AQTF Essential Conditions and Standards for Continuing Registration
AUDIT REPORT

RTO: GEST   **Audit Date: 3/10/11**

RTO DETAILS			
RTO Name	Gippsland Employment Skills Training Inc.	NTIS Number	3828
Address	7 Anzac St, Moe		
		Website	http://www.gest.com.au
Registration Contact	Lorraine Tullett		
Phone Number	5127 4544	Email	lorraine@gest.com.au
Student Numbers	335		
AUDIT TEAM			
Lead Auditor	Chloe Dyson	Auditor/s	Adrian Boulton
Technical Advisor/s		Observer/s	
REGISTERING BODY DETAILS			
Contact Person	Katherine Papastathopoulos		
Phone Number	9651 3225	Email	vet.audit@edumail.vic.gov.au
AUDIT DETAILS			
Type of Audit	Renewal		
Conditions audited	1, 3, 4, 6, 7, 8, 9. *(Conditions 2 & 5 are not required to be audited, see page 3 below)*		
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
Audit Date/s	03/10/11		
Other audit notes			

ACCOMPANYING REPORTS	Yes	No
VRQA Guidelines Audit Report	✔	
VRQA Guidelines – Re-registration Checklist	✔	

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FOCUS OF AUDIT		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
NTIS Code	Qualification/Unit of Competence/Accredited Course (as per NTIS)	Delivery Site
CHC30208	Certificate III Aged Care	Moe
SIT40307	Certificate IV in Hospitality	Moe
21854VIC	Course in Home Sustainability Assessment	Moe
TLICIC108A	Licence to operate forklift truck	Workplaces

INTERVIEWEE/S: Staff name and position; employer name and position; students by program	
Lorraine Tullett – CEO	Marilou Lewis – Aged Care Trainer
Vesna Varasenovic – Hospitality Trainer	

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AUDIT SUMMARY

	Conditions of Registration	Compliant	Non-compliant	Not audited
1	**Governance** **1.1 CEO must ensure the RTO complies with relevant conditions, standards and guidelines** **1.2 Fit & Proper Persons Tests** **1.3 Input of Trainers and Assessors in senior management decision making**	✔		
2	**Interactions with the Registering Body**			✔
3	**Compliance with Legislation**	✔		
4	**Insurance**	✔		
5	**Financial Management**			✔
6	**Certification & Issuing of Qualifications & Statements of Attainment**		✔	
7	**Recognition of Qualifications Issued by other RTOs**	✔		
8	**Accuracy and Integrity of Marketing**		✔	
9	**Transition to Training Packages/Expiry of Accredited Courses**	✔		

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Summary of non-compliances – Conditions of Registration

The RTO was non-compliant with the following conditions:

Condition 6: Certification and issuing of Qualifications and Statements of Attainment
The Statement of Attainment for *Licence to operate a forklift truck*: – Statement on student files states that the it was awarded *'for participating in (HRW) Forklift '*and then details the unit of competency addressed. This has been corrected, but the most recent version of the statement does not include Statement of Attainment explanatory statement.

The Statement of Attainment for Course in Home Sustainability Assessment states:

> *'This is to certify that …has fulfilled the requirements for the qualification herein'.*

This does not comply with the advice in the *AQF Implementation Handbook*, which states that the wording should be: '*These competencies were attained in completion of Course in…'*

Statements of Attainment general: – Do not include explanatory statement. Refer to '*This qualification'* instead of *'This Statement of Attainment'.*

Qualification templates do not make reference to Employability Skills.

Condition 8: Accuracy and Integrity of Marketing
Only the Competency code was listed with the NRT logo in the Course Guide when the competency name should have been included.

Recommendations

Condition 6: Certification and issuing of Qualifications and Statements of Attainment
The RTO is required to adjust its templates for awards so that they are compliant with the *AQF Implementation Handbook.*

Condition 8: Accuracy and Integrity of Marketing
The RTO is required to revise its marketing so that the NRT is used according to the NRT guidelines.

Strengths

Opportunities for Improvement

Condition 7: The RPL procedure (page 2) refers to ANTA and it is suggested this is revised and updated.

Condition 8: It is suggested that the RTO change the wording in the 2011 Course Guide from Nationally 'Accredited' to Nationally 'Recognised Training' for greater accuracy.

Condition 9: The RTO includes transition from superseded Training Packages in its continuous improvement procedure, referencing a Continuous Improvement model used by the RTO. However, the continuous improvement model does not provide comprehensive information about how transition will be managed. It is suggested that the procedure is revised. Inclusions could include: reference to checking for updates regarding transition arrangements; updating scope of registration; reviewing and revising strategies for training and assessment; marketing materials; training and assessment materials; and, staff vocational competence.

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Standard 1:	The RTO provides quality training and assessment across all of its operations	Result	✓
		Compliant	
		Non-compliant	✓
		Not audited	

Audit conclusion

The RTO is non-compliant with Standard 1. The RTO was compliant in Element 1.1, Continuous Improvement.

Element 1.2 Strategies for training and assessment

Qualifications/courses reviewed

> CHC30208 Certificate III Aged Care
>
> SIT40307 Certificate IV in Hospitality
>
> 21854VIC Course in Home Sustainability Assessment
>
> TLICIC108A Licence to Operate Forklift Truck

Consultation with industry
With the exception of the *Licence to operate a forklift truck (*which was developed by WorkSafe) there was no evidence provided of consultation with industry and the impact of this consultation on the strategy for training and assessment.

Accuracy of strategies
SIT40307 Certificate IV in Hospitality: – Strategy does not identify units that must be assessed in the workplace.

TLICIC108A *Licence to operate Forklift Truck*:
Strategy is inaccurate as it details a strategy for training and assessment, not assessment only as described by the CEO. The strategy does not describe the resources required to conduct assessment in workplaces, for example, equipment and facilities required to carry out assessment safely. The strategy does not explain how assessment is managed or how much time is required, nor does it explain how the RTO manages further skills development, should a candidate be assessed as not yet competent.

21854VIC Course in Home Sustainability Assessment: – Strategy does not accurately identify assessment methods used.

CHC30208 Certificate III Aged Care: – Strategy does not accurately describe assessment methods.

Rectification required
The RTO is required to adjust its training and assessment strategies so that they are accurate. The RTO is also required to change its processes so that strategies for training and assessment are developed in consultation with industry and evidence of this consultation, and its impact on the strategies for training and assessment, is maintained.

Element 1.3 Resources
The RTO was non-compliant in this Element. There was no arrangement in place to verify the suitability of the workplace for assessment of candidates for the unit *Licence to operate a forklift truck.* The RTO does not have a 9b certificate in place and contacted a building surveyor on the day of the audit to organise this. Trainer qualifications and experience was not sufficiently evidenced (refer Element 1.4). Assessment materials were inadequate (refer Element 1.5)

Rectification required
The RTO is required to provide evidence that sufficient resources are in place for the conduct of the qualifications audited.

Element 1.4 Staffing

SIT40307 Certificate IV in Hospitality: – ▮▮▮▮▮▮▮▮▮▮. A CV was in place, but was not signed as required by VRQA Guideline 1.3.

CHC30208 Certificate III Aged Care: – ▮▮▮▮▮▮▮. A signed matrix was in place; however, it lacked sufficient information at unit level to demonstrate equivalence and vocational competency. CV was not current and not signed.

21854VIC Course in Home Sustainability Assessment: – ▮▮▮▮▮▮▮▮ Has CV, but it was not signed. CV did not substantiate vocational competence.

*TLICIC108A Licence to operate forklift truck***:** – ▮▮▮▮▮▮. Certificate Assessor Fork-lift Trucks, WorkSafe, 2007, expired 30 June 2010; therefore not current.

There is no policy or procedure in place to ensure that all trainers and assessors have the necessary training ,assessment and vocational competencies.

Rectification required
The RTO is required to provide evidence that processes are in place to ensure that the requirements of AQTF Element 1.4 and VRQA Guideline 1.3 are satisfied.

Element 1.5 Assessment

CHC30208 Certificate III Aged Care
Units reviewed: *CHCICS301A Provide support to meet personal care need*s and *CHCHC311B Work effectively in a home and community care environment*.

Small Print training and assessment resources are used. The Assessor uses two sets of written questions (some of which are asked orally if the candidates have poor literacy skills), projects (the conditions for assessment are not included) and third party report (which the assessor reads to the workplace supervisor) using a checklist.

The third party report checklist is a listing of the performance criteria and other aspects of the unit; it does not describe tasks. The trainer confirmed that workplace supervisors have difficulty in understanding the requirements of the checklist, which is understandable, given that a listing of performance criteria is an inadequate method of describing workplace performance.

The Small Print resources are generic and the assessment tools have not been adjusted to accommodate the contextual requirements of the unit. Model answers provided are paragraphs of text and they do not provide rules for making an assessment judgement (for example, what are the critical points that must be included in candidates' responses?).

There is no overview of assessment provided to students, for each unit of competency. The assessment plan for the units sampled is not accurate as it does not refer to the projects used by the assessor (unit *CHCICS301A* and *CHCHC311B*), and states that the third party report is optional for unit *CHCHC311B* (trainer stated that she uses this assessment methods for all students).

SIT40307 Certificate IV in Hospitality
RTO uses Small Print training and assessment resources. RTO has identified assessment methods to be used from Small Print.

Units reviewed: *SITXHRM001A Coach others in job skills* and *SITXOM003A Deal with conflict situations*.

Deal with conflict situations:
The unit of competency assessment requires activities that allow the candidate to address a range of commonly-occurring conflict situations that may be found in the workplace relating to the usual work roles of the candidate. The Small Print resources are generic and the assessment tools have not been adjusted to accommodate the contextual requirements of the unit.

The assessment, which is all written responses to questions does not allow for the collection of evidence about the application of skills (such as communication skills) as required by the unit. Model answers provided are paragraphs of text and they do not provide rules for making an assessment judgement (for example, what are the critical points that must be included in candidates' responses?).

Coach others in job skills:
Assessment is responses to questions and a project, including a demonstration. The issues regarding conditions for assessment and decision-making rules described for unit *SITXOM003A* also apply to assessment for this unit.

21854VIC Course in Home Sustainability Assessment:
RTO has licensing agreement with Sustainability Victoria, to use the resources developed by that body (agreement dated 20/1/10).
Units reviewed *VBAU227 Conduct sustainability assessment in residential dwellings* and *BSBCMN211A Participate in workplace safety procedures*. The trainer stated that for assessment students completed various activities, but there were no formal assessment tools in place for the units audited. The Competency mapping was inaccurate as the assessment strategies referred to in this document were actually learning activities.

Rectification required
The RTO is required to revise assessment for the Certificate IV in Hospitality, the Certificate III in Aged Care and the Course in Home Sustainability Assessment so that assessment tools are in place that: provide sufficient guidance to assessors and candidates; meet the requirements of the units of competency; and, meet the requirements of VRQA Guideline 5.1.

Strengths
The RTO has developed some strong continuous improvement processes.

Opportunities for Improvement

RTO: GEST   **Audit Date: 3/10/11**

Standard 2:	The RTO adheres to principles of access and equity and maximises outcomes for its clients	Result	✓
		Compliant	
✓		Non-compliant	✓
		Not audited	

Audit conclusion

The RTO is non-compliant with Standard 2. The RTO was compliant with Elements 2.1 – 2.5 inclusive and Element 2.7.

Element 2.6 Access to records
There is an Access Authorisation form, which allows students to access all records/information kept by the RTO. Availability of this form is not listed in the Student Handbook or website.

Rectification required
The RTO is required to adjust its processes so that learners are aware of how to access records of their participation and progress.

Strengths

The RTO provides a high level of support to students.

Opportunities for Improvement

Element 2.7: It is suggested that the RTO change its complaints and appeals policy and procedure to allow the complainant or their representative to attend the complaints resolution meeting/s.

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Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates	Result	✔
	Compliant	
✔	Non-compliant	✔
	Not audited	

Audit conclusion		

The RTO is non-compliant with Standard 3. The RTO was compliant with Elements 3.1 and 3.2. Element 3.3 was not relevant to the RTO's operations.

Element 3.4 Records
The RTO's record management procedures do not include reference to the requirements of the VRQA Guideline 2.3.
Qualifications and Statements of Attainment are not issued in accordance with the *AQF Implementation Handbook* and Condition 6 of the AQTF (refer Condition 6).

Rectification required
The RTO is required to implement VRQA Guideline 2.3 and to address the non compliances described under AQTF Condition 6.

Strengths

Opportunities for Improvement