

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

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

Applicant Details			
Applicant Name	Latrobe Lifeskills Pty Ltd	TOID	20791
Address	Lifeskills Centre, 1A Union Drive, La Trobe University, Bundoora 3086		
	Website	<a href="http://www.lifeskills.vic.edu.au">www.lifeskills.vic.edu.au</a>	
Registration Contact	Douglas Ball, CEO		
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Audit Team			
Audit Firm	Quorum QA Australia Pty Ltd	Auditor/s	Carol Macreadie
Auditor/s		Other Attendees	
Registering Body Details			
Contact Person	Julie Florence		
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Audit Details			
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, <del>2.4</del> , 2.5, 2.6, 2.7	3.1, 3.2, <del>3.3</del> , 3.4
2016 VRQA Guidelines Audited	<del>4.3</del>	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8 (If applicable)	
	3.1, 3.2, <del>3.3</del> , 3.4, 3.5	4.1, 4.2, 4.3 to 4.6 (If applicable)	
Audit Date/s			
RTO Background			
<p>Latrobe Lifeskills is an NDIS-registered Disability Support Service and Registered Training Organisation and has been registered as an RTO since 1999. It is a State Approved Foundations Skills Provider for the following disability-specific courses:</p> <ul style="list-style-type: none"> <li>• 2294VIC Course in Initial Adult Literacy and Numeracy — a first delivery to 5 students in 2018, none enrolled in 2019 but planning to deliver again in 2020</li> <li>• 22301VIC Certificate I in Transition Education – 10 students in 2018, 9 students in 2019</li> <li>• 22293VIC Certificate I in Initial Adult Literacy and Numeracy</li> <li>• 22302VIC Certificate I in Work Education.</li> </ul> <p>As well as accredited training, the organisation provides non-accredited training and recreational activities with the aim of developing participants' life skills and independence. Participants utilise La Trobe University's</p>			

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facilities, including classrooms, computer labs, sports facilities and workshops at both the Bundoora and Bendigo campuses. The RTO arm of the business has an RTO Manager, an Admin/Trainer staff member, and five Trainer/Assessors.

Latrobe Lifeskills currently has approximately 80 participants across its range of programs and plans for a gradual increase over the next 12 months. The RTO currently has 13 students enrolled. The RTO is constantly evaluating the relevance of the courses offered and has removed some from their scope of registration because of low uptake and relevance of these mainstream courses for their target cohort.

Latrobe Lifeskills is on the Steering Committee for the development of a 22481VIC Certificate II in Work Education and may add this to its scope in 2020. It is also currently on the Project Steering Committee for the 5-yearly re-accreditation of both 22294VIC Course in Initial Adult Literacy and Numeracy, and 22293VIC Certificate I in Initial Adult Literacy and Numeracy.

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<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>22301VIC</b>	<b>Certificate I in Transition Education</b>	Bundoora and Bendigo
<b>22294VIC</b>	<b>Course in Initial Adult Literacy and Numeracy</b>	Bundoora and Bendigo

<b>Interviewee(s) – Staff name and position; employer name and position</b>	
Douglas Ball	CEO
Martin Chua	Executive Director Operations, RTO Manager
Alison Grinter	Trainer, <b>22294VIC Course in Initial Adult Literacy and Numeracy</b>
Stuart Dickinson	Trainer, <b>22301VIC Certificate I in Transition Education</b>

<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 provide amended details below:		

<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 provide amended details below:		

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

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**Audit Summary - AQTF Conditions of Registration**

AQTF Conditions		Compliant	Non - Compliant	Not audited
Place an X in the appropriate column				
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>Summary of Non-Compliance<sup>2</sup></b>				
<p><b>CF.6.1</b> The RTO does not meet the requirements for implementation of a national unique student identifier, which includes supplying a USI Privacy Statement to students.</p> <p><b>CF.8.1</b> The RTO's marketing materials are not accurate.</p>				
<b>Strengths</b>				

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

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**Audit Summary - AQTF Standards**

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<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>3</sup></b>			
<p><b>SF.1.2.1</b>  <b>22301VIC Certificate I in Transition Education</b>  <b>22294VIC Course in Initial Adult Literacy and Numeracy</b>            The Training and Assessment Strategies for the two courses do not describe the training program as delivered.</p> <p><b>SF 2.7.1</b>            The RTO does not refer students to the VRQA if they are not satisfied with the outcomes of the RTO's complaints process.</p>			

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

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**Strengths**

The RTO staff are very focused on genuine client outcomes and are also clear about the need to manage their operations in a systematic, transparent and accountable manner.

**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

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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>Summary of Non-Compliance<sup>4</sup></b>
Nil
<b>Strengths</b>

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

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**Detailed Findings - AQTF Conditions of Registration**

**CONDITION 1 - Governance**

**Not audited in  
Phase 2 audit**

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

**Not audited in  
Phase 2 audit**

**CONDITION 3 - Compliance with Legislation**

**Compliant**

**Evidence/Documentation Reviewed**

New staff member Induction Kit including:

- Induction checklist
- NDIS Code of Conduct
- Staff Handbook and Code of Conduct 2019, including Acceptance Declaration with signature
- Student and Participant Handbook (written for parents)
- Latrobe Lifeskills Staff Training Feb 2019 booklet
- Client Incident Management Process

Student Enrolment Kit including:

- Participant Code of Conduct 2019, including Acceptance Declaration with signature
- Say 'NO' to Abuse – written in appropriate language with visuals for students
- Student and Participant Handbook (written for parents)



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**Enrolment Form**

- Policy and Procedure – RTO – Foundation Skills Training and Assessment v.4.004063, pp.9-14 relating to the Pre-Training Review
- Interview with Martin Chua, RTO Manager:
  - Emails, CEO memos and monthly/'as necessary' staff meetings are used to inform staff of changes and updates
  - Families first get information about the RTO's training, assessment and support services and their rights and obligations when they make an enquiry. They come in with the prospective student for an initial discussion and the information is discussed verbally. If they go ahead with enrolment, the information is given again in paper format to the family.

**CONDITION 4 - Insurance**

**Not audited in Phase 2 audit**

**CONDITION 5 - Financial Management**

**Not audited in Phase 2 audit**

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<b>CONDITION 6 - Certification &amp; Issuing of Qualifications &amp; Statements of Attainment</b>	<b>Non-Compliant</b>
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>• Policy and Procedure – RTO – Issuing of Qualifications v.8.004009</li> <li>• Policy and Procedure – RTO – Foundation Skills Training and Assessment v.4.004063, p.5 – refers to the need for a USI</li> <li>• Policy and Procedure – RTO – Student Enrolment v.5.004003, p.4 – refers to the need for a USI</li> <li>• 1 x AQF certificate for <b>22301VIC Certificate I in Transition Education</b></li> <li>• 1 x Statement of Attainment for <b>22294VIC Course in Initial Adult Literacy and Numeracy</b></li> <li>• 6 x completed student files for <b>22301VIC Certificate I in Transition Education</b></li> <li>• 6 x completed student files for <b>22294VIC Course in Initial Adult Literacy and Numeracy</b></li> <li>• Policy and Procedure – RTO – Records Management v.4.004008</li> <li>• Policy and Procedure – RTO – Access to Assessed material v.3.004020</li> <li>• Policy and Procedure – Records Retention v.7.004036</li> <li>• Enrolment form</li> <li>• Interview with Martin Chua, RTO Manager: <ul style="list-style-type: none"> <li>– The SMS used is VETTrak.</li> <li>– Martin is in charge of data and records management. Hard copy files are kept locked in Martin’s office, then after a year archived into a locked archive room in the building. Digital data is kept for 30 years, cloud-based (Supportability SMS) and backed up by the RTO’s contracted external IT company. VETTrak data is also housed on an onsite server.</li> <li>– The RTO does at times apply for students’ USI on their behalf.</li> </ul> </li> </ul>	

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CF.6.1	Finding	Required Rectification(s)
	<p>The RTO does not meet the requirements for implementation of a national unique student identifier, which includes supplying a USI Privacy Statement to students.</p> <p><i>Evidence</i></p> <ul style="list-style-type: none"> <li>• The Enrolment form does not include the USI Privacy Statement.</li> <li>• On some completed enrolment forms, applicants have requested the RTO to apply for a USI on their behalf.</li> </ul>	<p>The RTO must meet the requirements for implementation of a national unique student identifier, which includes supplying a USI Privacy Statement to students.</p>

CONDITION 7 - Recognition of Qualifications Issued by other RTOs	Compliant
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>• Student Handbook p.41 – information on credit transfer</li> <li>• Policy: Recognition of Qualifications Issued by other RTOs/TAFEs, v.7.004008</li> <li>• Policy and Procedure: RTO – Foundation Skills Training and Assessment, v.4.004063 p.4 – information on Credit Transfer</li> <li>• RTO – Credit Transfer Evidence Form</li> </ul>	

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CONDITION 8 - Accuracy and Integrity of Marketing		Non-Compliant
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Website <a href="http://www.lifeskills.vic.edu.au">www.lifeskills.vic.edu.au</a></li> <li>• Print-based marketing materials – trifold brochure for all courses, A4 flyer for accredited training only</li> <li>• Monthly Participant and Family email Newsletters</li> <li>• Policy and Procedure- Marketing &amp; Promotion</li> <li>• Policy and Procedure – Marketing Accuracy and Integrity</li> <li>• RTO Marketing Materials Checklist</li> <li>• Interview with Martin Chua, RTO Manager: Permission to use personal images form is signed, or not, when students first enrol.</li> <li>• Signed Participant Agreement 2019 – Image Agreement – viewed in all 12 student files.</li> </ul>		
CF.8.1	Finding	Required Rectification(s)
	<p>The RTO's marketing materials are not accurate.</p> <p><i>Evidence</i></p> <ul style="list-style-type: none"> <li>• The A4 flyer for accredited training gives the titles of the Qualifications but not the codes.</li> </ul>	<p>The RTO must ensure that all marketing materials are accurate.</p>

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<b>CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses</b>	<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"><li>• Policy and Procedure – Transitioning of Training Packages v.5.004024</li><li>• Transition to Training Packages and/or Addition to Scope Checklist</li><li>• Website and flyers are current</li><li>• AQF Certificate and Statement of Attainment templates viewed are current</li><li>• Learning and assessment resources viewed are accurate</li><li>• 12 x enrolment forms viewed are accurate.</li></ul>	

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**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>	
<p>Interview with Martin Chua, RTO Manager:</p> <ul style="list-style-type: none"> <li>• The RTO is an active member of the: <ul style="list-style-type: none"> <li>– State Wide Advisory Group (SWAG) for Foundation Skills (documents sighted)</li> <li>– Project Steering Committee for Accreditation of a Certificate II in Work Education (documents sighted)</li> <li>– Project Steering Committee for Review of 22294VIC Course in Adult Literacy and Numeracy (documents sighted)</li> <li>– Whittlesea Employment Network (documents sighted)</li> <li>– Banyule Disability Services Network (documents sighted).</li> </ul> </li> <li>• Continuous improvement analysis and action is often captured in Executive meetings.</li> <li>• Continuous improvement and industry engagement are often carried out together and on an ad hoc, even weekly, basis because of the compactness of the RTO.</li> <li>• Regarding industry engagement, because the trainers also provide NDIS/disability support, they are in regular contact with the requirements and issues of the disability support sector.</li> <li>• Significant outcomes of participant annual surveys are discussed in executive meetings and acted upon, e.g. the need to inform students more individually about abuse and their rights.</li> <li>• TASs are reviewed annually, with the review date in the footer. They may also be updated as changes arise.</li> <li>• The 'Supportability' disability database contains all relevant student information including all identified needs, incidents and general file notes. Disability support staff access and utilise this daily; RTO staff less often.</li> <li>• AQTF Learner and Employer Satisfaction Survey Report 2018, plus numerous original forms completed by learners.</li> <li>• RTO Quality Performance Indicator Data 2018</li> </ul>	

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- State Wide Advisory Group (SWAG) meeting minutes
- Executive meeting minutes 2018–2019
- Policy & Procedure – Staff Training and Development v.4.004014
- Policy & Procedure – RTO – Staff Induction v.3.004018
- Family Survey 2018 – original completed forms and summary of information. Areas for improvement were identified and included in the March 2019 Family and Participants Newsletter.
- Completed participant annual surveys, plus summary of results. Significant outcomes were tabled and discussed in executive meetings.
- Emails confirming staff attendance at school expos and student/staff visits for ‘taster’ days.

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**ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.**

**Non-Compliant**

**Evidence/Documentation Reviewed**

- Training and Assessment Strategy for **22301VIC Certificate I in Transition Education**:
  - The cohort is identified
  - Entry requirements are identified
  - Assessment methods are appropriate
  - Nominal hours and Program Unique Supervised Hours (PUSH) are given as 1000–1010 hours.
- Training and Assessment Strategy for **22294VIC Course in Initial Adult Literacy and Numeracy**:
  - The cohort is identified
  - Entry requirements are identified
  - Assessment methods are appropriate
  - Nominal hours and Program Unique Supervised Hours (PUSH) are given as 340 hours.
- Interview with Martin Chua, RTO Manager:
  - The RTO Manager stated that in practice each unit of the 10 units in **22301VIC Certificate I in Transition Education** is initially timetabled for 72 face-to-face classroom hours, to be delivered as 9 hours per week x 80 weeks. This gives a total minimum of 720 face-to-face hours for the course. Similarly, for **22294VIC Course in Initial Adult Literacy and Numeracy**, the course is initially timetabled for 30 face-to-face classroom hours for each of the 7 units, to be delivered as 3 hours per week x 70 weeks. This gives a total minimum of 210 face-to-face hours for the course. This includes assessment time, as this cohort generally would have difficulty completing assessment tasks unassisted.
  - Assessors frequently give individual students extra time to complete as a reasonable adjustment. Assessment is not conducted until an individual student is judged by their trainer to be ready. This means that individuals often receive more than the allotted minimum timetabled hours.
  - The RTO offers significant flexibility in delivery duration and weekly days of attendance to accommodate different rates of learning, illness, holidays and other common breaks in consistent delivery to this learner cohort.



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- The accredited training is generally timetabled for mornings only as students' attention and attendance tends to drop off in the afternoon.
- **22294VIC Course in Initial Adult Literacy and Numeracy** has only been delivered for one full cycle so the RTO is now evaluating its suitability for the cohort. Ongoing students have moved into a similar but non-accredited course.
- 12 x completed student pre-training reviews and LLN assessments
- Learning resources and required equipment – see S.1.3
- Trainers and assessor qualifications – see S.1.4
- Mappings of assessment tasks to units of competency
- Staff/student timetable for Semester 1, 2019 shows there is sufficient staffing
- Participant timetable for Semester 2, 2019
- Policy and Procedure: RTO – Foundation Skills Training and Assessment v.4.004063, pp.9-14 relating to the Pre-Training Review
- Assessment validation and moderation schedule
- Validation records from 2019, including Quality Review and Trial Checklist, Validation Meeting Form, Quality Evidence Checklist, SWAG Validation Record Tool for *VU21730 Recognise and use whole numbers*

SF.1.2.1	Finding	Required Rectification(s)
	<p><b>22301VIC Certificate I in Transition Education</b> <b>22294VIC Course in Initial Adult Literacy and Numeracy</b></p> <p>The Training and Assessment Strategies for the two courses do not describe the training program as delivered.</p> <p><i>Evidence</i></p>	<p>The RTO must ensure that the TAS describes the training program as delivered.</p>

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<ul style="list-style-type: none"> <li>• No actual amount of training is stated in the TASs.</li> <li>• At interview the RTO Manager clearly identified the timetabled allocations for each course, which was different to the nominal hours and PUSH hours given in the TASs.</li> <li>• The Manager also described a standard process for reviewing and revising the amount of training delivered to individual students or a group as a whole. This is a defining aspect of the training and assessment strategies but is not described in the TASs.</li> </ul>	
<p><b>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.</b></p>	<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<ul style="list-style-type: none"> <li>• The RTO has a stand-alone main office and staffroom building surrounded by a garden with student-maintained raised vegetable garden beds</li> <li>• Interview with Martin Chua, RTO Manager: Participants use La Trobe University's classrooms, computer labs, sports centre, workshop and media hub at the Bundoora and Bendigo campuses. Classrooms have WiFi access, data projectors, smartboards and computers. The RTO books facilities using the university's room booking system. Sports facilities are also available for use.</li> <li>• Staff/student timetable for Semester 1, 2019 - Evidence of sufficient staffing</li> <li>• Participant timetable for Semester 2, 2019</li> <li>• Learning resources and assessment materials for <b>22301VIC Certificate I in Transition Education</b> and <b>22294VIC Course in Initial Adult Literacy and Numeracy</b></li> </ul>	

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<p><b>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</b></p> <ul style="list-style-type: none"> <li>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</li> <li>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</li> <li>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</li> <li>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</li> </ul>	<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<p>Alison Grinter – trainer, <b>22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education</b></p> <ul style="list-style-type: none"> <li>• Bachelor of Arts – Deakin University, May 1994.</li> <li>• Cambridge Certificate in English Language Teaching to Adults (CELTA) – RMIT, May 1997.</li> <li>• Post Graduate Teaching Qualification for Further Education – University of Dundee, June 2014 (consists of 2 modules)</li> <li>• TAE40116 Certificate IV in Training and Assessment – Fortress Learning, June 2019.</li> <li>• TAE40110 Certificate IV in Training and Assessment – Fortress Learning, 2015.</li> <li>• Trainer skills matrix, CV – Evidence of vocational currency</li> <li>• Trainer Professional Development and Vocational Competence/Currency Log – Evidence of professional development in competency-based training and assessment</li> <li>• Working with Children check</li> </ul> <p>Simon Chan – <b>22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education</b></p> <ul style="list-style-type: none"> <li>• Bachelor of Education P–12 (Music &amp; Drama) – Victoria University, April 2015.</li> <li>• TAE40116 Certificate IV in Training and Assessment) – Fortress Learning, June 2019.</li> <li>• TAE40110 Certificate IV in Training and Assessment – Victoria University, 2015.</li> <li>• Trainer skills matrix, CV – Evidence of vocational currency</li> </ul>	

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- Trainer Professional Development and Vocational Competence/Currency Log – Evidence of professional development in competency-based training and assessment
- Working with Children check

Stuart Dickinson – trainer, **22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education**

- CHC40302 Certificate IV in Disability Work – Warner Institute of Business, October 2009.
- Higher National Diploma in Hotel and Catering Administration – Norwich City College UK, 1979.
- TAE40116 Certificate IV in Training and Assessment – Fortress Learning, June 2019.
- TAE40110 Certificate IV in Training and Assessment – PFI Consulting, August 2013.
- 11560VIC Diploma of Vocational Education and Teaching – Box Hill TAFE, July 2005.
- BSZ40198 Certificate IV in Workplace Assessment and Training – Employease RTO, 2004.
- Trainer skills matrix, CV – Evidence of vocational currency
- Trainer Professional Development and Vocational Competence/Currency Log – Evidence of professional development in competency-based training and assessment
- Working with Children check

Amanda Hayley – trainer, **22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education**

- CHC40308 Certificate IV in Disability – Bridgeworks Employment & Training, 2011.
- Diploma of Arts (Professional Writing and Editing) – Box Hill Institute of TAFE, June 2004.
- TAE40116 Certificate IV in Training and Assessment – Fortress Learning, June 2019.
- TAE40110 Certificate IV in Training and Assessment – PFI consulting, April 2013.
- Trainer skills matrix, CV – Evidence of vocational currency
- Trainer Professional Development and Vocational Competence/Currency Log – Evidence of professional development in competency-based training and assessment

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- Working with Children check

Neale Irving – trainer, **22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education**

- BSB50101 Diploma of Business – Bendigo TAFE, 2008
- BSB50801 Diploma of Business (Human Resources) – Bendigo TAFE, 2008.
- TAE40116 Certificate IV in Training and Assessment – Fortress Learning, July 2019 (completed but certificate not issued yet, email from provider confirming this was sighted)
- TAE40110 Certificate IV in Training and Assessment – Continuing Education Bendigo, August 2012
- Trainer skills matrix, CV – Evidence of vocational currency
- Trainer Professional Development and Vocational Competence/Currency Log – Evidence of professional development in competency-based training and assessment
- Working with Children check

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

<p><b>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):</b></p> <ul style="list-style-type: none"> <li>a) meets the requirements of the relevant Training Package or accredited course</li> <li>b) is conducted in accordance with the principles of assessment and the rules of evidence</li> <li>c) meets workplace and, where relevant, regulatory requirements</li> <li>d) is systematically validated.</li> </ul>	<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<ul style="list-style-type: none"> <li>• Recognition of Prior Learning (RPL) is not offered due to the nature of the qualifications and the learner cohort</li> <li>• Assessment validation plan and schedule</li> <li>• Assessment validation and moderation schedule</li> <li>• Validation records from 2019, including Quality Review and Trial Checklist, Validation Meeting Form, Quality Evidence Checklist, SWAG Validation Record Tool for <i>VU21730 Recognise and use whole numbers</i></li> <li>• Training and Assessment Strategies for <b>22294VIC Course in Initial Adult Literacy and Numeracy</b> and <b>22301VIC Certificate I in Transition Education</b></li> </ul> <p><b>22301VIC Certificate I in Transition Education</b></p> <ul style="list-style-type: none"> <li>• Assessment tools for <i>VU21778 Participate in travel activities</i> and <i>VU21666 Participate in job seeking activities</i></li> <li>• Participant Workbooks and matching Trainer Resources</li> <li>• 6 x completed student assessments</li> <li>• Mapping of assessment tasks to unit</li> <li>• Foundation Skills mapping of unit to ACSF descriptors</li> <li>• Assessment coversheet, signed to authenticate evidence</li> <li>• Marking Checklist (list of tasks and record of outcome)</li> <li>• Model answers/marking guide in Trainer version of Assessment Booklet, including detailed Structured Demonstration Evidence Checklist</li> </ul>	

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

- Interview with Stuart Dickinson, trainer –
  - All assessments are done in the classroom and classes are small, so it is easy to confirm skill levels and authenticity. Assessment is individualised and different for each participant.
  - A level of support is appropriate when answering written question assessments, and Stuart double-checks the student's understanding verbally. It is important to do this when training so he can be confident of the student's skills at assessment time.
  - He accesses the pre-Training Review information and may discuss a new student with the person who conducted the LLN assessment, e.g. how quick were they, when did they start asking for help, did they just get bored and stop.
  - He also checks students' LLN levels himself early in the course to see if their skills actually are as determined by the LLN assessment. Their enrolment can be reviewed if he identifies a mismatch.
  - The model answers are guidelines that need to be used flexibly in that students often draw on their own personal experience so the trainer ensures that a particular answer meets the intention of the question.
  - To provide feedback, Stuart marks the assessment with the student alongside whenever possible, to give immediate verbal feedback. He may need to elicit a fuller answer through verbal questioning, so it is clear if student has understood. He also gives written feedback but would generally read this to the student anyway.

#### **22294VIC Course in Initial Adult Literacy and Numeracy**

- Assessment tools for *VU21729 Communicate orally using single words* and *VU21726 Read simple words*
- Participant Workbooks and matching Trainer Resources
- 6 x completed student assessments
- Mapping of assessment tasks to unit
- Foundation Skills mapping of unit to ACSF descriptors
- Assessment coversheet signed to authenticate evidence
- Marking Checklist (list of tasks and record of outcome)
- Model answers in Trainer version of Assessment Booklet

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

- Interview with Alison Grinter, trainer
  - A lot of the assessment was oral and scribed by the trainer. Not all the students were familiar with accredited learning so had to get accustomed to the idea of being assessed.
  - Alison is a little familiar with the ACSF. She does the PTR for a lot of the students and Martin then assesses them. If not, she looks at them as they provide lot of useful information,
  - The students used online learning programs which enables the trainer to give 1:1 attention to each individual. The programs are internet-based, not software, so students can log in at any computer lab on campus. This also enabled assessment to be carried out 1:1.
  - She used the model answers as guidelines.
  - Assessments were all 1:1. She taught a unit until the group was ready to be assessed, which may be longer than the nominal hours in the TAS. She had an ongoing negotiation with Martin about pushing out the end date of the course. If one student was slower, she would give them more intensive attention, or assess them separately later.
  - She provided feedback orally plus through brief written notes in the assessment books, but this also needed to be delivered orally
  - Several examples of reasonable adjustment were given.



**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.	Compliant
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>• Pre-Training Review (PTR) booklet – including space to record /Identified issues or gaps/ and /Recommendations for support/</li> <li>• LLN Assessment tasks and guidelines for assessor use</li> <li>• Enrolment Form</li> <li>• 12 x Student Progress Reports in student files</li> <li>• One student /Supportability/ file viewed online</li> <li>• Policy and Procedure – RTO – Foundation Skills Training and Assessment v.4.004063, pp.9-14 relating to the Pre-Training Review</li> <li>• Policy and Procedure – RTO – Student Enrolment v.5004003</li> <li>• Policy and Procedure – Cultural and Linguistic Diversity and Inclusive Practice v.4.004001</li> <li>• Policy and Procedure – Working with Families v.2.004005</li> <li>• Policy and Procedure – Decision Making and Choice v.4.004004</li> <li>• Staff Handbook and Code of Conduct 2019– detailed information on reasonable adjustment</li> <li>• TASs – contain information on reasonable adjustment</li> <li>• Interview with Martin Chua, RTO Manager:             <ul style="list-style-type: none"> <li>– Families first get information about the RTO’s training, assessment and support services and their rights and obligations when they make an enquiry. They come in with the prospective student for an initial discussion. If they go ahead with enrolment, the information is given again in paper format to the family.</li> <li>– Information gathered on individual students via the family interview and the Pre-Training Review process are passed on to trainers via email when a student commences (example sighted), and then through the Supportability file.</li> </ul> </li> <li>• Interview with Alison Grinter, Trainer <b>22294VIC Course in Initial Adult Literacy and Numeracy</b></li> <li>• Interview with Stuart Dickinson, Trainer <b>22301VIC Certificate I in Transition Education</b></li> </ul>	

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

<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>	
<ul style="list-style-type: none"> <li>• Policy and Procedure – Feedback – Staff and Community v.3.004004</li> <li>• Family survey 2018 – original completed forms and summary of information – areas for improvement identified and included in March 2019 newsletter</li> <li>• Completed participant annual surveys, summary of results.</li> <li>• AQTF Learner and Employer Satisfaction Survey report 2018</li> <li>• RTO Quality Indicators Reports</li> <li>• RTO Staff Meeting minutes – staff give feedback on changes needed and implemented</li> <li>• Executive meeting minutes 2018–2019</li> <li>• Notes from Family Meetings 2018 – summarise parent ideas, interests and concerns, considered at Executive meetings</li> <li>• Interview with Martin Chua, RTO Manager:               <ul style="list-style-type: none"> <li>– The compact nature of the RTO and staff means lots of the detail of implementation, monitoring and evaluation is informal and verbal</li> <li>– All staff emails from 2018–2019 relating to improvement issues</li> </ul> </li> </ul>	

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

**2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.**

**Compliant**

**Evidence/Documentation Reviewed**

- Website [www.lifeskills.vic.edu.au](http://www.lifeskills.vic.edu.au), other print-based marketing materials
- Enrolment Form
- Student and Participant Handbook 2019
- Policy and Procedure – RTO – Foundation Skills Training and Assessment v.4.004063
- Interview with Martin Chua, RTO Manager:
  - Families first get information about the RTO's training, assessment and support services and their rights and obligations when they make an enquiry. They come in with the prospective student for an initial discussion. If they go ahead with enrolment, the information is given again in paper format to the family.
  - The RTO must tread a line between the DHHS advising that the students are adults and their right to privacy and self-determination must be respected, and the families who are often accustomed to decision-making for their children and may feel 'shut out' by the requirement to have their child's permission for them to access information about student progress and choices.

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**RTO:** Latrobe Lifeskills Pty Ltd

**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.**

**Not audited**

**2.5 - Learners receive training, assessment and support services that meet their individual needs.**

**Compliant**

**Evidence/Documentation Reviewed**

See S.2.1 and S.2.3.

**2.6 - Learners have timely access to current and accurate records of their participation and progress.**

**Compliant**

**Evidence/Documentation Reviewed**

- Policy and Procedure – RTO – Access to Student-related Records v.6.004011
- Student and Participant Handbook 2019 p.12
- Staff Handbook and Code of Conduct 2019 – does not contain information on how learners can access records of their participation and progress but new staff do receive the Student and Participant Handbook as part of their induction process
- Interview with Martin Chua, RTO Manager:
  - Martin checks every student file once a student completes to ensure all records and files are there before the student is resulted.
  - The number of students is quite small. Trainers would simply pass on to Martin a student request to see files.
- 12 x student files – learner participation and progress records
- 12 x Participant File Checklists
- One student Supportability file viewed online.

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**RTO:** Latrobe Lifeskills Pty Ltd

**NOTE:** The RTO was initially deemed to be non-compliant against this Standard and this is the result the RTO signed off on at audit. However on reflection, when writing the Report, I came to the view that there was actually a compliant system in place to give students access to their records, given the compact nature of the RTO – only 13 students, with highly involved families, and 5 trainers. The outcome in the final Audit Report is compliant for this Standard.

<b>2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>	<b>Non-Compliant</b>
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>Policy and Procedure – RTO – Grievance, Complaints and Appeals v.6.004016</li> <li>Student and Participant Handbook – Complaints Procedure, Appeals for Accredited Courses</li> <li>Staff Handbook and Code of Conduct 2019 – doesn't contain information on the process of student complaints and appeals</li> <li>Complaints/Grievance/Appeals Form</li> <li>Complaints Register– for the whole organisation (not just the RTO), which must be submitted annually to the Office of the Disability Services Commissioner</li> <li>Interview with Martin Chua, RTO Manager: A Complaints Register exists for the RTO but no complaints have been received.</li> </ul>	
<b>SF.2.7.1 Finding</b>	<b>Required Rectification(s)</b>
<p>The RTO does not refer students to the VRQA if they are not satisfied with the outcomes of the RTO's complaints process.</p> <p>Evidence</p> <ul style="list-style-type: none"> <li>While the Policy and Procedure includes this information, the Student and Participant Handbook does not.</li> </ul>	<p>The RTO must inform students that they can contact the VRQA if they are not satisfied with the outcomes of the RTO's complaints process.</p>

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3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.	Compliant
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>• Enrolment Form</li> <li>• Student and Participant Handbook 2019</li> <li>• Policy and Procedure – RTO – Foundation Skills Training and Assessment v.4.004063</li> <li>• Interview with Martin Chua, RTO Manager: <ul style="list-style-type: none"> <li>– Families first get information about the RTO's training, assessment and support services and their rights and obligations when they make an enquiry. They come in with the prospective student for an initial discussion. If they go ahead with enrolment, the information is given again in paper format to the family.</li> <li>– The RTO must tread a line between the DHHS advising that the students are adults and their right to privacy and self-determination must be respected, and the families who are often accustomed to decision-making for their children and may feel 'shut out' by the requirement to have their child's permission for them to access information about student progress and choices.</li> </ul> </li> <li>• 12 x student files, including Pre-Training Review and LLN assessment documents</li> <li>• RTO Schedule of Fees 2019 – available on website</li> <li>• Interview with Martin Chua, RTO Manager: Information is conveyed verbally at an initial face-to-face meeting with prospective students and their family/carers.</li> <li>• Family Survey 2018 – original completed forms and summary of information</li> <li>• Family and Participants Newsletter March 2019</li> <li>• Completed participant annual surveys, plus summary of results</li> <li>• RTO meeting minutes 2018–2019</li> <li>• Interviews with trainers Stuart Dickinson and Alison Grinter</li> </ul>	

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

<b>3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.</b>	<b>Compliant</b>
<ul style="list-style-type: none"> <li>• Organisational Structure 2019 – diagram showing Board of Directors, CEO and Executive Directors with relevant responsibilities</li> <li>• Staff Handbook and Code of Conduct 2019</li> <li>• Client Enrolment Report generated by VETTrak</li> <li>• Family Survey 2018 – original completed forms and summary of information</li> <li>• Family and Participants Newsletter March 2019</li> <li>• Completed participant annual surveys, plus summary of results</li> <li>• All staff emails from 2018–2019 relating to improvement issues</li> <li>• RTO Staff Meeting minutes – staff give feedback on changes needed and implemented</li> <li>• Executive meeting minutes 2018–2019</li> <li>• Interview with Martin Chua, RTO Manager:               <ul style="list-style-type: none"> <li>– Martin checks every student file once a student completes to ensure all records and files are there before the student is resulted.</li> <li>– The organisation undergoes an annual DHHS audit and has had VRQA financial audits</li> <li>– Policies and procedures are available online to all staff</li> </ul> </li> </ul>	

<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>Not audited</b>

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**RTO:** Latrobe Lifeskills Pty Ltd

**3.4 - The RTO manages records to ensure their accuracy and integrity.**

**Compliant**

- Policy and Procedure – RTO – Records Management v.4.004008
- Policy and Procedure – RTO – Access to Assessed material v.3.004020
- Policy and Procedure – Privacy v.4.004001
- Policy and Procedure – Records Retention v.7.004036
- Policy and Procedure – RTO – Access to Student-related Records v.6.004011
- RTO – Participant File Checklist v.2 – provides an overview of student’s documentation in progress-based stages with check boxes
- Client Enrolment Report generated by VETTrak
- 5 x trainer personnel files
- All policies and TASs are version-controlled
- Staff Handbook and Code of Conduct 2019 – contains detailed information on records management for staff
- 12 x student files including completed assessment tasks, enrolment forms, PTR records, NDIS records, communications and progress reports
- Assessment Validation files
- One student Supportability file viewed online
- Interview with Martin Chua, RTO Manager:
  - Martin checks every student file once a student completes to ensure all records and files are there before the student is resulted.
  - Martin is in charge of data and records management. Hard copy files are kept locked in Martin’s office, then after a year archived into a locked archive room in the building. Digital data is kept for 30 years, cloud-based (Supportability SMS) and backed up by the RTO’s contracted external IT company. VETTrak data is also housed on an onsite server.



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RTO: Latrobe Lifeskills Pty Ltd

**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.**

- 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

**Not Audited in  
Phase 2 audit**

**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:**

- 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.

**Not audited in  
Phase 2 audit**

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

**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 with associated police checks and Working With Children Checks if students are under 18 years of age
  - IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria
  - V. contact arrangements for the CEO/PEO including during holidays and other closure periods
  - VI. a physical addresses for the location of financial, student and staff records including archives and computer back up storage
- b) a financial management system including a system for managing student fee payments and student refunds
- c) a student records management system that includes the capacity to provide the VRQA with AVETMISS compliant data and to ensure that copies of student records are
  - 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**

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

**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.**

- A *third party* 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.
- *Services* mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services.

**Not audited**

**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:**

- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- b) for the purposes of the conduct of any audit or monitoring of its operations.

**Not audited**

**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:**

- a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
- b) within 30 calendar days of the agreement coming to an end.

**Not audited**

**GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:**

- a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and
- b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party.

**Not audited**

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

**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:**

- a) enables the student to make informed decisions about undertaking training with the RTO and
- b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf

**Not audited**

**GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.**

**Not audited**

**GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:**

- a) the RTO, its trainers, assessors or other staff;
- b) a third-party providing services on the RTO's behalf, its trainers, assessors or other staff; or
- c) a student of the RTO.

**Not audited**

**GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third-party providing services on the RTO's behalf.**

**Not audited**

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

<p><b>GUIDELINE 3.1</b> In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:</p> <ul style="list-style-type: none"> <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><b>Alison Grinter – Trainer, 22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education</b></p> <ul style="list-style-type: none"> <li>• Bachelor of Arts – Deakin University, May 1994.</li> <li>• Cambridge Certificate in English Language Teaching to Adults (CELTA) – RMIT, May 1997.</li> <li>• Post Graduate Teaching Qualification for Further Education – University of Dundee, June 2014 (consists of 2 modules)</li> <li>• Trainer skills matrix, CV – Evidence of vocational competency and currency</li> <li>• Trainer Professional Development and Vocational Competence/Currency Log – Evidence of professional development in competency-based training and assessment</li> </ul> <p><b>Simon Chan – 22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education</b></p> <ul style="list-style-type: none"> <li>• Bachelor of Education P–12 (Music &amp; Drama) – Victoria University, April 2015.</li> <li>• Trainer skills matrix, CV – Evidence of vocational competency and currency</li> <li>• Trainer Professional Development and Vocational Competence/Currency Log – Evidence of professional development in competency-based training and assessment</li> </ul> <p><b>Stuart Dickinson – Trainer, 22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education</b></p> <ul style="list-style-type: none"> <li>• CHC40302 Certificate IV in Disability Work – Warner Institute of Business, October 2009.</li> <li>• Trainer skills matrix, CV – Evidence of vocational competency and currency</li> <li>• Trainer Professional Development and Vocational Competence/Currency Log – Evidence of professional development in competency-based training and assessment</li> </ul>	

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**RTO:** Latrobe Lifeskills Pty Ltd

Amanda Hayley – Trainer, **22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education**

- CHC40308 Certificate IV in Disability – Bridgeworks Employment & Training, 2011.
- Diploma of Arts (Professional Writing and Editing) – Box Hill Institute of TAFE, June 2004.
- Trainer skills matrix, CV – Evidence of vocational competency and currency
- Trainer Professional Development and Vocational Competence/Currency Log – Evidence of professional development in competency-based training and assessment

Neale Irving – Trainer, **22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education**

- BSB50101 Diploma of Business – Bendigo TAFE, 2008
- BSB50801 Diploma of Business (Human Resources) – Bendigo TAFE, 2008.
- Trainer skills matrix, CV – Evidence of vocational competency and currency
- Trainer Professional Development and Vocational Competence/Currency Log – Evidence of professional development in competency-based training and assessment

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

**GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.**

**Compliant**

Alison Grinter – Trainer, **22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education**

- TAE40116 Certificate IV in Training and Assessment – Fortress Learning, June 2019.

Simon Chan – **22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education**

- TAE40116 Certificate IV in Training and Assessment) – Fortress Learning, June 2019.

Stuart Dickinson – Trainer, **22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education**

- TAE40116 Certificate IV in Training and Assessment – Fortress Learning, June 2019.
- 11560VIC Diploma of Vocational Education and Teaching – Box Hill TAFE, July 2005

Amanda Hayley – Trainer, **22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education**

- TAE40116 Certificate IV in Training and Assessment – Fortress Learning, June 2019.

Neale Irving – Trainer, **22294VIC Course in Initial Adult Literacy and Numeracy, 22301VIC Certificate I in Transition Education**

- TAE40116 Certificate IV in Training and Assessment – Fortress Learning, July 2019 (completed but certificate not issued yet, email from provider confirming this was sighted)

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

**GUIDELINE 3.3** Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.

**Not audited**

**GUIDELINE 3.4** Where the RTO, in delivering training and assessment, engages an individual who is not a qualified trainer and/or assessor, the individual works under the supervision of a qualified trainer and/or assessor and must not determine assessment outcomes.

**Not audited**

**GUIDELINE 3.5** An RTO ensures that any individual working under the supervision of a trainer:

- a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines;
- b) has vocational competencies at least to the level being delivered and assessed; and
- c) has current industry skills directly relevant to the training and assessment being provided.

**Not audited**



**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

**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.**

**Compliant**

Overall, although the TASs themselves do not state an amount of training, the RTO has in place carefully designed systems and practices which enable each student to meet the requirements for the units in which they are enrolled.

- TAS for **22294VIC Course in Initial Adult Literacy and Numeracy**
- TAS for **22301VIC Certificate I in Transition Education**
- Interview with Alison Grinter, Trainer, **22294VIC Course in Initial Adult Literacy and Numeracy**: Student outcomes for the 6 students enrolled in 2018 – 4 COM, 1 NYC, 1 withdrew. She had an ongoing negotiation with the RTO Manager about extending the completion dates as necessary to meet students' needs and ensure they had sufficient training to complete successfully.
- Interview with Stuart Dickinson, Trainer, **22301VIC Certificate I in Transition Education**: He checks students' LLN levels at the beginning of a course to see if their skills actually are as determined by the LLN assessment. Their enrolment can be reviewed if the trainer identifies a mismatch.
- Interview with Martin Chua, RTO Manager:
  - While the TASs do not state an amount of training, at interview the RTO Manager clearly identified the timetabled allocations for each course. The actual face-to-face classroom time for student is a minimum of 720 hours for **22301VIC Certificate I in Transition Education** and 210 hours for **22294VIC Course in Initial Adult Literacy and Numeracy**. It can be more for a given individual depending on a range of factors (see S.1.2). This includes assessment time, as the learner cohort generally would have difficulty completing assessment tasks unassisted.
  - The duration of the delivery is very flexible, from one to two years.
  - The Pre-Training Review procedure is detailed and identifies which course best suits the capabilities of each individual student.
  - Of the ten students enrolled in **22301VIC Certificate I in Transition Education** in 2018, the student outcomes are 1 student COM, 9 students continuing.
  - The RTO Manager described a standard process for the trainers, in consultation with him, to review and revise the amount of training delivered to individual students or a group as a whole. This is a defining aspect of the RTO's training and assessment strategies and practices and is what in practice enables each student to meet the requirements for the units in which they are enrolled.

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**GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:**

**Compliant**

- a) the existing skills, knowledge and the experience of the student;
- b) the mode of delivery; and
- c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

Overall, although the TASs themselves do not state an amount of training, the RTO has in place carefully designed systems and practices which ensure the actual amount of training provided to individual students meets their needs.

- Training and Assessment Strategy for **22294VIC Course in Initial Adult Literacy and Numeracy**
- Training and Assessment Strategy for **22301VIC Certificate I in Transition Education**
- Policy and Procedure – RTO – Foundation Skills Training and Assessment v.4.004063
- Pre-Training Review and LLN assessment tool identifies accurately learners who are able to complete within the face-to-face classroom hours provided – they enable thorough information-gathering about students and considered placement of each individual in the appropriate course.
- 6 x student files for **22301VIC Certificate I in Transition Education** including completed assessment tasks – these show that competency is accurately assessed
- 6 x student files for **22294VIC Course in Initial Adult Literacy and Numeracy** including completed assessment tasks – these show that competency is accurately assessed
- Interview with Martin Chua, RTO Manager:
  - All training and assessment is face-to-face.
  - The RTO offers significant flexibility in delivery duration and weekly days of attendance to accommodate different rates of learning, illness, holidays and other common breaks in consistent delivery to this learner cohort.
  - Assessors frequently give individual students extra time to complete as a reasonable adjustment. Assessment is not conducted until an individual student is judged by their trainer to be ready. This means that individuals often receive more than the allotted minimum timetabled hours.
  - This flexibility in duration, scheduling and delivery, and reasonable adjustment in assessment practices, enables most students to complete successfully.
- Interview with Alison Grinter, Trainer, **22294VIC Course in Initial Adult Literacy and Numeracy** – Described the process for negotiating extensions to delivery and assessment timing. Described an individualised assessment process. Felt the time allocated was enough given the flexibility and possibility of extending training.

**Audit Date:** 15–16 July 2019

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- Interview with Stuart Dickinson, Trainer, **22301VIC Certificate I in Transition Education** - Described a thorough process for determining and checking the existing capabilities of students and an individualised assessment process.

**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.**

**Not audited**

**GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.**

**Not audited**

**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:**

**Not audited**

- hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or
- work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.

**GUIDELINE 4.6 - An RTO ensures that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 of these Guidelines and does not determine assessment outcomes.**

**Not audited**

**GUIDELINE 4.7 - An application to add any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor) to an RTO's scope of registration has only be granted if an RTO has:**

**Not audited**

- held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and
- from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3.

**Audit Date:** 15–16 July 2019

**RTO:** Latrobe Lifeskills Pty Ltd

**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.

**Not audited**