



Australian Government

Australian Skills Quality Authority

# REPORT

## Audit report: Education Training & Employment Australia Pty. Ltd.

Date/s of audit: 27 – 28 March 2019

Date report created: 1 April 2019

## Organisation details

Organisation's legal name:	Education Training & Employment Australia Pty. Ltd.
Trading name/s:	Education Training & Employment Australia
RTO number:	5089
CRICOS number:	02925E

## Audit team

Lead auditor:	Eliza Chiam
Assistant/s:	N/A

## Audit details

Application number/s:	N/A	
Audit number:	AUDREC0009183	
Audit reason:	Compliance - monitoring	
Address of site/s visited:	Lvl 1, 113 Burgundy Street Heidelberg VIC 3084	
Date/s of audit:	26/03/2019	
Organisation's contact for audit:	Mr Alan Hickling <a href="mailto:alanh@etea.edu.au">alanh@etea.edu.au</a>	Principal Executive Officer (03) 9450 0500

## Original finding at time of audit

**Audit finding: Not yet determined**

**Report completed by:** Eliza Chiam

Practice	Standards for RTOs	Finding
Marketing/ Recruitment	4.1	Not compliant
Enrolment	5.1, 5.2	Not compliant
Support and Progression	1.7, 6.3, 6.5	Compliant
Training and Assessment	1.3, 1.14 1.1, 1.2, 1.8, 1.13, 1.16	Compliant Not compliant
Completion	3.1, 3.3	Compliant
Regulatory Compliance / Governance	2.2, 2.3, 2.4, 8.5 8.2	Compliant Not compliant

## Background

Summary of organisation and management structure:

Education Training & Employment Australia Pty. Ltd. (the RTO) was initially registered by the Victorian Registration and Qualifications Authority (VRQA) in April 1998 to become an RTO. The RTO's registration was transferred to ASQA in July 2011.

The RTO intends to apply for registration with the Tertiary Education Quality and Standards Agency (TEQSA) to deliver higher education in the near future.

The Principle Executive Officer – Mr Alan Hickling also owns RTO 41577 Melbourne Institute of Training and Technology Pty Ltd (MITT). MITT was first registered as an RTO on 7 August 2009. The company (ACN 131 839 471) was placed into voluntary liquidation on 9 March 2016. ASQA cancelled the RTO's registration with its consent on 21 November 2016.

At the time of liquidation MITT CEO made contact with Mr Hickling, CEO of Education Training & Employment Australia Pty Ltd (RTO ID 5089) (ETEA) regarding assistance for current learners to complete their studies.

ETEA purchased MITT while in liquidation, and submitted an application for a subsequent initial registration maintaining the existing MITT name, as an opportunity to develop its automotive training operations. ASQA approved the application and MITT's new NVR registration commenced on 30 August 2016 and its CRICOS registration commenced on 7 October 2016. MITT's initial scope of registration consisted of three business qualifications, seven automotive qualification were added on 10 May 2017.

MITT is a discrete business entity separate to ETEA, whose focus is health services training. MITT has the benefit of ETEA's shared resources.

The RTO's management structure consists of:

- CEO and Principal Executive Officer – Mr Alan Hickling

Scope of registration:

- *AUR30316 Certificate III in Automotive Electrical Technology*
- *AUR30616 Certificate III in Light Vehicle Mechanical Technology*
- *AUR31016 Certificate III in Automotive Sales*
- *AUR31116 Certificate III in Heavy Commercial Vehicle Mechanical Technology*
- *AUR40216 Certificate IV in Automotive Mechanical Diagnosis*
- *AUR50216 Diploma of Automotive Technology*
- *BSB40215 Certificate IV in Business*
- *BSB42015 Certificate IV in Leadership and Management*
- *BSB50215 Diploma of Business*
- *BSB51915 Diploma of Leadership and Management*
- *BSB51918 Diploma of Leadership and Management*
- *BSB60215 Advanced Diploma of Business*
- *BSB61015 Advanced Diploma of Leadership and Management*
- *CHC30113 Certificate III in Early Childhood Education and Care*
- *CHC33015 Certificate III in Individual Support*
- *CHC40313 Certificate IV in Child, Youth and Family Intervention*
- *CHC40413 Certificate IV in Youth Work*
- *CHC42015 Certificate IV in Community Services*
- *CHC43015 Certificate IV in Ageing Support*
- *CHC43115 Certificate IV in Disability*
- *CHC43315 Certificate IV in Mental Health*
- *CHC43415 Certificate IV in Leisure and Health*
- *CHC50113 Diploma of Early Childhood Education and Care*
- *CHC52015 Diploma of Community Services*
- *CHC53315 Diploma of Mental Health*
- *HLT33115 Certificate III in Health Services Assistance*
- *HLT54115 Diploma of Nursing*
- *HLT64115 Advanced Diploma of Nursing*
- *HLTAID001 Provide cardiopulmonary resuscitation*
- *HLTAID003 Provide first aid.*

Suburb and state of all delivery locations:

- Victoria (6):

- 158 Burgundy Street, HEIDELBERG VIC 3084
- 210 Thirteenth Street, MILDURA VIC 3500
- 3 - 25, Goldsworthy Road, CORIO VIC 3214
- 626 Bell Street, Preston VIC 3072
- 8 Ashley Street, WANTIRNA VIC 3152
- Suite 3, 132 Burgundy Street, HEIDELBERG VIC 3084.
- New South Wales (5):
  - 6 Fetherstone Street, BANKSTOWN NSW 2200
  - Level 5, 377 - 383 Sussex Street, SYDNEY NSW 2000
  - Suite 7, Level 6, 377-383 Sussex Street, SYDNEY NSW 2000
  - Suite 15202, Bay 15, Locomotive Street, EVELEIGH NSW 2015 (to be removed in the near future)
  - Suite 7A, B, C, 2 Locomotive Street, EVELEIGH NSW 2000 (to be removed in the near future)
- Queensland (1):
  - 803 Beaudesert Road, ARCHERFIELD QLD 4108.
- Western Australia (1):
  - Unit 4, 78-84 Catalano Circuit, CANNING VALE WA 6155.
- South Australia (2):
  - Level 2, East, 50 Grenfell Street, ADELAIDE SA 5000
  - Zurich House, Level 2 East (portion), 50 Grenfell Street, ADELAIDE SA 5000.

The RTO also has offshore offices in India, Philippines, and China to assist overseas students where required.

Third party usage:

- The RTO utilises a range of education agents for the recruitment of their overseas student cohort.

Core clients/target groups:

- Domestic and overseas students who seek to extend their current career or move into new career areas.

Training Revenue (Funded or fee for service):

- Funded (New South Wales – Smart and Skilled, and South Australia – WorkReady Initiative)
- Fee for service.

Total number of current enrolments as at audit date: 610

- *AUR30316 Certificate III in Automotive Electrical Technology - 6*
- *AUR30616 Certificate III in Light Vehicle Mechanical Technology - 6*
- *AUR31016 Certificate III in Automotive Sales - 0*
- *AUR31116 Certificate III in Heavy Commercial Vehicle Mechanical Technology - 1*
- *AUR40216 Certificate IV in Automotive Mechanical Diagnosis - 0*
- *AUR50216 Diploma of Automotive Technology - 1*
- *BSB40215 Certificate IV in Business - 0*
- *BSB42015 Certificate IV in Leadership and Management - 0*
- *BSB50215 Diploma of Business - 1*
- *BSB51915 Diploma of Leadership and Management - 5*
- *BSB51918 Diploma of Leadership and Management - 0*
- *BSB60215 Advanced Diploma of Business - 13*
- *BSB61015 Advanced Diploma of Leadership and Management - 0*
- *CHC30113 Certificate III in Early Childhood Education and Care - 0*
- *CHC33015 Certificate III in Individual Support - 9*
- *CHC40313 Certificate IV in Child, Youth and Family Intervention - 10*
- *CHC40413 Certificate IV in Youth Work - 33*
- *CHC42015 Certificate IV in Community Services - 31*
- *CHC43015 Certificate IV in Ageing Support - 21*
- *CHC43115 Certificate IV in Disability - 55*
- *CHC43315 Certificate IV in Mental Health - 121*

- CHC43415 Certificate IV in Leisure and Health - 5
- CHC50113 Diploma of Early Childhood Education and Care - 1
- CHC52015 Diploma of Community Services - 125
- CHC53315 Diploma of Mental Health - 118
- HLT33115 Certificate III in Health Services Assistance - 7
- HLT54115 Diploma of Nursing\* - 1
- HLT64115 Advanced Diploma of Nursing - 0
- HLTAID001 Provide cardiopulmonary resuscitation - 28
- HLTAID003 Provide first aid – 12

On 4 April 2019, the RTO cancelled the last *HLT54115 Diploma of Nursing's* Confirmation of Enrolment (CoE). The RTO currently has no learners enrolled in this qualification.

In preparing the audit report, consideration has been given and reference made, where relevant, to:

- information provided by students as part of a student survey or interview.
- information provided directly by Education Training & Employment Australia Pty. Ltd. to ASQA
- existing information and records held by ASQA concerning Education Training & Employment Australia Pty. Ltd.
- information provided to ASQA's auditors and documentation reviewed during the site audit of Education Training & Employment Australia Pty. Ltd. conducted on 27 – 28 March 2019.
- other publicly available information - including but not limited to, information published on the organisation's and third party websites.

## Audit Sample

Code	Training products	Mode/s of delivery /	Current enrolments assessment*
BSB51915	Diploma of Leadership and Management	Face to face	5
HLT54115	Diploma of Nursing	Face to face	1*
CHC50113	Diploma of Early Childhood Education and Care	Face to face	1
CHC33015	Certificate III in Individual Support	Face to face	9
CHC43015	Certificate IV in Ageing Support	Face to face	21
CHC43115	Certificate IV in Disability	Face to face	55
CHC52015	Diploma of Community Services	Face to face	125
CHC43315	Certificate IV in Mental Health	Face to face	121
CHC53315	Diploma of Mental Health	Face to face	118
AUR30616	Certificate III in Light Vehicle Mechanical Technology	Face to face	6

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

## Interviewees

Name	Position	Training products
Mr Alan Hickling	Principal Executive Officer	N/A
Ms Jasbir Kaur	National Compliance Manager	N/A
Ms Susan Jones	Chair of Quality Management Committee (external to ETEA)	N/A

## About this Report

This report details findings against the *Standards for Registered Training Organisations 2015* (Standards for RTOs). If non-compliance has been identified, this report describes evidence of the non-compliance.

Where non-compliance has been identified, the organisation is accountable for identifying and correcting non-compliant practices and behaviours, particularly those that have had a negative impact on learners.

Correcting non-compliance may require:

- correcting a process or system that has led to the non-compliance, and implementing a revised process or system
- identifying the impact on learners and carrying out remedial action for current and past learners.

## Action required by organisation

Education Training & Employment Australia Pty. Ltd. did not meet all requirements for Clauses 4.1, 5.1, 5.2, 1.1, 1.2, 1.8, 1.13, 1.16, and 8.2.

Remedial action is required for the following training products:

- *BSB51915 Diploma of Leadership and Management*
- *HLT54115 Diploma of Nursing*
- *CHC50113 Diploma of Early Childhood Education and Care*
- *CHC33015 Certificate III in Individual Support*
- *CHC43015 Certificate IV in Ageing Support*
- *CHC43115 Certificate IV in Disability*
- *CHC52015 Diploma of Community Services*
- *CHC43315 Certificate IV in Mental Health*
- *CHC53315 Diploma of Mental Health*
- *AUR30616 Certificate III in Light Vehicle Mechanical Technology.*

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

### Marketing/ Recruitment:

- It disseminates accurate and factual information to inform prospective, and current learners and clients (Clause 4.1).

### Enrolment:

- It provides current, and accurate advice to the prospective learners about the training product appropriate to meet the learner's needs, and to enable the learners to make informed decisions about undertaking training with the RTO (Clauses 5.1, and 5.2).

### Training and Assessment:

- Its training and assessment strategies and practices are consistent with the requirements of the training packages and takes into account the targeted cohort needs (Clauses 1.1, and 1.2).
- It implements an assessment system that ensures that assessments comply with the assessment requirements of the relevant training package, and is conducted in accordance with the Principles of Assessment, and Rules of Evidence (Clause 1.8).
- Its trainers and assessors meets the requirements specified in the *Standards for RTOs 2015* (Clause 1.13).
- It ensures that all its trainers and assessors undertake professional development (Clause 1.16).

### Regulatory Compliance/ Governance:

- It ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator (Clause 8.2).

## Areas of non-compliance

### Marketing/Recruitment Practices

#### Standards for RTOs Clause 4.1

*Original Finding: Not compliant*

Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

- a) accurately represents the services it provides and the training products on its scope of registration;
- b) includes its RTO Code;
- c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;
- d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
- e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
- f) distinguishes 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;
- g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;
- h) includes the code and title of any training product, as published on the National Register, referred to in that information;
- i) only advertises or markets a non-current training product while it remains on the RTO's scope of registration;
- j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;
- k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and
- l) does not guarantee that:
  - i) a learner will successfully complete a training product on its scope of registration; or
  - ii) a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or
  - iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

*BSB51915 Diploma of Leadership and Management*

*HLT54115 Diploma of Nursing*

*CHC50113 Diploma of Early Childhood Education and Care*

*CHC33015 Certificate III in Individual Support*

*CHC43015 Certificate IV in Ageing Support*

*CHC43115 Certificate IV in Disability*

*CHC52015 Diploma of Community Services*

*CHC43315 Certificate IV in Mental Health*

*CHC53315 Diploma of Mental Health*

*AUR30616 Certificate III in Light Vehicle Mechanical Technology*

*HLTAID003 Provide first aid*

The following was reviewed in relation to marketing:

- Course brochures for:
  - *BSB51915 Diploma of Leadership and Management*

- HLT54115 Diploma of Nursing
- CHC50113 Diploma of Early Childhood Education and Care
- CHC33015 Certificate III in Individual Support
- CHC43015 Certificate IV in Ageing Support
- CHC43115 Certificate IV in Disability
- CHC52015 Diploma of Community Services
- CHC43315 Certificate IV in Mental Health
- CHC53315 Diploma of Mental Health
- AUR30616 Certificate III in Light Vehicle Mechanical Technology
- HLTAID003 Provide first aid.
- RTO website: <https://www.etea.edu.au/>
- RTO Facebook page: <https://www.facebook.com/eteacollege>
- EducationHQ Australia website: <https://au.educationhq.com/directory/30244/etea-automotive-trade-school-education-training-employment-australia/>
- IRON Program Facebook page: <https://www.facebook.com/pages/category/Community/IRON-Program-students-in-Australia-ETEA-IHNA-ACFE-Other-445035405864882/>.
- NMBA– Report on Response from ETEA to ENAC SECTION 2 – Accreditation Committee Outcome – only in reference entry requirement
- ETEA’s response to ENAC’s outcome.

The RTO’s marketing practices are not compliant with the requirements of Clause 4.1 of the Standards for RTOs as its marketing is not accurate and factual in all cases.

Evidence of non-compliant marketing practice includes:

- The RTO did not include its RTO code on the EducationHQ Australia website.
- No information provided to current and prospective learners regarding the currency of *BSB51915 Diploma of Leadership and Management* that was superseded on 26 September 2018.
- Inconsistent information provided by the RTO (including RTO’s website). For example, the RTO stated that it will not be delivering *BSB51915 Diploma of Leadership and Management*; however, the RTO’s website had an intake date of January 2019 for this qualification.

## Enrolment

### Standards for RTOs Clause 5.1

*Original Finding: Not compliant*

Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies.

### Standards for RTOs Clause 5.2

*Original Finding: Not compliant*

Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

- a) the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;
- b) the training and assessment, and related educational and support services the RTO will provide to the learner including the:
  - i) estimated duration;
  - ii) expected locations at which it will be provided;
  - iii) expected modes of delivery;



- iv) name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf; and
- v) any work placement arrangements.
- c) the RTO's obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.
- d) the learner's rights, including:
  - i) details of the RTO's complaints and appeals process required by Standard 6; and
  - ii) if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in;
- e) the learner's obligations:
  - i) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;
  - ii) any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and
  - iii) any materials and equipment that the learner must provide; and
- f) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

*BSB51915 Diploma of Leadership and Management*

*HLT54115 Diploma of Nursing*

*CHC50113 Diploma of Early Childhood Education and Care*

*CHC33015 Certificate III in Individual Support*

*CHC43015 Certificate IV in Ageing Support*

*CHC43115 Certificate IV in Disability*

*CHC52015 Diploma of Community Services*

*CHC43315 Certificate IV in Mental Health*

*CHC53315 Diploma of Mental Health*

*AUR30616 Certificate III in Light Vehicle Mechanical Technology*

*HLTAID003 Provide first aid*

The following was reviewed in relation to pre-enrolment information provided to current and prospective learners:

- RTO website: <https://www.etea.edu.au/>
- Letter to student
- Genuine Temporary Entrant (GTE) Assessment Form
- SSVF and GTE Verification Checklist
- Statement of Purpose (SoP)
- International Student Application and Enrolment Form (Application Form)
- Safety brochures
- Emergency Evacuation Plan
- Student Code of Conduct
- International Student Transfer (Between Registered Providers) Policy and Procedure
- International Student Orientation Program and Checklist
- Student Visa Conditions
- International Student Information Booklet
- Course brochures
- Orientation PowerPoint
- Student Administration Files:
  - SS (19770)
  - ES (21516)
  - SL (22217)
  - WP (24296)

- DP (21209)
- MYV (20325)
- BB (21581)
- RG (21811).
- Email to *HLT54115 Diploma of Nursing* learners via education agents prior to enrolment:
  - AL (student ID not available)
  - PPS (student ID not available)
  - AR (student ID not available).

The RTO's enrolment practices are not compliant with the requirements of Clauses 5.1, and 5.2 of the Standards for RTOs.

Evidence of non-compliant enrolment practice includes:

- *HLT54115 Diploma of Nursing* specific:
  - Insufficient information was provided to current and prospective learners regarding its Australian Nursing and Midwifery Accreditation Council (ANMAC) accreditation status and consequential implications. Prior to enrolment, ETEA sent out emails either directly to the learners or through their education agents that included a simply sentence of '*this email is just to advise you that Diploma of Nursing course is pending NMBA accreditation and is in process. Once approved, it will be updated on our website*'. While the learners have confirmed and accepted this, insufficient advice was provided to learners that the Diploma of Nursing qualification that they have enrolled in will not lead to registration as an Enrolled nurse in Australia under the approved qualification pathway, even if the RTO's ANMAC accreditation is approved at a later date.

On 2 April 2019, ASQA conducted phone interviews with learners that were previously studying at ETEA. Multiple learners advised that the intention of studying the Diploma of Nursing was to become an Enrolled nurse. Once they were made aware that ETEA's Diploma of Nursing was not ANMAC accredited, they requested to be transferred to a new RTO that is ANMAC accredited. One learner stated that they were advised that ETEA was not ANMAC accredited, and accepted this during enrolment; however, was not aware that they would not be able to register to become an Enrolled nurse in Australia.

**NB:** the RTO advised that a full refund was provided to one cohort of learners where they were not advised of the RTO's Diploma of Nursing accreditation status prior or during enrolment. The RTO provided invoices as evidence to support this claim. This was further confirmed through phone interviews conducted with learners post audit. The RTO has advised that it will only commence a new intake once its Diploma of Nursing is approved and accredited by ANMAC.

- Insufficient evidence provided to demonstrate that adequate information was provided to prospective and current learners regarding work placement and its implications. This is reflected in the number of complaints received regarding the issuance of Statement of Attainments. The learners were not aware that work placement serves part of competency requirements, and was under the impression that they had fulfilled their unit requirements.

**NB:** On 4 April 2019, the RTO cancelled the last *HLT54115 Diploma of Nursing's* Confirmation of Enrolment (CoE). The RTO currently has no learners enrolled in this qualification.

## Training and Assessment

### Training Delivery and Assessment

#### Standards for RTOs Clause 1.1

**Original Finding: *Not compliant***

**The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited**

courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.

#### Standards for RTOs Clause 1.2

*Original Finding: Not compliant*

For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:

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

*BSB51915 Diploma of Leadership and Management*

*HLT54115 Diploma of Nursing*

*CHC50113 Diploma of Early Childhood Education and Care*

*CHC33015 Certificate III in Individual Support*

*CHC43015 Certificate IV in Ageing Support*

*CHC43115 Certificate IV in Disability*

*CHC52015 Diploma of Community Services*

*CHC43315 Certificate IV in Mental Health*

*CHC53315 Diploma of Mental Health*

*AUR30616 Certificate III in Light Vehicle Mechanical Technology*

*HLTAID003 Provide first aid*

Identified learner cohort for *BSB51915 Diploma of Leadership and Management*: aimed at individuals who are intending to, or already working within the business sector, and are wanting to develop or improve their skills and knowledge for work in the business sector.

The RTO is not compliant with Clause 1.2 of the Standards for RTOs as it has not demonstrated the amount of training it intends to provide to each learner has been determined with regard to the learners' existing skills, knowledge and experience and the intended modes of delivery for the following reasons:

- *BSB51915 Diploma of Leadership and Management*: the RTO did not provide a rationale or an explanation of how the amount of training (910 hours or 30 weeks) has been determined as sufficient and will enable each learner to gain the skills and knowledge specified by the training product.

The Australian Qualifications Framework (AQF) volume of learning identifies the notional duration of all activities required for the achievement of the learning outcomes for each qualification type and describes how long a student who does not hold the competencies identified in the relevant units of competency would take to develop all of the required skills and knowledge. 'Volume of learning' includes all teaching, learning and assessment activities that a typical student must undertake to achieve the learning outcomes. For example:

- Diploma: 1 – 2 years (1200 – 2400 hours)

The RTO has not demonstrated how the course duration (including total hours), which are a significant variation from the recommended volume of learning hours, are appropriate and will achieve the required rigour and depth of training for the identified student cohort and mode of delivery.

#### Standards for RTOs Clause 1.8

*Original Finding: Not compliant*

The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):

- a) complies with the assessment requirements of the relevant training package or VET accredited course; and

**b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.**

Table 1.8.1 Principles of Assessment

Fairness	<p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.</p> <p>The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>
Flexibility	<p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"><li>• reflecting the learner's needs;</li><li>• assessing competencies held by the learner no matter how or where they have been acquired; and</li><li>• drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.</li></ul>
Validity	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"><li>• assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;</li><li>• assessment of knowledge and skills is integrated with their practical application;</li><li>• assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and</li><li>• judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.</li></ul>
Reliability	<p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.</p>

Table 1.8.2 Rules of Evidence

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

*BSB51915 Diploma of Leadership and Management*

*HLT54115 Diploma of Nursing*

*CHC50113 Diploma of Early Childhood Education and Care*

*CHC33015 Certificate III in Individual Support*

*CHC43015 Certificate IV in Ageing Support*

*CHC43115 Certificate IV in Disability*

*CHC52015 Diploma of Community Services*

*CHC43315 Certificate IV in Mental Health*

*CHC53315 Diploma of Mental Health*

*AUR30616 Certificate III in Light Vehicle Mechanical Technology*

The following evidence was reviewed in relation to assessment:

- Assessment tools for:
  - *BSB51915 Diploma of Leadership and Management*
    - *BSBLDR501 Develop and use emotional intelligence*
      - Assessment 1: Written questions (14 questions)
      - Assessment 2: Project
      - Assessment 3: Observation.
  - *HLT54115 Diploma of Nursing*
    - *HLTENN001 Practise nursing within the Australian health care system*
      - Assessment 1: Multi-Choice Quiz – 25 questions
      - Assessment 2: De-identified Progress Notes - 5
      - Assessment 3: Clinical Placement.
    - *HLTENN003 Perform clinical assessment and contribute to planning nursing care*
      - Assessment 1: Multi-Choice Quiz – 20 questions
      - Assessment 2: Nursing Care Plans/Clinical Skills – 3 demonstrations
      - Assessment 3: Clinical Placement.
    - *HLTENN011 Implement and monitor care for a person with acute health problems*
      - Assessment 1: Moodle Exam – 17 definitions, 40 multiple choice, 28 true or false, 25 short answers – 110 questions
      - Assessment 2: Clinical Skills – 12 observations
      - Assessment 3: Clinical Placement.
  - *CHC50113 Diploma of Early Childhood Education and Care*
    - *CHCECE005 Provide care for babies and toddlers*
      - Quality Care Practices (9 short answer questions)
      - Supportive Care Routines (9 short answer questions)
      - Nurturing Environments and Relationships (5 questions)
      - Work Assessment Task.
  - *CHC33015 Certificate III in Individual Support, CHC43015 Certificate IV in Ageing Support, CHC43115 Certificate IV in Disability, CHC43315 Certificate IV in Mental Health, CHC53315 Diploma of Mental Health*
    - *CHCDIV001 Work with diverse people*
      - Summative assessment 1 – 11 questions
      - Summative assessment 2 – Project
      - Observation Report
      - Student Placement Log Book
      - Third Party Report.
    - *HLTWHS002 Follow safe work practices for direct client care*
      - Summative assessment 1 – 6 questions
      - Summative assessment 2 – Project
      - Observation Report
      - Student Placement Log Book
      - Third Party Report.
  - *CHC52015 Diploma of Community Services*
    - *CHCCCS004 Assess co-existing needs*
      - Summative assessment 1 – 6 questions
      - Summative assessment 2 – Project
      - Observation Report
      - Student Placement Log Book
      - Third Party Report.
  - *AUR30616 Certificate III in Light Vehicle Mechanical Technology*
    - *AURTTA018 Carry out diagnostic procedures*
      - Assessment 1: Written questions (17 questions)
      - Assessment 2: Observation tasks with verbal questions.
- Learner files:
  - *BSB51915 Diploma of Leadership and Management*
    - MPK (20416).
  - *HLT54115 Diploma of Nursing*

- BB (22764).
- *CHC33015 Certificate III in Individual Support, CHC43015 Certificate IV in Ageing Support, CHC43115 Certificate IV in Disability, CHC43315 Certificate IV in Mental Health, CHC53315 Diploma of Mental Health*
  - ADM (21481).
- *CHC52015 Diploma of Community Services*
  - LJ (21561).
- *AUR30616 Certificate III in Light Vehicle Mechanical Technology*
  - IT (20663).

The RTO's practices are not compliant with the requirements of Clause 1.8 of the Standards for RTOs. The evidence provided does not confirm RTO has an assessment system that addresses training product requirements and does not ensure all assessments are conducted in accordance with the Principles of Assessment and the Rules of Evidence.

**The following analysis provides guidance on the areas of non-compliance. Examples of non-compliances are provided however, this is not an exhaustive list. It is the RTO's responsibility to review the assessment system and implementation of the assessment system for each unit of competency for all non-compliances identified below and provide evidence:**

- **of a revised assessment system for each unit of competency listed above that addresses all requirements of Clause 1.8.**
- **that confirms students were assessed as meeting all the requirements of the training product(s) in which they were enrolled.**

Evidence of non-compliant assessment practice includes:

- Validity and Sufficiency – the assessment tool does not ensure that the learner addresses all unit of competency requirements. **For example, but not limited to:**
  - *HLTENN011 Implement and monitor care for a person with acute health problems:*
    - While the assessment tool assesses all elements required in the knowledge evidence, learners are only required to achieve 50 per cent in this assessment to be deemed satisfactory. The assessment does not ensure that the learner is competent in all of the knowledge evidence requirements.
- Reliability:
  - The assessment tools do not contain sufficient performance benchmarks for each skill/behaviour to be demonstrated; therefore, it cannot be confirmed that all training package requirements will be met and that consistent judgements will be made across a range of learners and assessors. **For example but not limited to:**
    - *HLTENN003 Perform clinical assessment and contribute to planning nursing care*
    - *BSBLDR501 Develop and use emotional intelligence.*

The assessment tools' observation checklist only included short sentences such as 'gathers equipment', 'assists with feeding prm', 'promote the development of emotional intelligence in other', and 'achieve workplace outcomes using the strengths of workgroup members'.
- Fairness – the assessment tools do not provide clear information to the learner and assessor to fully inform them of the assessment process and conditions (e.g. open book, closed book, resubmission opportunities). **For example but not limited to:**
  - *CHCECE005 Provide care for babies and toddlers*
  - *CHCCCS004 Assess co-existing needs.*

## Trainer and assessor competency

### Standards for RTOs Clause 1.13

**Original Finding: *Not compliant***

**In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO's training and assessment is delivered only by persons who have:**

- a) vocational competencies at least to the level being delivered and assessed;**
- b) current industry skills directly relevant to the training and assessment being provided; and**

**c) current knowledge and skills in vocational training and learning that informs their training and assessment.**

**Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.**

**Standards for RTOs Clause 1.16**

*Original Finding: **Not compliant***

**The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.**

*BSB51915 Diploma of Leadership and Management  
HLT54115 Diploma of Nursing  
CHC50113 Diploma of Early Childhood Education and Care  
CHC33015 Certificate III in Individual Support  
CHC43015 Certificate IV in Ageing Support  
CHC43115 Certificate IV in Disability  
CHC52015 Diploma of Community Services  
CHC43315 Certificate IV in Mental Health  
CHC53315 Diploma of Mental Health  
AUR30616 Certificate III in Light Vehicle Mechanical Technology  
HLTAID003 Provide first aid*

The following was reviewed in relation to trainer and assessor competencies:

- Trainer and assessor files:
  - Sarwat Hassan
  - George Jobson
  - Loretta Botha
  - Mercy Thanga Rathna Henry
  - Alana Huey
  - Shayma Saafan
  - Eugenai Maria Soto Soto
  - Reji Cherian
  - Navjot Chhina
  - Wendy Stockton
  - Ciaran McCabe
  - Angela Grant
  - Gloria Kiri
  - Rebecca O'Sullivan
  - Rupinder Sidhu
  - Jules Collingwood
  - Tan Kan Ku
  - Gerhard Stephanus Kock
  - Tony Macri.

The RTO's trainer and assessor competencies are not compliant with the requirements of Clause 1.13, 1.14, and 1.16 of the Standards for RTOs.

Evidence of non-compliant trainer and assessor competencies include:

- The following trainer and assessor does not hold vocational competencies at least to the level being delivered and assessed:
  - Gloria Kiri.
- The following trainers and assessors do not hold current industry skills directly relevant to the training and assessment being provided:
  - Alana Huey
  - Wendy Stockton



- Gloria Kiri.
- The following trainers and assessor do not have current knowledge and skills in vocational training and learning that informs their training and assessment:
  - Sarwat Hassan
  - George Jobson
  - Eugenai Maria Soto Soto
  - Navjot Chhina
  - Wendy Stockton
  - Rupinder Sidhu
  - Mercy Thanga Rathna Henry
  - Tony Macri.
- The RTO did not ensure that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment, **for example but not limited to:**
  - Sarwat Hassan
  - George Jobson
  - Alana Huey
  - Navjot Chhina
  - Wendy Stockton
  - Alana Huey.

## Regulatory Compliance / Governance

### Third parties (including education agents)

#### Standards for RTOs Clause 8.2

*Original Finding: **Not compliant***

**The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:**

- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and**
- b) in the conduct of audits and the monitoring of its operations.**

The following was reviewed in relation to third party agreements:

- Education Agents Agreements:
  - Danfe International Pty Ltd
  - Cosmos Consulting
  - 3P Solutions
  - Sienna Deja Pty Ltd
  - Brilliant Education and Career Services Pvt Ltd.

The RTO's third party agreement practices are not compliant with the requirements of Clause 8.2 of the Standards for RTOs.

Evidence of non-compliant third party agreement practice includes:

- The written agreements between the RTO and its education agents did not include a clause requiring that third parties co-operate with ASQA in:
  - Providing accurate and factual responses to information requests from ASQA
  - The conduct of audits and the monitoring of its operations.