure.pdf C9_YCC_Export of Student Enrolments Report.xlsx		
<b>CF.9.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The RTO was able to demonstrate that it had a documented system to manage the transition from superseded Training Packages within 12 months from the date of publication.</p> <p>The RTO was found to have all students enrolled into current training packages/training products.</p> <p>The RTO was only advertising current training packages/course which were on its scope of registration.</p>	No action required.

**Detailed Findings - AQTF Standards**

<b>ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
S1.1_YCC_Continuous Improvement Policy & Procedure.pdf S1.1_YCC_Continuous Improvement Register 2024.pdf S1.5_Validation for VU22639_dated 18 Mar 2024.pdf S1.5_YCC_Foundation Quals_Validation Schedule_2024 to 2028.xlsx S1.5_YCC_Skills First Training Review & Completion Summary.pdf S1.5_YCC_Validation for CHCAGE011_dated 16 July 2024.pdf S1.5_YCC_Validation for CHCCCS040_dated 3rd April 2024.pdf S1.5_YCC_Validation for VU22358_dated 18 Mar 2024.pdf	S1.5_YCC_Validation Policy & Procedure.pdf S1.5_YCC_VET Quals_Validation Schedule_2021 to 2026.xlsx C3_YCC_Student_Information Booklet_2024.pdf C3_YCC_2024_Skills First Teacher Trainer Handbook.pdf S2.7_YCC_Complaints & Appeals Policy & Procedure.pdf S2.7_YCC_Copies of Complaints_Paper based system.pdf S2.7_YCC_Incident Reports_Paper based system.pdf	
<b>SF.1.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The RTO collects a range of data such as: student surveys, complaints/appeals, validation activity, internal reviews, industry consultation, staff meetings. The RTO was able to demonstrate that it analysed this data and improved the quality of training and assessment services.	No action required.

<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
S1.2_YCC_2024_TAS_22639VIC_Cert II in EAL.pdf S1.2_YCC_2024_TAS_CHC33021 Cert III Ind Supp.pdf S1.2_YCC_Evidence of Industry Consultation.pdf S1.2_YCC_Industry Partnership_Royal Freemasons.pdf S1.2_YCC_Industry Partnership_TLC Aged Care.pdf	S1.2_YCC_Strategic Plan 2023 to 2025.pdf S1.2_YCC_Timetables Sem 1 & 2.pdf S1.2 & G4.2_Cert II EAL_Unit Sequence.pdf S1.2 & G4.2_Cert III Ind Support_Unit Sequence.pdf	
<b>SF.1.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The RTO was able to provide Training and Assessment Strategies (TAS) for all training products sampled. The TAS consisted of a range of documents including a TAS Document, timetables and unit sequencing documents.</p> <p>The relevant cohorts for each strategy reviewed were appropriately identified and was consistent with their needs.</p> <p>The RTOs training and assessment strategies met the requirements of the relevant training package and VET accredited course and were developed in consultation with industry.</p>	No action required.

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
<b>Evidence/Documentation Reviewed</b>		
S1.3_YCC_Asset Register.xlsx S1.3_YCC_Student_Information Booklet_2024.pdf S1.3_Stirling Institute_Conditions of Room Hire.pdf S1.3_Stirling Institute_Room Hire Checklist 3rd Floor.pdf Visual inspection of facilities at Frances St, Yarraville. S1.2_YCC_2024_TAS_22639VIC_Cert II in EAL.pdf	S1.2_YCC_2024_TAS_CHC33021 Cert III Ind Supp.pdf S1.2_YCC_Evidence of Industry Consultation.pdf S1.2_YCC_Industry Partnership_Royal Freemasons.pdf S1.2_YCC_Industry Partnership_TLC Aged Care.pdf	
<b>SF.1.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The RTO was not able to demonstrate that it had access to the full range of equipment required to deliver the <i>CHC33021 Certificate III in Individual Support</i>. It is acknowledged that the current cohort of learners sampled had access to equipment provided by the Laverton Community Centre (LCC) which was arranged as part of the learning component prior to practical placement of individuals. The arrangement with the Laverton Community Centre is not supported by a documented process or signed agreement and relies on the individual efforts and personal relationships with the LCC.</p> <p>The RTO also furnished further evidence to support access to relevant equipment required as part of the <i>CHC33021 Certificate III in Individual Support</i>. This was in the form of details of a commercial venue <i>Stirling Institute of Australia</i>. This venue provides room hire and simulation room hire for the CHC33021. Whilst it is the intention of the RTO to use these facilities and that of LCC for the practical component of relevant units, neither of these proposed venues were supported with a written agreement (signed) or a list of relevant equipment which could be accessed as part of the delivery of the training product.</p>	<p>The RTO must ensure it has access to the full range of equipment required to deliver each training product listed on its scope of registration. This may include;</p> <ul style="list-style-type: none"> <li>• Purchasing or leasing sufficient relevant equipment and setting up simulated environments, or,</li> <li>• Having written and signed agreements in place to access sufficient relevant equipment, detailing what equipment is available, when it can be accessed, and how it meets the requirements of each relevant unit of competency.</li> </ul>
<b>SF.1.3.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The RTO was not able to demonstrate that it ensured each student had access to the full range of equipment and conditions required when undertaking practical placement. While the RTO undertakes a check of the proposed</p>	<p>The RTO must ensure each venue/facility which is to be used as part of the practical placement for each</p>

<p>facilities where student will be placed, this check did not include the complete and comprehensive check of the appropriateness of the facility for the placement of each individual based on the units of competency they are completing.</p> <p>For example, but not limited to;</p> <ul style="list-style-type: none"> <li>• Student AI – enrolled into the <i>CHC33021 Certificate III in Individual Support</i> and undertook placement at a Secondary School (disability), and an NDIS Disability Service. The checks of the relevant venues included WHS checks and a limited range of equipment and conditions but did not include the full range of conditions for each unit in which the individual enrolled such as: access to people with dementia (CHCAGE011), people in palliative care (CHCPAL003) and working effectively in aged care (CHCAGE013).</li> </ul>	<p>individual is suitable and appropriate and has access to the full range of equipment and conditions required for each unit of competency in which they are enrolled. Where this is not possible, the RTO must ensure it implements contingencies so that each student has access to the full range of equipment and conditions required.</p> <p>Also refer to rectification required in response to SF 1.5.2</p>
---	---

<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>		<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>		
<p>S1.4_YC_Deb Magnusson_Registered Nurse Registration.pdf  S1.4_YCC_Deb Magnusson_Adv Cert Nursing_qual &amp; trans.pdf  S1.4_YCC_Deb Magnusson_Bach of Nursing qual.pdf  S1.4_YCC_Deb Magnusson_Bach of Nursing transcript.pdf  S1.4_YCC_Deb Magnusson_Cert III Ind Sup_qual &amp; trans.pdf  S1.4_YCC_Deb Magnusson_Cert IV TAE_qual &amp; transcript.pdf  S1.4_YCC_Deb Magnusson_Signed CV 13 Feb 2024.pdf  S1.4_YCC_Deb Magnusson_TAEASS502 unit transcript.pdf  S1.4_YCC_Deb Magnusson_TAELN411 unit transcript.pdf  S1.4_YCC_Deb Magnusson_Trainer Matrix.pdf  S1.4_YCC_Jeremy O'Connor_Bach Arts qualification.pdf</p>	<p>S1.4_YCC_Jeremy O'Connor_Bach Arts transcript.pdf  S1.4_YCC_Jeremy O'Connor_Dip Edn qual &amp; transc.pdf  S1.4_YCC_Jeremy O'Connor_Signed CV 7 Feb 2024.pdf  S1.4_YCC_Jeremy O'Connor_TAE40110 Cert IV TAE qual &amp; transc.pdf  S1.4_YCC_Jeremy O'Connor_Trainer Matrix.pdf  S1.4_YCC_Jeremy O'Connor_Unit TAEASS502 result.pdf  S1.4_YCC_Professional Development Education Record Sheet 2024.xlsx  S1.4_YCC_Register of Teachers_Trainers_Assessors_2024.pdf  Interview with trainers: Deb Magnusson and Andrew Robertson.</p>	
<p><b>SF.1.4.1 Finding</b></p>	<p><b>Required Rectification(s)</b></p>	
<p>The RTO was able to demonstrate that it had credentialed and qualified trainers and assessors delivering accredited training and assessment.</p> <p>The RTO was able to demonstrate that each trainer and assessor had completed professional development in both VET and their vocational area. It is noted however that there was a variance between trainers in terms of the amount of professional development undertaken. The RTO did not have a clear framework or instructions as to the sufficiency of professional development required.</p>		<p>No action required.</p>

<p>The RTO did not have a current documented plan for ongoing professional development for each trainer and assessor. It is noted however that each trainer and assessor interviewed was able to articulate what professional development was recently undertaken and an individual plan for ongoing professional development.</p>	
--	--

#### Improvement Opportunities

The RTO may benefit from creating a clear professional development framework, detailing the minimum requirements and expectations required of each trainer delivering accredited training.

The RTO should ensure it documents a professional development plan for each trainer and assessor and ensure this professional development plan is directly relevant to the training and assessment being provided and is in line with any PD framework created by the RTO which outlines the minimum expectations.

<p><b>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):</b></p> <p>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.</p>		<p><b>Non-Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>		
<p>S1.2_YCC_2024_TAS_22639VIC_Cert II in EAL.pdf  S1.2_YCC_2024_TAS_CHC33021 Cert III Ind Supp.pdf  S1.2_YCC_Evidence of Industry Consultation.pdf  S1.2_YCC_Industry Partnership_Royal Freemasons.pdf  S1.2_YCC_Industry Partnership_TLC Aged Care.pdf  S1.2_YCC_Strategic Plan 2023 to 2025.pdf  S1.2_YCC_Timetables Sem 1 &amp; 2.pdf  S1.2 &amp; G4.2_Cert II EAL_Unit Sequence.pdf  S1.2 &amp; G4.2_Cert III Ind Support_Unit Sequence.pdf  C3_YCC_Student_Information Booklet_2024.pdf  C3_YCC_2024_Skills First Teacher Trainer Handbook.pdf  C7_YCC_Recognition of Prior Learning Policy &amp; Procedure.pdf  C7_YCC_Recognition of Qualifications from other RTOs &amp; Credit Transfer.pdf  C7, G4.1 &amp; 4.2_Student_Angelique_Credit Transfer granted evidence #2.pdf  C7, G4.1 &amp; G4.2_Student_Credit Transfer granted evidence #1.pdf  C7, G4.1 &amp; G4.2_Student_Credit Transfer granted evidence #3.pdf  S1.3_Stirling Institute_Conditions of Room Hire.pdf  S1.3_Stirling Institute_Room Hire Checklist 3rd Floor.pdf  S1.5_Validation for VU22639_dated 18 Mar 2024.pdf  S1.5_YCC_AI_CHCAGE011 v2 2024.pdf</p>	<p>S1.5_YCC_AI_CHCCCS040 v2 2024.pdf  S1.5_YCC_Assessor Guide for VU22358.pdf  S1.5_YCC_Assessor Guide for VU22369.pdf  S1.5_YCC_CD_CHCAGE011 v2 2024.pdf  S1.5_YCC_CD_CHCCCS040 v2 2024.pdf  S1.5_YCC_CI_CHCAGE011 v2 2024.pdf  S1.5_YCC_CI_CHCCCS040 v2 2024.pdf  S1.5_YCC_FAR_CHCAGE011 v2 2024.pdf  S1.5_YCC_FAR_CHCCCS040 v2 2024.pdf  S1.5_YCC_Foundation Quals_Validation Schedule_2024 to 2028.xlsx  S1.5_YCC_MAP_CHCAGE011 v2 2024.pdf  S1.5_YCC_MAP_CHCCCS040 v2 2024.pdf  S1.5_YCC_Skills First Training Review &amp; Completion Summary.pdf  S1.5_YCC_Validation for CHCAGE011_dated 16 July 2024.pdf  S1.5_YCC_Validation for CHCCCS040_dated 3rd April 2024.pdf  S1.5_YCC_Validation for VU22358_dated 18 Mar 2024.pdf  S1.5_YCC_Validation Policy &amp; Procedure.pdf  S1.5_YCC_VET Quals_Validation Schedule_2021 to 2026.xlsx  Sample of student files: CHC33021 – AI, SO, BV, CL  Sample of student files: 22639VIC – KHTT, BN, HBH, GDCR</p>	
<p><b>SF.1.5.1</b></p>	<p><b>Finding</b></p>	<p><b>Required Rectification(s)</b></p>

The RTO was not able to demonstrate that it conducted assessments which met the requirements of the training package and was not able to demonstrate that it conducted assessments in accordance with the Principles of Assessment and Rules of Evidence.

The RTO was able to furnish a suite of documents and assessment tools which met the Principles of Fairness and Flexibility, however the tools were not *valid* or *reliable*. Review of a sample of learner files found that the RTO did not collect *valid & sufficient* evidence.

#### **CHC33021 Certificate III in Individual Support**

The RTOs assessment tools of the units sampled (*CHCAGE011 Provide support to people living with dementia & CHCCCS040 Support independence and wellbeing*) included written assessments and practical tasks in the workplace which included observations made directly by the assessor. The observation checklists consisted of verbatim copies of the 'Performance Evidence' of each unit of competency which was assessed in the workplace. These observations did not include the tasks required to be performed by each individual and did not provide clear guidance to assessors as to the satisfactory observable behaviours expected of each individual.

For example, but not limited to, the observation assessment for the unit *CHCAGE011 Provide support to people living with dementia* consisted of a tick checklist with:

*"Evidence of the ability to complete tasks outlined in elements and performance criteria of this unit in the context of the job role, and:*

- *provide support according to an individualised plan, to two different people living with dementia, including:*
  - *using a person-centred approach to support, that upholds the rights and dignity of the person*
  - *using of communication strategies tailored to the needs of the person*
  - *supporting activities that meet the person's needs*

The RTO must ensure it reviews and updates its observation assessment instruments to ensure they are conducted in accordance with the principles of assessment (validity and reliability) and the rules of evidence (validity and sufficiency).

- The assessment tools must ensure they provide guidance and instruction to assessors on the satisfactory observable behaviours expected of students and collect evidence of students completing tasks outlined in the elements and performance criteria.
- The assessment tools must ensure it collects sufficient evidence of the conditions of assessment and the performance of each individual in undertaking the tasks.

The RTO must ensure it addresses the rectification for observation tools for all units within the *CHC33021 Certificate III in Individual Support* which require observations in the workplace.

<ul style="list-style-type: none"> <li>▪ <i>using strategies to minimise adverse outcomes associated with changed behaviour specific to the person, which may impact the person or others</i></li> <li>▪ <i>completing reports and documentation.</i></li> </ul> <p>Whilst there was a section provided for further comments below this tick-box area, the comments were not routinely completed by assessors and there was insufficient evidence to support the tasks completed by the students, the conditions in which they completed the tasks or the ability to complete tasks outlined in the elements and performance criteria.</p> <p>Furthermore, the written assessments were routinely completed in a paper-based format with learners completing the assessments in hand-writing. The assessment instruments only provided for a limited space for learners to provide their answers. There may be instances where students did not provide a full and comprehensive response given the limited space. Refer to improvement opportunity below.</p>	
<b>SF.1.5.2 Finding</b>	<b>Required Rectification(s)</b>
<p>The RTO was not able to demonstrate that it conducted assessments which met the requirements of the training package.</p> <p><b>CHC33021 Certificate III in Individual Support</b></p> <p>Students were required to undertake at least 120 hours of practical placement for the unit <i>CHCCCS040 Support independence and wellbeing</i>. While the requirements of this unit were met in terms of the 120 hour placement in at least one aged care, home and community, disability or community service organisation, the training product as outlined in the RTOs training and assessment strategies, also required students to undertake demonstration of skills in the workplace with the addition of simulations and scenarios where the full range of contexts and situations have not been provided in the workplace. Units that required demonstration of skills in the workplace for the ageing specialisation included:</p> <ul style="list-style-type: none"> <li>• CHCAGE011 Provide support to people living with dementia,</li> </ul>	<p>The RTO must ensure each venue/facility which is to be used as part of the practical placement for each individual is suitable and appropriate and they have access to the full range of equipment and conditions required for each unit of competency in which they are enrolled. Where this is not possible, the RTO must ensure it implements contingencies so that each student has access to the full range of equipment and conditions required.</p> <p>Also refer to rectification required in response to SF1.3.2</p>

- CHCAGE013 Work effectively in aged care, and
- CHCPAL003 Deliver care services using a palliative approach

Units that required demonstration of skills in the workplace for the disability specialisation included:

- CHCDIS011 Contribute to ongoing skills development using a strengths-based approach,
- CHCDIS012 Support community participation and social inclusion, and
- CHCDIS020 Work effectively in disability support.

It was noted that when undertaking practical placement, some students were able to select their own placement or the RTO organised placement at aged care facilities pre-approved for practical placement. In most instances students were either solely placed in an aged care facility or solely a disability service organisation. Whilst some of the tasks and skills may be transferable between these units, there are some specific tasks which require certain conditions to be met and performance evidence required to be demonstrated.

For example, but not limited to:

- Student AI - enrolled into the training product *CHC33021 Certificate III in Individual Support (Ageing & Disability)*. The training product included the ageing specialisation units outlined above and the student only did placement at a secondary school (disability) and an NDIS Disability service. There was no evidence to support the learner completing the tasks outlined in the elements and performance criteria which included access to:
  - individualised plans for support of people living with dementia that reflect a range of dementia symptoms,
  - facilities, equipment and resources relevant to individualised plans that are used when supporting people living with dementia,
  - opportunities for engagement with people living with dementia and their family, carer or others identified by the person and others involved in service provision.

SF.1.5.3	Finding	Required Rectification(s)
	<p>The RTO was able to demonstrate that it validated all training products on its scope of registration. It is noted however that given the findings in relation to SF 1.5.1 and SF 1.5.2 above, the level of detail of the validation activity may require further capability uplift of the validation team. Refer to improvement opportunity below.</p>	<p>No action required.</p>

<b>Improvement Opportunities</b>
<p>SF 1.5.1 The RTO may consider reviewing the written assessments completed by learners and ensure there is sufficient room for learners to provide a full and comprehensive response when hand-writing answers in the assessment instrument. The RTO may also consider allowing students to use YCC computers to complete written assessments which allow for full and comprehensive response and unlimited space.</p> <p>SF 1.5.3 The RTO may consider undertaking professional development or other capability uplift activities for the RTOs validators to ensure there is thorough and meaningful validation activity in the future.</p>

<b>2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>S2.1_YCC_Access &amp; Equity Policy &amp; Procedure.pdf  S2.1_YCC_Foundation_Skills First_PTR Cover Page.pdf  S2.1_YCC_PTR_Foundation_Assess Tool_Lvl 1 Integrated Tasks_Answers.pdf  S2.1_YCC_PTR_Foundation_Assess Tool_Lvl 2 Integrated Tasks &amp; Answers.pdf  S2.1_YCC_PTR_Foundation_Assess Tool_Lvl 3 Integrated-Tasks &amp; Answers.pdf  S2.1_YCC_PTR_Foundation_Assess Tool_PLB Integrated Tasks &amp; Answers.pdf  S2.1_YCC_PTR_VET Quals_Assess Tool_Lvl 2, 3, 4_Tasks &amp; Answers.pdf  S2.1_YCC_Skills First_PTR Analysis Document v3.pdf  S2.1_YCC_Student_Information Booklet_2024.pdf</p>		
<b>SF.2.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The RTO undertakes a pre-training review (PTR) of all learners to assess the support needs of individuals.</p> <p>The RTOs EAL programs include a comprehensive assessment to determine the most appropriate level of EAL program for the learner to enter.</p> <p>The RTO also provides a range of other pastoral care and educational support, such as tutoring, child care services and flexible arrangements for learners.</p>	No action required.

<b>2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
S2.1_YCC_Access & Equity Policy & Procedure.pdf S2.1_YCC_Foundation_Skills First_PTR Cover Page.pdf S2.1_YCC_PTR_Foundation_Assess Tool_Lvl 1 Integrated Tasks_Answers.pdf S2.1_YCC_PTR_Foundation_Assess Tool_Lvl 2 Integrated Tasks & Answers.pdf S2.1_YCC_PTR_Foundation_Assess Tool_Lvl 3 Integrated-Tasks & Answers.pdf S2.1_YCC_PTR_Foundation_Assess Tool_PLB Integrated Tasks & Answers.pdf S2.1_YCC_PTR_VET Quals_Assess Tool_Lvl 2, 3, 4_Tasks & Answers.pdf S2.1_YCC_Skills First PTR Analysis Document v3.pdf	S2.1_YCC_Student_Information Booklet_2024.pdf S1.1_YCC_Continuous Improvement Policy & Procedure.pdf S1.1_YCC_Continuous Improvement Register 2024.pdf S2.7_YCC_Complaints & Appeals Policy & Procedure.pdf S2.7_YCC_Copies of Complaints_Paper based system.pdf S2.7_YCC_Incident Reports_Paper based system.pdf	
<b>SF.2.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The RTO was able to demonstrate that it collected a range of data relating client services and it analysed and acted upon this data. This included regular surveys of learners, regular discussions with individual learners (given the small learner cohort), complaints and appeals information and feedback from trainers/assessors in staff meetings.	No action required.

<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>S2.3_YCC_For Students_General Information &amp; USI Privacy Notice 2024.pdf  S2.3_YCC_Skills First Fees &amp; Charges 2024.pdf  S2.3_YCC_Skills First Student Enrolment Form 2024.pdf  S2.3_YCC_Student_Information Booklet_2024.pdf</p>		
<b>SF.2.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>The RTO was able to demonstrate that it provided accurate enrolment information to learners prior to enrolment which included:</p> <ul style="list-style-type: none"> <li>• Training, assessment and support services, and</li> <li>• Student rights and obligations</li> </ul>		<p>No action required.</p>

<b>2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>S1.2_YCC_Evidence of Industry Consultation.pdf          S1.2_YCC_Industry Partnership_Royal Freemasons.pdf          S1.2_YCC_Industry Partnership_TLC Aged Care.pdf          Sample of student files: CHC33021 – AI, SO, BV, CL</p>		
<b>SF.2.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The RTO was able to demonstrate that where students were involved with work placement (practical placement) that:</p> <ul style="list-style-type: none"> <li>• There was consultation with workplace personnel who were engaged in development of training and assessment strategies,</li> <li>• Workplace personnel were informed of their relevant roles and responsibilities.</li> <li>• Written agreements were in place for work placement between the RTO and employer.</li> </ul>	<p>No action required.</p>
<b>Improvement Opportunities</b>		
<p>The RTO may benefit from strengthening the agreements between work placement employers by including further information to employers/supervisors about the requirements for each learner to complete certain tasks which align to specific units of competency. For example, the RTO may consider developing a task-based guideline provided to employers/supervisors which outline the specific tasks learners are required to complete as part of the placement.</p>		

<b>2.5 - Learners receive training, assessment and support services that meet their individual needs.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
See evidence in reference to 2.1 & 2.3		
<b>SF.2.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The RTO was able to demonstrate that it provided educational and other support services that met the individual needs of learners.	No action required.
<b>2.6 - Learners have timely access to current and accurate records of their participation and progress.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
S2.6_YCC_Records Management Policy & Procedure.pdf S2.6_YCC_Student_Information Booklet_2024.pdf		
<b>SF.2.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The RTO was able to demonstrate that it provided timely access to current and accurate records of their participation and progress in the program.	No action required.

<b>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>Evidence/Documentation Reviewed</b>		
<p>S2.7_YCC_Complaints &amp; Appeals Policy &amp; Procedure.pdf  S2.7_YCC_Copies of Complaints_Paper based system.pdf  S2.7_YCC_Incident Reports_Paper based system.pdf  S2.7_YCC_Student_Information Booklet_2024.pdf</p>		
<b>SF.2.7.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The RTO was able to demonstrate that it had a documented complaints and appeals policy and process.  The RTO was able to demonstrate that it had dealt with complaints in accordance with its documented process.</p> <p>The RTOs information provided to learners included information that they could escalate complaints to the VRQA (as documented in the Student information booklet), however this information was not explicit in the RTOs procedure document where the complaints/appeals could be escalated to the VRQA only for '<i>Skills First students</i>'. It should be noted that students of all accredited training could escalate complaints to the regulator.</p>	<p>No action required.</p>
<b>Improvement Opportunities</b>		
<p>The RTO may consider updating the policy/procedure document to include all students of accredited training to be able to escalate complaints to the regulator if required.</p>		

<b>3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>S3.1_Flyer for CHC32015.pdf  S3.1_YCC_Flyer for CHC30221.pdf  S3.1_YCC_Flyer for CHC33021.pdf  S3.1_YCC_Marketing Review_Jan to July 2024.pdf  S3.1_YCC_Promotion Materials Policy.pdf  S3.1_YCC_Skills First Student Enrolment Form 2024.pdf  Sample of student files: CHC33021 – AI, SO, BV, CL  Sample of student files: 22639VIC – KH TT, BN, HBH, GDCR</p>		
<b>SF.3.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The RTO was able to demonstrate it had agreements in place with individual learners. This comprised of learner enrolment forms and a suite of other documents provided to learners outlining the services to be provided.	No action required.

<b>3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.</b>		<b>Compliant</b>
S1.1_YCC_Continuous Improvement Policy & Procedure.pdf S1.1_YCC_Continuous Improvement Register 2024.pdf S1.5_Validation for VU22639_dated 18 Mar 2024.pdf S1.5_YCC_Foundation Quals_Validation Schedule_2024 to 2028.xlsx S1.5_YCC_Skills First Training Review & Completion Summary.pdf S1.5_YCC_Validation for CHCAGE011_dated 16 July 2024.pdf S1.5_YCC_Validation for CHCCCS040_dated 3rd April 2024.pdf S1.5_YCC_Validation for VU22358_dated 18 Mar 2024.pdf	S1.5_YCC_Validation Policy & Procedure.pdf S1.5_YCC_VET Quals_Validation Schedule_2021 to 2026.xlsx C3_YCC_Student_Information Booklet_2024.pdf C3_YCC_2024_Skills First Teacher Trainer Handbook.pdf S2.7_YCC_Complaints & Appeals Policy & Procedure.pdf S2.7_YCC_Copies of Complaints_Paper based system.pdf S2.7_YCC_Incident Reports_Paper based system.pdf	
<b>SF.3.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The RTO was able to demonstrate that it collected analysed and acted upon relevant data to continuously improve management operations. Given the size and scope of the organisation, this consisted of regular staff/management meetings and collection of relevant data from operations such as complaints/appeals, validation and survey responses.</p>	<p>No action required.</p>

<b>Improvement Opportunities</b>
<p>The RTOs management of operations could be strengthened by undertaking systematic ongoing self-assessments of performance, such as internal audits, and use the outcomes of these self-assessments to continuously improve management of operations.</p>

<b>3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.</b>		<b>Compliant</b>
Not applicable		
<b>SF.3.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The RTO does not engage any other organisation to deliver training and/or assessment services on its behalf.	No action required.

<b>3.4 - The RTO manages records to ensure their accuracy and integrity.</b>		<b>Compliant</b>
S3.4_YCC_Records Management Policy & Procedure.pdf S2.7_YCC_Copies of Complaints_Paper based system.pdf S2.7_YCC_Incident Reports_Paper based system.pdf Sample of student files: CHC33021 – AI, SO, BV, CL Sample of student files: 22639VIC – KHTT, BN, HBH, GDCR		
<b>SF.3.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The RTO was able to demonstrate that it had a documented records management policy and procedure in place. During the course of the audit, the RTO was able to provide accurate, complete and consistent records.	No action required.

**Detailed Findings – 2016 VRQA Guidelines for VET Providers**

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

**Not Audited in  
Phase 2 audit**

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

**GUIDELINE 1.2 - An RTO demonstrates its financial viability and its capacity to sustain quality VET into the future by ensuring it has a three year financial plan that includes:**

**Not audited in  
Phase 2 audit**

- a) projected student enrolments by qualifications
- b) a range of financial indicators, including
  - i. cash flow
  - ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1)
  - iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1)
- c) the VET provider shows that it has a financial guarantor with the capacity to service the guarantee and/or to demonstrate sufficient working capital to operate for at least 6 months without tuition fees.
- d) details about whether any person involved in the management or provision of courses by the RTO meets any of the descriptions listed in section 4.3.11(2) of the Act.

**GUIDELINE 1.3 - An RTO ensures that it has management systems that include:**

- a) management information including:
  - I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds)
  - II. a physical address of the company in Victoria for the purposes of serving notices
  - III. details of the directors, CEO/PEO and senior management members/high managerial agents with associated police checks and Working With Children Checks if students are under 18 years of age
  - IV. fit and proper persons declarations for CEO/PEO and all senior management members/high managerial agents, that are conducted prior to employment and fit and proper status is confirmed annually
  - V. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria
  - VI. contact arrangements for the CEO/PEO including during holidays and other closure periods
  - VII. a physical addresses for the location of financial, student and staff records including archives and computer back up storage
- b) a financial management system including a system for managing student fee payments and student refunds
- c) a student records management system that includes the capacity to provide the VRQA with AVETMISS compliant data and to ensure that copies of student records are
  - I. not able to be withheld from the RTO; and
  - II. able to be provided in electronic and print versions, at no cost to the VRQA in the event that the VET provider ceases operations
- d) a staff records management system including arrangements which ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills.

**Not Audited in  
Phase 2 audit**

**GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:**

- a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management
- b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that:
  - i. for an RTO with anticipated ongoing operation of less than 150 equivalent full time students or an annual student fee turnover of less than \$1.5m per annum, persons are appointed with suitable qualifications and experience; and
  - ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience
- c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience.

**Not audited in  
Phase 2 audit**

<p><b>GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.</b></p> <ul style="list-style-type: none"> <li>• <i>A third party</i> means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO.</li> <li>• <i>Services</i> mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services.</li> </ul>	<b>Not audited</b>
<p><b>GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:</b></p> <ul style="list-style-type: none"> <li>a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and</li> <li>b) for the purposes of the conduct of any audit or monitoring of its operations.</li> </ul>	<b>Not audited</b>
<p><b>GUIDELINE 2.3 – An RTO notifies the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:</b></p> <ul style="list-style-type: none"> <li>a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and</li> <li>b) within 30 calendar days of the agreement coming to an end.</li> </ul>	<b>Not audited</b>
<p><b>GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:</b></p> <ul style="list-style-type: none"> <li>a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and</li> <li>b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party.</li> </ul>	<b>Not audited</b>

<p><b>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO provides, in print or through referral to an electronic copy, current and accurate information that:</b></p> <ul style="list-style-type: none"><li>a) enables the student to make informed decisions about undertaking training with the RTO and</li><li>b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf</li></ul>	<p><b>Not audited</b></p>
<p><b>GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.</b></p>	<p><b>Not audited</b></p>
<p><b>GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:</b></p> <ul style="list-style-type: none"><li>a) the RTO, its trainers, assessors or other staff;</li><li>b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or</li><li>c) a student of the RTO.</li></ul>	<p><b>Not audited</b></p>
<p><b>GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.</b></p>	<p><b>Not audited</b></p>

<p><b>GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:</b></p> <ul style="list-style-type: none"> <li>a) vocational competencies at least to the level being delivered and assessed;</li> <li>b) current industry skills directly relevant to the training and assessment being provided; and</li> <li>c) current knowledge and skills in vocational training and learning that informs their training and assessment.</li> </ul> <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		<b>Compliant</b>
<p>S1.4_YC_Deb Magnusson_Registered Nurse Registration.pdf  S1.4_YCC_Deb Magnusson_Adv Cert Nursing_qual &amp; trans.pdf  S1.4_YCC_Deb Magnusson_Bach of Nursing qual.pdf  S1.4_YCC_Deb Magnusson_Bach of Nursing transcript.pdf  S1.4_YCC_Deb Magnusson_Cert III Ind Sup_qual &amp; trans.pdf  S1.4_YCC_Deb Magnusson_Cert IV TAE_qual &amp; transcript.pdf  S1.4_YCC_Deb Magnusson_Signed CV 13 Feb 2024.pdf  S1.4_YCC_Deb Magnusson_TAEASS502 unit transcript.pdf  S1.4_YCC_Deb Magnusson_TAELN411 unit transcript.pdf  S1.4_YCC_Deb Magnusson_Trainer Matrix.pdf  S1.4_YCC_Jeremy O'Connor_Bach Arts qualification.pdf</p>	<p>S1.4_YCC_Jeremy O'Connor_Bach Arts transcript.pdf  S1.4_YCC_Jeremy O'Connor_Dip Edn qual &amp; transc.pdf  S1.4_YCC_Jeremy O'Connor_Signed CV 7 Feb 2024.pdf  S1.4_YCC_Jeremy O'Connor_TAE40110 Cert IV TAE qual &amp; transc.pdf  S1.4_YCC_Jeremy O'Connor_Trainer Matrix.pdf  S1.4_YCC_Jeremy O'Connor_Unit TAEASS502 result.pdf  S1.4_YCC_Professional Development Education Record Sheet 2024.xlsx  S1.4_YCC_Register of Teachers_Trainers_Assessors_2024.pdf  Interview with trainers: Deb Magnusson and Andrew Robertson.</p>	
<b>GF 3.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>The RTO was able to demonstrate that it had credentialed and qualified trainers and assessors delivering accredited training and assessment.</p> <p>The RTO was able to demonstrate that each trainer and assessor had completed professional development in both VET and their vocational area. It is noted however that there was a variance between trainers in terms of the amount of professional development undertaken. The RTO did not have a clear framework or instructions as to the sufficiency of professional development required.</p>		<p>No action required.</p>

<p>The RTO did not have a current documented plan for ongoing professional development for each trainer and assessor. It is noted however that each trainer and assessor interviewed was able to articulate what professional development was recently undertaken and an individual plan for ongoing professional development.</p>	
--	--

<b>Improvement Opportunities</b>
----------------------------------

Refer to improvement opportunities in reference to SF 1.4.1
---

<b>GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.</b>		<b>Compliant</b>
<p>S1.4_YCC_Deb Magnusson_Cert IV TAE_qual &amp; transcript.pdf          S1.4_YCC_Deb Magnusson_TAEASS502 unit transcript.pdf          S1.4_YCC_Deb Magnusson_TAELLN411 unit transcript.pdf          S1.4_YCC_Jeremy O'Connor_Dip Edn qual &amp; transc.pdf          S1.4_YCC_Jeremy O'Connor_TAE40110 Cert IV TAE qual &amp; transc.pdf</p>		
<b>GF 3.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
The RTO was able to demonstrate that all trainers/assessor had the relevant TAE credentials as specified in Schedule 1 of the guidelines.		No action required.
<b>GUIDELINE 3.3 Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.</b>		<b>Compliant</b>
<p>S1.4_YCC_Register of Teachers_Trainers_Assessors_2024.pdf</p>		
<b>GF 3.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
All sampled trainers were found to be appropriately qualified to deliver and assess the relevant training products.		No action required.

<b>GUIDELINE 3.4 Where the RTO, in delivering training and assessment, engages an individual who is not a qualified trainer and/or assessor, the individual works under the supervision of a qualified trainer and/or assessor and must not determine assessment outcomes.</b>		<b>Compliant</b>
N/A		
<b>GF 3.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The RTO was able to demonstrate that all sampled trainers and assessors were appropriately credentialed and qualified to deliver all relevant training products.	No action required.
<b>GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:</b>		<b>Compliant</b>
<ul style="list-style-type: none"> <li>a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines, that is relevant to the learner cohort which the individual is involved in training and assessing, or is actively working towards a training and assessment credential specified in Item 1 of Schedule 1;</li> <li>b) has vocational competencies at least to the level being delivered and assessed; and</li> <li>c) has current industry skills directly relevant to the training and assessment being provided.</li> </ul>		
N/A		
<b>GF 3.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Refer to Guideline 3.4	No action required.

<b>GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</b>		<b>Compliant</b>
S1.2_YCC_2024_TAS_22639VIC_Cert II in EAL.pdf S1.2_YCC_2024_TAS_CHC33021 Cert III Ind Supp.pdf S1.2_YCC_Evidence of Industry Consultation.pdf S1.2_YCC_Industry Partnership_Royal Freemasons.pdf S1.2_YCC_Industry Partnership_TLC Aged Care.pdf	S1.2_YCC_Strategic Plan 2023 to 2025.pdf S1.2_YCC_Timetables Sem 1 & 2.pdf S1.2 & G4.2_Cert II EAL_Unit Sequence.pdf S1.2 & G4.2_Cert III Ind Support_Unit Sequence.pdf	
<b>GF 4.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
The RTO was able to demonstrate that its training and assessment strategies and practices enabled learners to meet the requirements for each unit of competency/module in which they were enrolled.  It is noted that the RTOs training and assessment practices in reference to the access to equipment and conditions of assessment have been addressed in reference to Elements 1.3, and 1.5		No action required.

<b>GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:</b>		<b>Compliant</b>
<ul style="list-style-type: none"> <li>a) the existing skills, knowledge and the experience of the student;</li> <li>b) the mode of delivery; and</li> <li>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.</li> </ul>		
<p>S1.2_YCC_2024_TAS_22639VIC_Cert II in EAL.pdf            S1.2_YCC_2024_TAS_CHC33021 Cert III Ind Supp.pdf            S1.2_YCC_Evidence of Industry Consultation.pdf            S1.2_YCC_Industry Partnership_Royal Freemasons.pdf            S1.2_YCC_Industry Partnership_TLC Aged Care.pdf</p>		<p>S1.2_YCC_Strategic Plan 2023 to 2025.pdf            S1.2_YCC_Timetables Sem 1 &amp; 2.pdf            S1.2 &amp; G4.2_Cert II EAL_Unit Sequence.pdf            S1.2 &amp; G4.2_Cert III Ind Support_Unit Sequence.pdf</p>
<b>GF 4.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The RTO was able to demonstrate that its training and assessment strategies and practices considered the learners' existing skills, knowledge and experience in determining the amount of training to be provided to each individual.	No action required.

<p><b>GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation) of these Guidelines.</b></p>	<p><b>Not audited</b></p>
<p><b>GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.</b></p>	<p><b>Not audited</b></p>
<p><b>GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment:</b></p> <ul style="list-style-type: none"> <li>a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or</li> <li>b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.</li> </ul>	<p><b>Not audited</b></p>
<p><b>GUIDELINE 4.6 - An RTO ensures that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 of these Guidelines and does not determine assessment outcomes.</b></p>	<p><b>Not audited</b></p>
<p><b>GUIDELINE 4.7 - An application to add any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor) to an RTO's scope of registration has only be granted if an RTO has:</b></p> <ul style="list-style-type: none"> <li>a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and</li> <li>b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3.</li> </ul>	<p><b>Not audited</b></p>

**GUIDELINE 5.1 - An RTO registered with the VRQA has provided an annual declaration of compliance with the AQTF Essential Conditions and Standards for Continuing Registration (the AQTF Standards) and these Guidelines, and in particular whether it:**

- a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and
- b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and
- c) has training and assessment strategies and practices in place that ensure that all current and prospective students are or will be trained and assessed in accordance with the requirements of the AQTF Standards and these Guidelines.
- d) Currently meets the requirements of Guideline 6 (Child Safe Standards), if applicable

**Not audited**

GUIDELINE 6.1 - Organisations establish a culturally safe environment in which the diverse and unique identities and experiences of Aboriginal children and young people are respected and valued	Not audited
GUIDELINE 6.2 - Child safety and wellbeing is embedded in organisational leadership, governance and culture	Not audited
GUIDELINE 6.3 - Children and young people are empowered about their rights, participate in decisions affecting them and are taken seriously	Not audited
GUIDELINE 6.4 - Families and communities are informed, and involved in promoting child safety and wellbeing	Not audited
GUIDELINE 6.5 - Equity is upheld and diverse needs respected in policy and practice	Not audited
GUIDELINE 6.6 - People working with children and young people are suitable and supported to reflect child safety and wellbeing values in practice	Not audited
GUIDELINE 6.7 - Processes for complaints and concerns are child focused	Not audited
GUIDELINE 6.8 - Staff and volunteers are equipped with the knowledge, skills and awareness to keep children and young people safe through ongoing education and training	Not audited

**GUIDELINE 6.9 - Physical and online environments promote safety and wellbeing while minimising the opportunity for children and young people to be harmed**

**Not audited**

**GUIDELINE 6.10 - Implementation of the Child Safe Standards is regularly reviewed and improved**

**Not audited**

**GUIDELINE 6.11 - Policies and procedures document how the organisation is safe for children and young people**

**Not audited**