

Audit Date: May 17th – June 5th 2023

RTO: 21403 South West Training Services Pty Ltd

Applicant Details			
Applicant Name	South West Training Services Pty Ltd	TOID	21403
Address	147 - 155 Hogans road Hoppers Crossing VIC 3029		
Website	http://www.swts.org.au		
Registration Contact	Ms Smitha Gustav		
Phone Number	(03) 9748 9233	Email	sgustav@swcc.org.au
Audit Team			
Audit Firm	Shine Wing	Auditor/s	Casey Helman
Auditor/s		Other Attendees	Smitha Gustav Christine Dsouza Malika Withanage Dinusha Galapitiya Sadaf Samson
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9059 4537	Email	vet.audit@education.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.5, 2.6, 2.7	3.1, 3.2, 3.4
2016 VRQA Guidelines Audited	3.1, 3.2	4.1,4.2	
	6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.7, 6.8, 6.9, 6.10, 6.11		
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RTO Background			
<p>South West Training Services (SWTS) is a vocational education and training provider that offers a range of government-accredited courses, including early childhood, education support, health and community, business, training and assessment, and first aid courses. The organization primarily operates in several regions, including Hoppers Crossing, Werribee, Wyndham Vale, Manor Lakes, Truganina, and Tarneit.</p> <p>SWTS's courses are designed to equip students with practical skills and knowledge applicable in various professional settings.</p> <p>SWTS has a strong enrolment process that involves a face-to-face interview process, Pre training review and Language, Literacy and Numeracy assessments. SWTS have a strong multicultural cohort, so identifying appropriate support needs up front is important to the success of the student's progression.</p> <p>The organization prides itself on its values of community inclusiveness, operating as a not-for-profit entity. As a community-based organization, SWTS has a high course completion rate of 90%, implying a successful training model.</p>			

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Testimonials from students reflect positive experiences with SWTS, highlighting the friendly staff, adaptable programs, supportive educators, and conducive learning environment. The practical placements offered as part of the courses were commended for their role in developing professional skills.

SWTS attended the audit with multi staff and where very forthcoming with information about their operations. Their audit was interrupted by the auditor falling ill during the audit, which resulted in a delay of their exit meeting.

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Qualifications/Units Audited¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
CHC50121	Diploma of Early Childhood Education and Care <ul style="list-style-type: none"> CHCECE042 Foster holistic early childhood learning, development and wellbeing CHCECE050 Work in partnership with children's families 	RTO & Workplace
CHC40221	Certificate IV in School Based Education Support <ul style="list-style-type: none"> CHCPRT001 Identify and respond to children and young people at risk CHCEDS056 Provide support to students with autism spectrum disorder 	RTO & Workplace
	HLTAID009 Provide cardiopulmonary resuscitation	RTO

Interviewee(s) – Staff name and position; employer name and position	
Smitha Gustav	Director
Christine Dsouza	Finance Manager
Malika Withanage	Continuous Improvement Coordinator
Dinusha Galapitiya	Compliance Manager
Sadaf Samson	Placement Coordinator

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
If ' No' , please provided amended details below:		

Third party Arrangements –	Yes	No
Do the RTO's third party arrangements match the information provided by the VRQA?	X	
If ' No' , please provided amended details below:		

¹ 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 Place an X in the appropriate column		Compliant	Non - Compliant	Not audited
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation		X	
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	X		
7	Recognition of Qualifications Issued by other RTOs	X		
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses	X		
Summary of Non-Compliance²				
CF.3.1 The RTO has not identified all the relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration or communicated the rights and/or obligations of the RTO to meet these requirements.				

² 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
Standard 1			
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	
Standard 2			
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		
Standard 3			
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	
Summary of Non-Compliance³			
<p>SF.1.2 The RTO has provided training and assessment strategies that require more detail around the duration of training, including a schedule of delivery to ensure training and assessment are sufficient to meet training package requirements and learner needs.</p> <p>SF.1.5 The RTO's assessment did not meet the requirements of the relevant Training Package and is conducted in accordance with the principles of assessment and the rules of evidence.</p> <p>SF.2.2, 3.3 The RTO does not have a systematic process to collect, analyse and act on data for the improvement of client services or management of operations.</p>			

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

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SF. 3.4

The RTO did not demonstrate how they manage records to ensure their accuracy and integrity, specifically around recording continuous improvement outcomes.

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Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
1. Governance, Financial viability and Management systems			
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
2. Transparency and oversight of third parties			
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
3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)			
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
4. Delivery of training and assessment services			
4.1 – Training and assessment practices		X	
4.2 – Amount of training		X	
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
5. Annual Declaration of Compliance			
5.1 – Annual Declaration of Compliance			X
6. Child Safe Standards			

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

Summary of Non-Compliance⁴

GF.6.1

The RTO has not consulted with local aboriginal organisations to inform its culturally safe practices.

GF.6.2

The RTO has not identified the management strategies aimed at preventing, identifying, and mitigating risks to children and young people or identified a designated CSS point of contact for staff and volunteers.

GF.6.3

The RTO has not participated in formal professional development around recognising signs of child harm and other relevant areas of the child safe standards.

GF.6.4

The RTO has not provided information on how families, carers, and the community are informed about the organisation's operations and governance.

GF.6.5

The RTO has not participated in formal professional development around the needs of CALD, LGBTQIA+, and young people in out-of-home care.

GF.6.8

There is also no evidence of staff undertaking training, nor is there professional development plans with Child Safe relevant training scheduled.

GF.6.9

The RTO did not provide any risk management plans to demonstrate that they considered risks posed by organisational settings, activities, and the physical environment.

GF.6.10

The RTO did not demonstrate how it regularly reviews, evaluates and improves child safe practices through its continuous improvement framework.

GF.6.11

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

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The RTO did not demonstrate that their Child Safe Policy and procedure covers all the requirements of the Child Safe Standards.

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

Non-Compliant

Evidence/Documentation Reviewed

Evidence reviewed:

- SWTS-CG3-Skills first - Quality Assurance P&P V1.0
- SWTS-CG1-SKILLS FIRST - VET Regulation and Legislation March 2023 P&P V1.1
- SWTS - Child Safe Standard Policy Procedures
- RTO Staff Handbook V1.0 January 2023
- Student Handbook, January 2023

CF.3.1 Finding

Required Rectification(s)

The RTO has not identified all the relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration such as the Education and Training Reform Act 2006 (Vic) and Australian Quality Training Framework 2010 (AQTF 2010).

The RTO submitted evidence of a Quality Assurance Policy and Procedure and VET Regulation and Legislation Policy and Procedure; however, the policy does not explicitly mention the relevant Commonwealth, State, or Territory legislation and regulatory requirements that the RTO must comply with. The policy incorrectly identifies the National Vocational Education and Training Regulator Act 2011 which is the Act that ASQA regulated RTOs are regulated by. Victorian based RTOs are required to comply with the Education and Training Reform Act 2006 (Vic) and Australian Quality Training Framework 2010 (AQTF 2010).

The RTO is required to identify the relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration and provide evidence of communication of rights and/or obligations to staff and clients.

The RTO is required to review and update the Student Handbook to reference the relevant legislation and

<p>The policy does not mention the legislative instrument known as Data Provision Requirements, which is crucial for reporting learner engagement and employer satisfaction data. Including a reference to this instrument and outlining the RTO's obligations related to data provision is important for compliance. The policy mentions compliance with the Privacy Act 1988 (Cth) but does not specifically mention the Australian Privacy Principles (APPs) that are part of the Act. It should refer to the APPs to ensure comprehensive compliance with privacy regulations.</p> <p>The VET Regulation and Legislation Policy and Procedure lacks integration of the child safe standards. While the policy focuses on registration, VRQA compliance, and legal requirements, it does not explicitly address all the Child Safe Standards. The policy should incorporate all the relevant Child Safe Standards and outline specific actions and measures to ensure compliance with each standard. It was noted that there was a separate policy and procedure for the Child Safe Standards which is discussed in detail under VRQA Guideline Six.</p> <p>The RTO submitted evidence of an email to the board (dated 10/08/2022) informing them of the VRQA online briefing for the Child Safety Standards, however there was no evidence of the members attending the briefing.</p> <p>The Student handbook does not reference a range of legislation, however, does communicate some of the obligations of the RTO or the clients to meet these requirements.</p> <p>The Staff handbook provides employees an overview of their obligations or requirements that affect their duties or participation in vocational education and training, however they have referenced the incorrect legislation.</p> <p>The employee handbook does identify the RTO's obligations under the Child Safe Standards.</p>	<p>communicate the obligations of both the RTO and the clients to meet these requirements.</p> <p>The RTO is required to revise the Staff Handbook to accurately reference the legislation, including the correct legislation related to the VET framework.</p>
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CONDITION 4 - Insurance	Not audited in Phase 2 audit
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CONDITION 5 - Financial Management	Not audited in Phase 2 audit
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CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment	Compliant
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Evidence/Documentation Reviewed
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Detail of evidence reviewed relating to findings

- Quality assurance procedure
- Quality Indicator reporting completed form 2021
- Register of Certificates and Statement of Attainment issued 2019-2020
- Sample_certificate
- Student Handbook, January 2023
- Template of Certificate
- Template of Statement of Attainment
- Enrolment form
- USI verification report
- VETrak demonstration
- SWTS Opeartional Procedure -Records Management-V1.0 March 2023
- SWTS-SC-6-0 - Student Administration P&P V1.0 March 2023

CF.6.1	Finding	Required Rectification(s)
	<p>The RTO has mechanisms in place to ensure it only issues certification to persons whom it has assessed as competent in accordance with the requirements of the Training Package or accredited course.</p> <p>The qualification or statement of attainment issued by the RTO meets the Australian Qualifications Framework (AQF) requirements, identifies the RTO by its national provider number and includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.</p>	N/A

CF.6.2.	Finding	Required Rectification(s)
	The RTO has mechanisms in place to retain client records of attainment of units of competency and qualifications for a period of 30 years.	N/A
CF.6.3	Finding	Required Rectification(s)
	The RTO has a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data. During the audit meeting, the RTO demonstrated their AVETMISS-compliant system by showcasing their student management system, VETtrak.	N/A
CF.6.4	Finding	Required Rectification(s)
	The RTO must provide returns of its client records of attainment of units of competency and qualifications to its registering body on a regular basis, as determined by the registering body.	N/A
CF.6.5	Finding	Required Rectification(s)
	The RTO meets requirements for implementation of a national unique student identifier. The RTO supplies the USI Privacy Statement to students during enrolment and ensures USI's have been verified before issuing certification.	N/A

CONDITION 7 - Recognition of Qualifications Issued by other RTOs		Compliant
Evidence/Documentation Reviewed		
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • Student Handbook, January 2023 • RTO Staff Handbook V1.0 January 2023 • SWTS-SC-6-0 - Student Administration P&P V1.0 March 2023 		
CF.7.1	Finding	Required Rectification(s)

The RTO recognises the AQF Qualifications and Statements of Attainment issued by other RTOs. The RTO communicates the process to prospective students to recognise existing qualifications and statements of attainment held by clients through the student information book	N/A
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CONDITION 8 - Accuracy and Integrity of Marketing		Compliant
Evidence/Documentation Reviewed		
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • SWTS-SC3.7- Advertising and Promotional Material Checklist V1.0 • SWTS-SC-3.0 VTG - Marketing and Advertising Policy V 1.2 • Student Handbook, January 2023 • Marketing material checklist signed • Consent forms • Enrolment open for TERM 2 CHC40221 • CHC50121 February intake 2023 • https://swts.org.au/ • https://swts.org.au/wp-content/uploads/2015/02/CHC50121-Diploma-of-ECEC-V3-February-2023.pdf 		
CF.8.1	Finding	Required Rectification(s)
	The RTO ensures its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. The NRT logo is employed only in accordance with its conditions of use. The marketing materials reviewed had sufficient details to inform the prospective student of requirements. These included, but not limited too: <ul style="list-style-type: none"> • Qualification Overview • Course Units • Prerequisites 	N/A

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<ul style="list-style-type: none"> • Study Modes Available • Duration • Placements • Assessment Methods • Career Opportunities • Fees & Charges • Start Dates • Locations • Virtual Classes <p>The RTO reference the ASQA standards, not the AQTF in its policy and procedure. (See Standard 3.4)</p>	
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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • SWTS-TA4 - Training Product Transition & Expiry P&P V1.2 		
CF.9.1	Finding	Required Rectification(s)
	The RTO has mechanisms in place to manage the transition from superseded Training Packages within 12 months of their publication on training.gov.au. so that it delivers only currently endorsed Training Packages.	N/A

Improvement Opportunities
The RTO should consider created tools such as checklists, to assist with the implementation of training package transitions to ensure all steps are completed and/or documented for record keeping.

Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.		Non-Compliant
Evidence/Documentation Reviewed		
<p>Detail of evidence reviewed relating to findings</p> <ul style="list-style-type: none"> • Feedback form • Feedback improvements • Completed student evaluations. • Completed AQTF learner questionnaire. • SWTS-CG3-Skills first - Quality Assurance P&P V1.0 • SWTS- CG3 3 - Continuous Improvement Register V1 1 • Learner questionnaire analysis • Evaluation analysis 		
SF.1.1.1	Finding	Required Rectification(s)
	<p>The RTO provided evidence of a systematic system that collects, analyses and acts on relevant data for continuous improvement of training and assessment.</p> <p>The RTO provided examples of how they collect and analyse data from student surveys, however there is no evidence of actions being identified and implemented.</p> <p>The Quality Assurance policy and procedure mentions collecting data from various sources, such as surveys, complaints and appeals, assessment validation, and management meetings. However, it does not explicitly state how the data will be analysed to identify areas for improvement. While the RTO demonstrated a commitment to quality and had mechanisms in place to collect data from various sources such as student surveys, quality indicator surveys, complaints and appeals, and assessment validation, there was no clear provision for the systematic analysis of the collected data and a lack of actions from any data collected.</p>	<p>The RTO is required to provide evidence of recording the outcomes of analysis to identify and implement continuous improvement actions.</p>

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The RTO provided a Continuous improvement register. It only had 7 entries for 2021, 3 entries for 2022 and 2 entries so far for 2023.

The Quality Indicator report submitted for 2021 (submitted 07/06/2022) had a response rate of 29%. Where the form asked how the response data was used for continuous improvement, the RTO responded N/A.

With the new Child Safe Standards being implemented on January 1st 2023, there was no entries in the Continuous Improvement register related to improvements to policies, procedures or other documents.

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		
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> - TAS 50121 blended V3.0 March 2022 - TAS 40221 blended v2.0 Jan 2023 - Training and Assessment Strategy HLTAID009 V2 		
SF.1.2.1	Finding	Required Rectification(s)
CHC50121 Diploma of Early Childhood Education and Care		The RTO is required to review their Training and Assessment Strategy and provide more detail on their delivery schedule and the Amount of Training. The RTO is required to provide a more sufficient explanation on how they have determined the AoT identified in their Training and Assessment Strategies.
The RTO has training and assessment strategies that meet the requirements of the relevant Training Package and are developed in consultation with industry but lack sufficient detail around the amount of training. While the RTO has a delivery schedule, they would benefit from providing more detail about how the qualification is delivered and by what method. The RTO has not provided sufficient detail around the Amount of Training and explanations on how they have determined the AoT identified in their Training and Assessment Strategies.		
SF.1.2.2	Finding	Required Rectification(s)
CHC40221 Certificate IV in School Based Education Support		N/A
The RTO has training and assessment strategies that meet the requirements of the relevant Training Package and are developed in consultation with industry.		
SF.1.2.3	Finding	Required Rectification(s)
HLTAID009 Provide cardiopulmonary resuscitation.		The RTO is required to review their Training and Assessment Strategy and provide more detail on their delivery schedule and the Amount of Training.
The RTO has training and assessment strategies that meet the requirements of the relevant Training Package and are developed in consultation with industry but lack sufficient detail around the amount of training.		

While the RTO has a delivery schedule, they would benefit from providing more detail about how the qualification is delivered and by what method. The RTO has not provided sufficient detail around the Amount of Training and explanations on how they have determined the AoT identified in their Training and Assessment Strategies.	The RTO is required to provide a more sufficient explanation on how they have determined the AoT identified in their Training and Assessment Strategies.
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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.		Compliant
Evidence/Documentation Reviewed		
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • CHC30121 and CHC50121 SWTS-physical_resource_register V1.0 February 2022 • CHCEDS056 V1.0 December 2022 • CHCPRT001 PowerPoint slides V1.0 March 2023 • HLTAID009, HLTAID011 & HLTAID012 Powerpoint V1 • Resource HLTAID009 • Resources -classroom -SWTS • SWTS-physical_resource_register 2023 • SWTS-physical_resource_register CHC40221 V1.1 Jul 2022 • Statutory declaration physical resources RTO ID -21403 		
SF.1.3.1	Finding	Required Rectification(s)
	Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package and the RTO's own training and assessment strategies. The RTO has provided a Statutory declaration for the physical resources as the audit was conducted via remote desktop.	N/A

<p>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>		Compliant
Evidence/Documentation Reviewed		
<p>Detail of evidence reviewed relating to findings</p> <p>Trainer files for:</p> <ul style="list-style-type: none"> • Harleen Kaur • Jyoti Arora • Rasika Glewis • Reshmi Mazumdar • Sadaf Samson 		
SF.1.4.1	Finding	Required Rectification(s)
	<p>A review of the trainer and assessor files found that all trainers and assessors have the necessary training and assessment competencies and relevant vocational competencies at least to the level being delivered or assessed.</p> <p>The RTO demonstrated a strong commitment to ensuring trainers and assessors maintained their industry currency and participated in professional development.</p> <p>All staff had WWCC which was consistent with their Child Safe Standards Policy and procedure</p>	<p>N/A</p>

<p>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL): a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated.</p>	<p>Non-Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Detail of evidence reviewed relating to findings Assessment tools for the following units of competency https://swts.learnlogin.com/</p> <p>CHC50121 Diploma of Early Childhood Education and Care</p> <p>CHCECE042</p> <ul style="list-style-type: none"> - Knowledge assessment (online) - CHCECE042 Placement task <p>CHCECE050</p> <ul style="list-style-type: none"> - Knowledge assessment (online) - CHCECE050 Placement task <p>CHC40221 Certificate IV in School Based Education Support</p> <p>CHCEDS056</p> <ul style="list-style-type: none"> - Knowledge assessment (online) - CHCEDS056 placement task <p>CHCPRT001</p> <ul style="list-style-type: none"> - Knowledge assessment (online) - CHCPRT001 placement task 	

<p>HLTAID009 Provide cardiopulmonary resuscitation</p> <ul style="list-style-type: none"> - Knowledge assessment online. - Performance Tasks (x 4) <p>Validation Schedule CHC40221 CHC30121 CHC50121</p>	
SF.1.5.1 Finding	Required Rectification(s)
<p>CHCECE042 Foster holistic early childhood learning, development and wellbeing</p> <p>The Assessment does not meet the requirements of the Training Package. The knowledge requirements and performance evidence are not sufficiently covered in the knowledge assessment and the practical placement requirements.</p> <p>The assessment methods used do not adhere to the principles of assessment and the rules of evidence.</p> <p>The assessments lack validity as they do not accurately measure the intended learning outcomes and fail to provide a comprehensive evaluation of the students' knowledge and skills. The assessments lack reliability, as they do not have benchmark answers for the performance evidence to allow the assessor to consistently produce consistent results when administered to different students or across multiple assessors.</p> <p>Furthermore, as the assessments do not cover all the requirements of the training package, they do not adhere to the rules of evidence, as they do not provide sufficient and reliable evidence to support the assessment decision of competency.</p> <p>The RTO did not provide an assessment summary report to ensure the student has completed all the assessment tasks before being marked as competency. Particularly as a number of units are clustered, this system is important to ensure students are not accidentally awarded competency before meeting the requirements.</p>	<p>Amended from draft report</p> <p>The RTO is required to provide evidence of assessment tools that meet adhere to the principles of assessment and the rules of evidence.</p> <p>The RTO is required to provide evidence of an assessment system to ensure students are not accidentally awarded competency before meeting the requirements.</p>
SF.1.5.2 Finding	Required Rectification(s)
<p>CHCECE050 Work in partnership with children's families.</p>	<p>Amended from draft report</p>

<p>The Assessment does not meet the requirements of the Training Package. The knowledge requirements and performance evidence are not sufficiently covered in the knowledge assessment and the practical placement requirements.</p> <p>The assessment methods used do not adhere to the principles of assessment and the rules of evidence.</p> <p>The assessments lack validity as they do not accurately measure the intended learning outcomes and fail to provide a comprehensive evaluation of the students' knowledge and skills. The assessments lack reliability, as they do not have benchmark answers for the performance evidence to allow the assessor to consistently produce consistent results when administered to different students or across multiple assessors.</p> <p>Furthermore, as the assessments do not cover all the requirements of the training package, they do not adhere to the rules of evidence, as they do not provide sufficient and reliable evidence to support the assessment decision of competency.</p> <p>The RTO did not provide an assessment summary report to ensure the student has completed all the assessment tasks before being marked as competency. Particularly as a number of units are clustered, this system is important to ensure students are not accidentally awarded competency before meeting the requirements.</p>	<p>The RTO is required to provide evidence of assessment tools that meet adhere to the principles of assessment and the rules of evidence.</p> <p>The RTO is required to provide evidence of an assessment system to ensure students are not accidentally awarded competency before meeting the requirements.</p>
<p>SF.1.5.3 Finding</p>	<p>Required Rectification(s)</p>
<p>CHCPR001 Identify and respond to children and young people at risk</p> <p>The Assessment does not meet the requirements of the Training Package. The knowledge requirements and performance evidence are not sufficiently covered in the knowledge assessment and the practical placement requirements.</p> <p>The assessment methods used do not adhere to the principles of assessment and the rules of evidence.</p> <p>The assessments lack validity as they do not accurately measure the intended learning outcomes and fail to provide a comprehensive evaluation of the students' knowledge and skills. The assessments lack reliability, as they do not have benchmark answers for the performance evidence to allow the assessor to consistently produce consistent results when administered to different students or across multiple assessors.</p>	<p>Amended from draft report</p> <p>The RTO is required to provide evidence of assessment tools that meet adhere to the principles of assessment and the rules of evidence.</p> <p>The RTO is required to provide evidence of an assessment system to ensure students are not accidentally awarded competency before meeting the requirements.</p>

<p>Furthermore, as the assessments do not cover all the requirements of the training package, they do not adhere to the rules of evidence, as they do not provide sufficient and reliable evidence to support the assessment decision of competency.</p> <p>The RTO did not provide an assessment summary report to ensure the student has completed all the assessment tasks before being marked as competency. Particularly as a number of units are clustered, this system is important to ensure students are not accidentally awarded competency before meeting the requirements.</p>	
<p>SF.1.5.4 Finding</p>	<p>Required Rectification(s)</p>
<p>CHCEDS056 Provide support to students with autism spectrum disorder.</p> <p>The Assessment does not meet the requirements of the Training Package. The knowledge requirements and performance evidence are not sufficiently covered in the knowledge assessment and the practical placement requirements.</p> <p>The assessment methods used do not adhere to the principles of assessment and the rules of evidence.</p> <p>The assessments lack validity as they do not accurately measure the intended learning outcomes and fail to provide a comprehensive evaluation of the students' knowledge and skills. The assessments lack reliability, as they do not have benchmark answers for the performance evidence to allow the assessor to consistently produce consistent results when administered to different students or across multiple assessors.</p> <p>Furthermore, as the assessments do not cover all the requirements of the training package, they do not adhere to the rules of evidence, as they do not provide sufficient and reliable evidence to support the assessment decision of competency.</p> <p>The RTO did not provide an assessment summary report to ensure the student has completed all the assessment tasks before being marked as competency. Particularly as a number of units are clustered, this system is important to ensure students are not accidentally awarded competency before meeting the requirements.</p>	<p>Amended from draft report</p> <p>The RTO is required to provide evidence of assessment tools that meet adhere to the principles of assessment and the rules of evidence.</p> <p>The RTO is required to provide evidence of an assessment system to ensure students are not accidentally awarded competency before meeting the requirements.</p>
<p>SF.1.5.5 Finding</p>	<p>Required Rectification(s)</p>
<p>HLTAID009 Provide cardiopulmonary resuscitation.</p>	<p>Amended from draft report</p>

<p>The Assessment does not meet the requirements of the Training Package. The knowledge requirements and performance evidence are not sufficiently covered in the knowledge assessment and the practical placement requirements.</p> <p>The assessment methods used do not adhere to the principles of assessment and the rules of evidence.</p> <p>The assessments lack validity as they do not accurately measure the intended learning outcomes and fail to provide a comprehensive evaluation of the students' knowledge and skills. The assessments lack reliability, as they do not have sufficient instructions and benchmark answers for the performance evidence to allow the assessor to consistently produce consistent results when administered to different students or across multiple assessors.</p> <p>Furthermore, as the assessments do not cover all the requirements of the training package, they do not adhere to the rules of evidence, as they do not provide sufficient and reliable evidence to support the assessment decision of competency.</p> <p>All assessment for this unit of competency can be marked online, therefore the RTO can establish if the student has met all the requirements before marking them competent.</p>	<p>The RTO is required to provide evidence of assessment tools that meet adhere to the principles of assessment and the rules of evidence.</p>
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2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.		Compliant
Evidence/Documentation Reviewed		
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • RTO Staff Handbook V1.0 January 2023 • Staff Induction Checklist V1.0 January 2023 • Student Handbook, January 2023 • SWTS-Computer Literacy test V2 April 2021 • SWTS-SC-6.3.1LLN Indicator Assessment CHC October 2022 • SWTS-SC6.20-VTG - Pre-Training Review Form V1.0 May 2023 		
SF.2.1.1	Finding	Required Rectification(s)
	<p>The RTO establishes the needs of clients and delivers services to meet these needs.</p> <p>The RTO has implemented a comprehensive pre-training review process to comply with the requirement of establishing the needs of clients and delivering services to meet these needs. The RTO's pre-training review process is designed to gather essential information about prospective learners, including their existing skills, knowledge, experience, and career goals.</p>	N/A

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Non-Compliant
Evidence/Documentation Reviewed		
<p>Detail of evidence reviewed relating to findings</p> <ul style="list-style-type: none"> • Feedback form • Feedback improvements • Completed student evaluations. • Completed AQTF learner questionnaire. • SWTS-CG3-Skills first - Quality Assurance P&P V1.0 • SWTS- CG3 3 - Continuous Improvement Register V1 1 		
SF.2.2.1	Finding	Required Rectification(s)
	<p>The RTO does not have evidence of a systematic system that collects, analyses and acts on relevant data for continuous improvement of client services.</p> <p>The Quality Assurance policy and procedure mentions collecting data from various sources, such as surveys, complaints and appeals, assessment validation, and management meetings. However, it does not explicitly state how the data will be analysed to identify areas for improvement. While the RTO demonstrated a commitment to quality and had mechanisms in place to collect data from various sources such as student surveys, quality indicator surveys, complaints and appeals, and assessment validation, there was no clear provision for the systematic analysis of the collected data and a lack of actions from any data collected.</p> <p>The RTO provided a Continuous improvement register. It only had 7 entries for 2021, 3 entries for 2022 and 2 entries so far for 2023.</p> <p>The Quality Indicator report submitted for 2021 (submitted 07/06/2022) had a response rate of 29%. Where the form asked how the response data was used for continuous improvement, the RTO responded N/A.</p>	<p>The RTO is required to provide evidence of a systematic system that collects, analyses and acts on relevant data for continuous improvement of client services.</p>

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		
<p>Detail of evidence reviewed relating to findings</p> <ul style="list-style-type: none"> • RTO Staff Handbook V1.0 January 2023 • Staff Induction Checklist V1.0 January 2023 • Student Handbook, January 2023 • SWTS-Computer Literacy test V2 April 2021 • SWTS-SC-6.3.1LLN Indicator Assessment CHC October 2022 • SWTS-SC6.20-VTG - Pre-Training Review Form V1.0 May 2023 • CHC40221 - Certificate IV in School Based Education Support V2 February 2023 • CHC50121 Diploma of ECEC V3 February 2023 		
SF.2.3.1	Finding	Required Rectification(s)
	<p>The RTO ensures that before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.</p> <p>The RTO ensures that clients are informed about the training, assessment, and support services to be provided, as well as their rights and obligations, before enrolling or entering into an agreement. The RTO's marketing information clearly distinguishes between non-recognized training and nationally recognized training, providing accurate and factual information about the courses, units, and qualifications delivered. The marketing materials include the full name and code of the relevant training product, ensuring transparency and clarity for clients regarding the intended outcomes of the training. Additionally, the RTO's procedures highlight the importance of providing comprehensive information to clients, including details about fees, potential debts, and any loss of entitlement. The RTO's commitment to consumer protection is evident through its cooling-off period, clear and detailed fees and refund policies, and the availability of a complaints and appeals process. These policies and procedures demonstrate the RTO's compliance with informing clients about the training, assessment, support services, and their rights and obligations prior to enrolment or agreement.</p>	N/A

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
Evidence/Documentation Reviewed	

2.5 - Learners receive training, assessment and support services that meet their individual needs.	Compliant
Evidence/Documentation Reviewed	
Detail of evidence reviewed relating to findings. <ul style="list-style-type: none"> • RTO Staff Handbook V1.0 January 2023 • Staff Induction Checklist V1.0 January 2023 • Student Handbook, January 2023 • SWTS-Computer Literacy test V2 April 2021 • SWTS-SC-6.3.1LLN Indicator Assessment CHC October 2022 • SWTS-SC6.20-VTG - Pre-Training Review Form V1.0 May 2023 • CHC40221 - Certificate IV in School Based Education Support V2 February 2023 • CHC50121 Diploma of ECEC V3 February 2023 	
SF.2.5.1 Finding	Required Rectification(s)
The RTO ensures learners receive training, assessment and support services that meet their individual needs. The RTO conducts a pre-training interview with students during the enrolment process. This interview allows for a comprehensive assessment of the student's needs and helps in determining the appropriate support services required.	N/A

2.6 - Learners have timely access to current and accurate records of their participation and progress.		Compliant
Evidence/Documentation Reviewed		
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • SWTS Operational Procedure -Records Management-V1.0 March 2023 • Student Handbook, January 2023 		
SF.2.6.1	Finding	Required Rectification(s)
The RTO ensures learners have timely access to current and accurate records of their participation and progress. The RTO demonstrates efforts to ensure learners have timely access to current and accurate records of their participation and progress. The policy outlines the types of records maintained by the RTO, including participant results, attendance records, qualification certificates, completed assessment resources, administrative records, student files, RTO management records, and staff records		N/A
2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.		Compliant
Evidence/Documentation Reviewed		
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • SWTS SC4-Skills first - Complaints and Appeals P&P V2.0 March 2023 		
SF.2.7.1	Finding	Required Rectification(s)
The RTO has appropriate mechanisms and services in place for learners to have complaints and appeals addressed efficiently and effectively. The policy demonstrates clear procedures, timeframes, principles of resolution, and avenues for external complaints, ensuring fairness, transparency, and the opportunity for all parties to be heard.		N/A

3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.		Compliant
Evidence/Documentation Reviewed		
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • RTO Staff Handbook V1.0 January 2023 • Staff Induction Checklist V1.0 January 2023 • Student Handbook, January 2023 • SWTS-Computer Literacy test V2 April 2021 • SWTS-SC-6.3.1LLN Indicator Assessment CHC October 2022 • SWTS-SC6.20-VTG - Pre-Training Review Form V1.0 May 2023 • CHC40221 - Certificate IV in School Based Education Support V2 February 2023 • CHC50121 Diploma of ECEC V3 February 2023 		
SF.3.1.1	Finding	Required Rectification(s)
	The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.	N/A

3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.		Non-Compliant
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • Feedback form • Feedback improvements • Completed student evaluations. • Completed AQTF learner questionnaire. • SWTS-CG3-Skills first - Quality Assurance P&P V1.0 • SWTS- CG3 3 - Continuous Improvement Register V1 1 		
SF.3.2.1	Finding	Required Rectification(s)

<p>Amended from draft report (typo)</p> <p>The RTO does not have evidence of a systematic system that collects, analyses and acts on relevant data for continuous improvement of management of operations.</p> <p>The Quality Assurance policy and procedure mentions collecting data from various sources, such as surveys, complaints and appeals, assessment validation, and management meetings. However, it does not explicitly state how the data will be analysed to identify areas for improvement. While the RTO demonstrated a commitment to quality and had mechanisms in place to collect data from various sources such as student surveys, quality indicator surveys, complaints and appeals, and assessment validation, there was no clear provision for the systematic analysis of the collected data and a lack of actions from any data collected.</p> <p>The RTO provided a Continuous improvement register. It only had 7 entries for 2021, 3 entries for 2022 and 2 entries so far for 2023.</p> <p>The Quality Indicator report submitted for 2021 (submitted 07/06/2022) had a response rate of 29%. Where the form asked how the response data was used for continuous improvement, the RTO responded N/A.</p>	<p>The RTO is required to provide evidence of a systematic system that collects, analyses and acts on relevant data for continuous improvement of management of operations.</p>
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<p>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.</p>	<p>Not Audited</p>
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<p>3.4 - The RTO manages records to ensure their accuracy and integrity.</p> <p>Detail of evidence reviewed relating to findings</p> <ul style="list-style-type: none"> • RTO Staff Handbook V1.0 January 2023 • Staff Induction Checklist V1.0 January 2023 • Student Handbook, January 2023 • SWTS-Computer Literacy test V2 April 2021 	<p>Non-Compliant</p>
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Audit Date: May 17th – June 5th 2023

RTO: 21403 South West Training Services Pty Ltd

- SWTS-SC-6.3.1LLN Indicator Assessment CHC October 2022
- SWTS-SC6.20-VTG - Pre-Training Review Form V1.0 May 2023
- CHC40221 - Certificate IV in School Based Education Support V2 February 2023
- CHC50121 Diploma of ECEC V3 February 2023
- Feedback form
- Feedback improvements
- Completed student evaluations.
- Completed AQTF learner questionnaire.
- SWTS-CG3-Skills first - Quality Assurance P&P V1.0
- SWTS- CG3 3 - Continuous Improvement Register V1 1

SF.3.4.1	Finding	Required Rectification(s)
	<p>The RTO has not demonstrated that they manage records to ensure their accuracy and integrity.</p> <p>While the RTO has strong management for student records, their continuous improvement framework lacks detail and consistency.</p>	<p>The RTO is required to demonstrate how they manage records to ensure their accuracy and integrity, specifically around recording continuous improvement outcomes.</p>

Detailed Findings – 2016 VRQA Guidelines for VET Providers

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

**Not Audited in
Phase 2 audit**

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

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

**Not audited in
Phase 2 audit**

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

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

- a) management information including:
 - I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds)
 - II. a physical address of the company in Victoria for the purposes of serving notices
 - III. details of the directors, CEO/PEO and senior management members 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**

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

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

GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:		Compliant
<ul style="list-style-type: none"> 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. <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		
Refer to Standard 1.4		
GF 3.1.1	Finding	Required Rectification(s)
All Trainer and Assessors have the necessary vocational competencies and current industry skills relevant to the training and assessing.		N/A

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
Refer to Standard 1.4		
GF 3.2.1	Finding	Required Rectification(s)
All Trainer and Assessors have the necessary training and assessment competencies as determined by the National Quality Council or its successors and relevant vocational competencies at least to the level being delivered or assessed.		N/A

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

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.		Non-Compliant
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> Refer to Standard 1.2 		
GF 4.1.1	Finding	Required Rectification(s)
<p>The RTO has training and assessment strategies that meet the requirements of the relevant Training Package and are developed in consultation with industry but lack sufficient detail around the amount of training.</p> <p>While the RTO has a delivery schedule, they would benefit from providing more detail about how the qualification is delivered and by what method. The RTO has not provided sufficient detail around the Amount of Training and explanations on how they have determined the AoT identified in their Training and Assessment Strategies.</p>		<p>The RTO is required to review their Training and Assessment Strategy and provide more detail on their delivery schedule and the Amount of Training.</p> <p>The RTO is required to provide a more sufficient explanation on how they have determined the AoT identified in their Training and Assessment Strategies.</p>

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:		Non-Compliant
<ul style="list-style-type: none"> 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. 		
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> Refer to standard 1.2 		
GF 4.2.1	Finding	Required Rectification(s)
<p>The RTO has training and assessment strategies that meet the requirements of the relevant Training Package and are developed in consultation with industry but lack sufficient detail around the amount of training.</p>		<p>The RTO is required to review their Training and Assessment Strategy and provide more detail on their delivery schedule and the Amount of Training.</p>

While the RTO has a delivery schedule, they would benefit from providing more detail about how the qualification is delivered and by what method. The RTO has not provided sufficient detail around the Amount of Training and explanations on how they have determined the AoT identified in their Training and Assessment Strategies.	The RTO is required to provide a more sufficient explanation on how they have determined the AoT identified in their Training and Assessment Strategies.
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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
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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
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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
<ul style="list-style-type: none"> a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or b) 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
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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
<ul style="list-style-type: none"> a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and 	

- b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3.

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

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

Not Audited

GUIDELINE 6.1 - Organisations establish a culturally safe environment in which the diverse and unique identities and experiences of Aboriginal children and young people are respected and valued		Non-Compliant
Detail of evidence reviewed relating to findings		
<ul style="list-style-type: none"> SWTS - Child Safe Standard Policy Procedures 		
GF 6.1	Finding	Required Rectification(s)
	<p>The RTO has a Child Safe Standards Policy that references the RTO's committed to cultural safety and inclusion. While the policy demonstrates a commitment to cultural safety and inclusion, it does not explicitly mention Aboriginal culture or the promotion of Aboriginal cultural rights and expression. It does not provide information about a professional development plan specifically related to Aboriginal culture or consultation with local Aboriginal organizations. Additionally, while the policy mentions the participation of children and their families, it does not specifically mention the participation of Aboriginal children and their families.</p> <p>There was no evidence the RTO has consulted with local aboriginal organisation(s) to inform these strategies and its culturally safe practices.</p>	<p>The RTO is required to submit evidence that it has consulted with local aboriginal organisation(s) to inform its culturally safe practices.</p>
GUIDELINE 6.2 - Child safety and wellbeing is embedded in organisational leadership, governance and culture		Non-Compliant
Detail of evidence reviewed relating to findings		
<ul style="list-style-type: none"> SWTS - Child Safe Standard Policy Procedures 		
GF 6.2	Finding	Required Rectification(s)
	<p>The RTO has a Child Safe Standard Policy. Staff are made aware of their obligations through employee induction, staff meetings and the employee handbook.</p>	<p>The RTO is required to identify the management strategies aimed at preventing, identifying, and mitigating risks to children and young people.</p>

<p>The RTO has not identified the management strategies aimed at preventing, identifying, and mitigating risks to children and young people.</p> <p>The RTO has not specified a Child Safety expert or a designated point of contact for staff and volunteers.</p>	<p>The RTO is required to identify a designated CSS point of contact for staff and volunteers.</p>
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GUIDELINE 6.3 - Children and young people are empowered about their rights, participate in decisions affecting them and are taken seriously		Non-Compliant
<p>Detail of evidence reviewed relating to findings</p> <ul style="list-style-type: none"> • SWTS - Child Safe Standard Policy Procedures 		
GF 6.3	Finding	Required Rectification(s)
<p>Amended from draft report</p> <p>The RTO's Child Safe Standard Policy does not explicitly mention how young people are informed of their rights or encouraged to engage in RTO decisions that affect them. It only mentions the involvement of parents/guardians during the enrolment process.</p> <p>The policy does not mention the provision of sexual abuse prevention programs specifically. While it emphasizes the safety and wellbeing of children, it does not address the implementation of specific prevention programs related to sexual abuse.</p>		<p>Amended from draft report</p> <p>The RTO is required to address how they provide access to sexual abuse prevention programs for students.</p>

GUIDELINE 6.4 - Families and communities are informed, and involved in promoting child safety and wellbeing		Non-Compliant
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • SWTS - Child Safe Standard Policy Procedures 		
GF 6.4	Finding	Required Rectification(s)
	<p>The RTO ensures families participate in decisions affecting their children by having them present during the enrolment process.</p> <p>The Child Safe Standard Policy mentions maintaining a close relationship with the student's parent/guardian and welcoming their feedback. However, it does not provide specific details on how the organisation engages and openly communicates with families and the community about its child safe approach.</p> <p>The policy does not mention the involvement of families and communities in the development and review of the organisation's policies and practices. While it mentions welcoming parent/guardian feedback, it does not provide information on formal mechanisms or processes for soliciting and incorporating input from families and communities.</p> <p>The policy does not provide explicit information on how families, carers, and the community are informed about the organisation's operations and governance. While it mentions maintaining a close relationship with the student's parent/guardian and welcoming their feedback, it does not address the broader communication and transparency practices related to the organisation's operations and governance</p>	<p>The RTO is required to demonstrate how they Actively involve families in decision-making processes by providing opportunities for their input and involvement in shaping policies and practices.</p> <p>The RTO is required to demonstrate how they provide updates and notifications regarding child safety measures, policies, and any changes or improvements implemented by the RTO.</p>

GUIDELINE 6.5 - Equity is upheld and diverse needs respected in policy and practice		Non-Compliant
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • SWTS - Child Safe Standard Policy Procedures 		

GF 6.5	Finding	Required Rectification(s)
	<p>The RTO has not demonstrated how the organisation, including staff and volunteers, understands children and young people's diverse circumstances, and provides support and responds to those who are vulnerable.</p> <p>The RTO ensures children and young people have access to information, support and complaints processes in ways that are culturally safe, accessible and easy to understand.</p> <p>The RTO has not demonstrated how it attends to the needs of children and young people with disability, children and young people from culturally and linguistically diverse backgrounds, those who are unable to live at home, and lesbian, gay, bisexual, transgender and intersex children and young people.</p> <p>The RTO has not demonstrated how it attends to the needs of Aboriginal children and young people and provides or promotes a culturally safe environment for them.</p>	<p>The RTO is required to update its policy and/or procedure to detail how the RTO demonstrates that it is engaged with young people's diverse circumstances, provides support and responds to the needs of the vulnerable, including, but not limited to, mechanisms for a student voice that ensure students feel supported and confident to speak up.</p> <p>The RTO is required to provide evidence of undertaking professional development to include training on the needs of CALD, LGBTQIA+, and young people in out-of-home care.</p> <p>The RTO must provide their RTO Code of Conduct and ensure the equity of CALD, LGBTQIA+, and young people in out-of-home care.</p>

GUIDELINE 6.6 - People working with children and young people are suitable and supported to reflect child safety and wellbeing values in practice	Compliant
<p>Detail of evidence reviewed relating to findings</p> <ul style="list-style-type: none"> • SWTS - Child Safe Standard Policy Procedures • Staff and Director files (WWCC) 	
GF 6.6	Required Rectification(s)

<p>The RTO ensures staff and volunteer pre-employment screening, emphasise child safety and wellbeing. The RTO also ensures relevant staff and volunteers have current working with children checks or equivalent background checks.</p> <p>The RTO has an induction process to ensure all staff and volunteers receive appropriate induction and are aware of their responsibilities to children and young people, including record keeping, information sharing and reporting obligations.</p>	<p>N/A</p>
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GUIDELINE 6.7 - Processes for complaints and concerns are child focused		Compliant
<p>Detail of evidence reviewed relating to findings</p> <ul style="list-style-type: none"> • SWTS - Child Safe Standard Policy Procedures • SWTS Complaints handling procedure. 		
GF 6.7	Finding	Required Rectification(s)
	<p>The RTO has an accessible, child focused complaint handling policy which clearly outlines the roles and responsibilities of leadership, staff and volunteers, approaches to dealing with different types of complaints, breaches of relevant policies or the Code of Conduct and obligations to act and report.</p> <p>The RTO has policies and procedures in place that address reporting of complaints and concerns to relevant authorities, whether or not the law requires reporting, and co-operates with law enforcement.</p>	<ul style="list-style-type: none"> • N/A

GUIDELINE 6.8 - Staff and volunteers are equipped with the knowledge, skills and awareness to keep children and young people safe through ongoing education and training		Non-Compliant
Detail of evidence reviewed relating to findings		
<ul style="list-style-type: none"> SWTS - Child Safe Standard Policy Procedures 		
GF 6.8	Finding	Required Rectification(s)
	<p>The RTO provides information about the Child Safe Standards to students and staff through the student handbook and staff handbook respectively.</p> <p>While the Child Safe Standard policy mentions that trainers must take regular professional development activities to enhance their knowledge of working with young students, it does not explicitly mention training and information on building culturally safe environments for children and young people. There is also no evidence of staff undertaking training, nor is there professional development plans with Child Safe relevant training scheduled.</p>	<p>The RTO is required to demonstrate how staff and volunteers receive training and information to recognise indicators of child harm including harm caused by other children and young people.</p>

GUIDELINE 6.9 - Physical and online environments promote safety and wellbeing while minimising the opportunity for children and young people to be harmed		Non-Compliant
Detail of evidence reviewed relating to findings		
<ul style="list-style-type: none"> SWTS - Child Safe Standard Policy Procedures 		
GF 6.9	Finding	Required Rectification(s)
	<p>The RTO did not demonstrate how they identify and mitigate risks in the online and physical environments without compromising a child's right to privacy, access to information, social connections and learning opportunities.</p> <p>The RTO did not provide any risk management plans to demonstrate that they considered risks posed by organisational settings, activities, and the physical environment.</p>	<p>The RTO is required to demonstrate how they identify and mitigate risks in the online and physical environments without compromising a child's right to privacy, access to information, social connections and learning opportunities.</p>

	The RTO is required to provide any risk management plans to demonstrate that they considered risks posed by organisational settings, activities, and the physical environment.
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GUIDELINE 6.10 - Implementation of the Child Safe Standards is regularly reviewed and improved		Non-Compliant
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • SWTS - Child Safe Standard Policy Procedures 		
GF 6.10	Finding	Required Rectification(s)
	<p>The RTO has not demonstrated how it regularly reviews, evaluates and improves child safe practices through its continuous improvement framework.</p> <p>The policy does not mention a specific process for analysing complaints, concerns, and safety incidents to identify causes and systemic failures.</p>	<p>The RTO is required to demonstrate how it regularly reviews, evaluates and improves child safe practices through its continuous improvement framework.</p>

GUIDELINE 6.11 - Policies and procedures document how the organisation is safe for children and young people		Non-Compliant
Detail of evidence reviewed relating to findings <ul style="list-style-type: none"> • SWTS - Child Safe Standard Policy Procedures 		
GF 6.11	Finding	Required Rectification(s)

<p>The RTO has documented policies and procedures in place; however, they do not address all the Child Safe Standards.</p>	<p>The RTO is required to demonstrate that their Child Safe Policy and procedure covers all the requirements of the Child Safe Standards.</p> <p>The RTO must demonstrate that the development and continuous improvement of child safe policies, procedures, and practices is informed by professional development, research, and/or consultation and has a process in place to verify that staff and volunteers understand and are implementing child safety practices</p>
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