



Australian Government
Australian Skills Quality Authority

REPORT

Audit report: Qld Small Business Courses Pty Ltd

Date of audit: 22/05/2018

Date report updated: 18/09/2017

Organisation details

Organisation's legal name:	Qld Small Business Courses Pty Ltd
Trading name/s:	Landscape Skills Qld Small Business Courses
RTO number:	41456
CRICOS number:	N/A

Audit team

Lead auditor:	Pauline Bowtell
Assistant/s:	Madelain McCann , Stephen Murphy (Evidence analysis)

Audit details

Application number/s:	N/A	
Audit number:	AUDREC0008193	
Audit reason	Post initial	
Address of site/s visited:	3/99 Brighton Rd, Sandgate QLD 4017	
Date/s of audit:	22/05/2018	
Organisation's contact for audit:	Mr Matthew Rawlinson matt@qsb.edu.au	Chief Executive Officer 0407 541 906

Original finding at time of audit

Audit finding: Critical non-compliance

Report completed by: Pauline Bowtell

Practice	Standards for RTOs 2015	Finding
Marketing/ Recruitment	4.1	Not compliant
Enrolment	5.1, 5.3	Compliant
	5.2	Not compliant
	7.3	Not audited
Support and Progression	1.7	Compliant
Training and Assessment	1.3, 1.13, 1.14, 1.16	Compliant
	1.1, 1.2, 1.8	Not compliant
	1.15, 1.17, 1.18, 1.20	Not audited
Completion	3.1	Not compliant
Regulatory Compliance / Governance	2.3, 2.4, 8.2	Not audited

Audit finding following analysis of additional evidence

Audit finding following analysis of additional evidence provided on 23/08/2018 : Compliant

Report completed by: Pauline Bowtell

Practice	Standards for RTOs 2015	Finding
Marketing/Recruitment	4.1	Compliant
Enrolment	5.2	Compliant
Training and Assessment	1.1, 1.2 and 1.8	Compliant
Completion	3.1	Compliant

Background

Summary of organisation and management structure:

- The organisation's structure includes the CEO, a Compliance Officer, an Administration/Support Officer (offshore) and five Trainers/Assessor's.
- The RTO gained initial registration in March 2016 for two BSB qualifications. Since gaining registration it has expanded its scope of registration via eight addition to scope applications to now include products from the AHC,MSM, RII and TLI Training Packages.

Scope of registration:

AHC10116 Certificate I in Conservation and Land Management

AHC30116 Certificate III in Agriculture

AHC30616 Certificate III in Production Horticulture

AHC30716 Certificate III in Horticulture

AHC30916 Certificate III in Landscape Construction

AHC31016 Certificate III in Parks and Gardens

AHC31116 Certificate III in Production Nursery

AHC32816 Certificate III in Rural Operations

MSM30116 Certificate III in Process Manufacturing

RII30815 Certificate III in Civil Construction Plant Operations

RII40715 Certificate IV in Civil Construction Supervision

AHCBUS506 Develop and review a business plan

AHCBUS507 Monitor and review business performance

AHCBUS509 Develop and implement business structures and relationships

BSBR501 Manage risk

BSBSMB401 Establish legal and risk management requirements of small business

TLILIC2001 Licence to operate a forklift truck

Suburb and state of all delivery locations:

- Workplace delivery.

Third party usage:

- The provider does not engage any third parties.

Core clients/target groups:

- Existing employees
- New entrants
- Trainees/Apprentices.

Training Revenue (Funded or fee for service):

- Construction Skills Queensland (CSQ)
- Certificate III Guarantee
- Higher Level Skills (HLS)

- User Choice

Note: Funding accounts for 90% of the RTO's revenue.

Total number of current enrolments as at audit date:

- 423

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 Qld Small Business Courses Pty Ltd to ASQA
- Existing information and records held by ASQA concerning Qld Small Business Courses Pty Ltd
- Information provided to ASQA's auditors and documentation reviewed during the site audit of Qld Small Business Courses Pty Ltd conducted on 22/05/2018.
- 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 / assessment*	Current enrolments
AHC30916	Certificate III in Landscape Construction	Workplace, Face to face, self-paced, on the job	144
AHC32816	Certificate III in Rural Operations	Workplace, Face to face, self-paced, on the job	184
RII30815	Certificate III in Civil Construction Plant Operations	Workplace, Face to face, self-paced, on the job	14
TLILIC2001	Licence to operate a forklift	Workplace, Face to face	2

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

Interviewees

Name	Position	Training products
Matthew Rawlinson	CEO	TLILIC2001
Wendy Owen	Compliance Officer	N/A

About this Report

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

Where non-compliance has been identified, the Registered Training 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

Original Action required by RTO

Qld Small Business Courses Pty Ltd did not meet all requirements for clauses 4.1, 5.2, 1.1, 1.2, 1.8 and 3.1.

Remedial action is required for the following training products:

AHC30916 Certificate III in Landscape Construction

AHC32816 Certificate III in Rural Operations

RII30815 Certificate III in Civil Construction Plan Operations

TLILIC2001 Licence to operate a forklift

The RTO is required to provide evidence that demonstrates:

Clause 4.1

- All information, whether disseminated directly by the RTO or on its behalf by third parties is now accurate and factual and addresses all of the requirements specified in Clause 4.1.
- The RTO has carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled who received marketing that was not accurate and factual. Remedial action needs to cover current students and students who enrolled with your training provider in the past 6 months.

Clause 5.2

- The RTO now has appropriate systems that are followed to ensure each learner is provided with accurate information to enable them to make an informed decision about undertaking training with your RTO that complies with Clause 5.2.
- The RTO has carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were not enrolled in an appropriate training product. Remedial action needs to cover current students and students who enrolled with your training provider in the past 6 months.

Clause 1.1 & 1.2

- The RTO has corrected its training and assessment practices for future students to ensure they meet the requirements of the training product, including the amount of training provided.
- The RTO carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were impacted by training and assessment practices that did not meet the requirements of the training product (including

amount of training). Remedial action needs to cover current students and students who enrolled or completed with your training provider in the past 6 months.

Clause 1.8

AHC30916 Certificate III in Landscape Construction

AHC32816 Certificate III in Rural Operations

AHCMOM304 Operate machinery and equipment

AHCLSC303 Construct brick and block structures and features

AHCWRK302 Monitor weather conditions

RII30815 Certificate III in Civil Construction Plan Operations

RIIMPO318E Conduct civil construction skid steer loader operations

AHCSAW201 Conduct erosion and sediment control activities

TLILIC2001 Licence to operate a forklift

- The RTO has corrected its assessment system (to comply with Clause 1.8) for future students and has systems in place to ensure it is this system that is applied.
- The RTO has carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were assessed in a manner that did not meet the requirements of Clause 1.8. Remedial action needs to cover current students and students who were assessed by your training provider in the past 6 months.

Clause 3.1

- The RTO now has appropriate systems that are followed to ensure AQF certification documentation is only issued to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training or VET accredited course.
- The RTO has carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were issued with AQF certification documentation and were not assessed as meeting the requirements of the training product as specified in the relevant training or VET accredited course. Remedial action needs to cover students issued with AQF certification in the past 6 months.

Audit finding following analysis of additional evidence

Following analysis of additional evidence provided by Qld Small Business Courses Pty Ltd on 23 August 2018 the RTO:

- provided sufficient evidence to demonstrate compliance with 1.1, 1.2, 1.8, 3.1, 4.1 and 5.2.

Refer to analysis of additional evidence detailed under each clause in this report for further information.

Areas of non-compliance

Marketing/Recruitment Practices

Standards for RTOs Clause 4.1

*Original Finding: **Not compliant***

*Finding following additional evidence: **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.

Findings:

The following evidence was reviewed:

- RTO websites:
 - <http://www.landscapeskills.edu.au/>
 - <http://qsbcc.edu.au/>

The RTOs marketing practices are not compliant with the requirements of Clause 4.1 of the Standards for RTOs 2015 as marketing is not accurate and factual in all cases.

Evidence of non-compliant marketing practices includes:

- Marketing material does not align to the training and assessment strategies provided. For example: Information regarding qualifications does not list the elective units of competency the RTO is able to deliver and therefore leaves it open for students/employers to pick any units of competency. This does not indicate what specific units of competency the RTO is resourced to deliver.

- The RTO does not distinguish where it is delivering training and assessment on behalf of another RTO (4.1 (f)).

Analysis of additional evidence:

The following additional evidence was provided:

- (Folder) - TAS
- (Folder) - Enrolment Packs
- Website_rectified screen shot.png
- Website_TP screen shot before.png
- Website TP Screenshot after.png
- EmailSentoPastandPresentStudents.pdf
- Email to WHS&S More Skills Students.pdf
- ReportonEmailtoStudents_030818.pdf
- C3G Student Fact Sheet.pdf
- Student Information Handbook.pdf

The evidence provided has addressed the non-compliance.

Enrolment

Standards for RTOs Clause 5.2

*Original Finding: **Not compliant***

*Finding following additional evidence: **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.

Findings:

The following evidence was reviewed:

- Example enrolment pack reviewed at audit – BG
- Enrolment pack

The RTOs enrolment practices are not compliant with the requirements of Clause 5.2 of the Standards for RTOs 2015 as the RTO does not provide, 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.

Evidence of non-compliance includes:

- The RTOs enrolment pack does not include or advise the student of the expected duration of the course, for example:
 - The RTOs C3G factsheet (Cert III Guarantee factsheet) is generic for all qualifications and states the *'timeline will vary from student to student depending on experience and availability to see trainers.'*
 - No evidence was provided to demonstrate how or when a student is advised of the expected duration for their completion of the qualification (Clause 5.2 b) (i)).

Analysis of additional evidence:

The following additional evidence was provided:

- (Folder) – Enrolment Packs
- (Folder) – TAS
- Student Information Handbook.pdf
- Enrolment Process.pdf
- Website_rectified screen shot.png
- EmailSenttoPastandPresentStudents.pdf
- ReportonEmailtoStudents_030818.pdf

The evidence provided has addressed the non-compliance

Training and Assessment

Training Delivery and Assessment

Standards for RTOs Clause 1.1

*Original Finding: **Not compliant***

*Finding following additional evidence: **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***

*Finding following additional evidence: **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.**

The following was reviewed in relation to training and assessment:

- Training and assessment strategies

The RTOs training and assessment practices are not compliant with the requirements of Clause 1.1 and 1.2 of the Standards for RTOs 2015.

AHC30916 Certificate III in Landscape Construction

AHC32816 Certificate III in Rural Operations

RII30815 Certificate III in Civil Construction Plan Operations

TLILIC2001 Licence to operate a forklift

Evidence of non-compliant practices includes:

For the purposes of Clause 1.1, the RTO has not sufficiently determined 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.

AHC32816 Certificate III in Rural Operations - generic

The strategy document states that:

- *“individual plans are created for each participant*
- *the qualification is typically scheduled over 1 and 24 months as it is a specialist qualification that builds on existing skills and knowledge*
- *the trainer will conduct at least 3 monthly visits, usually 2 hours per visit to meet the learner’s needs*
- *the Volume of Learning for this qualification is likely to be 40 hours of training and assessment time. This will vary on a case by case basis and will also depend on the clients. As they will be working in their business all day every day to get it up and running – that volume will be dependent on them and could be up to 4 hours a week over the 24 month period.*
- *The amount of training will also vary depending on the selection of units. This qualification allows for up to 8 units to be selected at different AQF levels, which effect the total volume of learning. All units and cohorts, are noted at the end of the TAS, which will help clients breakdown the required time. Clustered delivery may also reduce the VOL in the strategy. Where a more specific cohort is required, we will draft hours in GoogleDrive/MasterCohort, and attach as an addendum for such clients, to this Master TAS.”*

Section 10 identified four cohorts however, the cohorts are not explicitly described.

AHC32816 Certificate III in Rural Operations - Packing Floor Stream

The strategy document states that:

- *“individual plans are created for each participant*
- *the qualification is typically scheduled over 1 and 24 months as it is a specialist qualification that builds on existing skills and knowledge*
- *the trainer will conduct at least 3 monthly visits, usually 2 hours per visit to meet the learner’s needs.*

- *The Volume of Learning for this qualification is dependent on the student cohort, likely to be between 2 to 2400 hours of training and learning time. This will vary on a case by case basis and will also depend on the clients.*
- *The amount of training will also vary depending on the selection of units. This qualification allows for up to 8 units to be selected at different AQF levels, which effect the total volume of learning. All units and cohorts, are noted at the end of the TAS, which will help clients breakdown the required time. Clustered delivery may also reduce the VOL in the strategy. Where a more specific cohort is required, we will draft hours in GoogleDrive/MasterCohort, and attach as an addendum for such clients, to this Master TAS.”*

Section 10 identified four cohorts however, the cohorts are not explicitly described.

AHC32816 Certificate III in Rural Operations – Nursery System

The strategy document states that:

- *“individual plans are created for each participant*
- *the qualification is typically scheduled over 1 and 24 months as it is a specialist qualification that builds on existing skills and knowledge*
- *the trainer will conduct at least 3 monthly visits, usually 2 hours per visit to meet the learner’s needs.*
- *The Volume of Learning for this qualification is dependent on the student cohort, likely to be between 2 to 2400 hours of training and learning time. This will vary on a case by case basis and will also depend on the clients.*
- *The amount of training will also vary depending on the selection of units. This qualification allows for up to 8 units to be selected at different AQF levels, which effect the total volume of learning. All units and cohorts, are noted at the end of the TAS, which will help clients breakdown the required time. Clustered delivery may also reduce the VOL in the strategy. Where a more specific cohort is required, we will draft hours in GoogleDrive/MasterCohort, and attach as an addendum for such clients, to this Master TAS.”*

Section 10 identified four cohorts however, the cohorts are not explicitly described.

AHC30916 Certificate III in Landscape Construction

The strategy document states that:

- *“individual plans are created for each participant*
- *the qualification is typically scheduled over 1 and 24 months*
- *the trainer will conduct at least 3 monthly visits, usually 2 hours per visit to meet the learner’s needs.”*

Two cohorts are identified:

- *“Cohort 1 - fall within the AQF guidelines for Volume of Learning which is 1-2 years, with a year being estimated as 1200 learning hours.*
- *Cohort 2 - is significantly shorter than the AQF guidelines. The rationale behind this, is mainly due to the previous life/work experience of the learner and that they will have had an opportunity to have previously learnt some of the embedded skills and knowledge. Some of the units have also been clustered to reduce the estimated learning time.”*

Entry requirements:

- *“COHORT 1 - This qualification may be accessed by direct entry.*
- *COHORT 2 – The student must have participated in the RPL process and have more than two years experience in any workplace.”*

Whilst two cohorts are identified their existing skills, knowledge and experience and the mode of delivery are not sufficiently described. Consequently, the amount of training they provide to each learner could not be determined.

RII30815 Certificate III in Civil Construction Plan Operations

The strategy document states that:

- *“individual plans are created for each participant*
- *the qualification is typically scheduled over 24 months as it is a specialist qualification that builds on existing skills and knowledge*
- *the trainer will conduct at least 3 monthly visits, usually 2 hours per visit to meet the learner’s needs*
- *the Volume of Learning for this qualification is likely to be 40 hours of training and assessment time. This will vary on a case by case basis and will also depend on the clients. As they will be working in their business all day every day to get it up and running – that volume will be dependent on them and could be up to 4 hours a week over the 24 month period.*
- *the trainer will conduct at least 3 monthly visits, usually 2 hours per visit to meet the learner’s needs.”*

Section 10 identified two cohorts however, the cohorts are not explicitly described.

TLILIC2001 Licence to operate a forklift

The strategy document Section 2 states that “duration will vary depending on workplace”. The volume of learning (incorporating amount of training) is described in the training and assessment strategy for all student cohorts as:

- Self-paced reading – 12 hours
- Training by the RTO – induction 2 hours, training 2 hours
- Workplace logbook – 40 hours (subject to WHSQ guidelines).

It is also noted that *“from the initial meeting we will establish the amount of time needed for self-paced learning, one on one face to face learning and workplace learning.”*

Generally and for all training and assessment strategies reviewed:

- Durations provided are often very broad, for example between 1 and 24 months. It is not clear how the span of the duration then relates to each cohort. Furthermore, issues were identified in the RTO’s marketing and enrolment information regarding the information provided to students on course duration.
- The amount of training describes a range of delivery options however, they are not always applicable to each cohort.
- Where it states that trainer will conduct at least 3 monthly visits usually 2 hours per visit to meet the learner needs it is not clear how this actually occurs. For example where duration spans 1 -24 months how many times would these visits occur and consequently how does this correlate to section 10 and the volume of learning specified.
- The records for currently enrolled students in the above training products were reviewed to determine statements made in the strategies had been implemented and were supported by evidence. The practices of the RTO did not support the statements made in the training and assessment strategies.
- Furthermore, student records did not identify a specific cohort in conjunction with training and assessment strategies.

The evidence did not support how the RTO has determined the amount of training they provide to each learner with regard to their existing skills, knowledge and experience or the mode of delivery.

Analysis of additional evidence:

- AHC30916 Certificate III in Landscape Construction
- AHC32816 Certificate III in Rural Operations
- RII30815 Certificate III in Civil Construction Plan Operations
- TLILIC2001 Licence to operate a forklift

The following additional evidence was provided:

- (Folder) – Enrolment Packs
- (Folder) – TAS
- Student Information handbook.pdf

- Enrolment Process.pdf
- Website_rectified screen shot.png
- EmailSenttoPastandPresentStudents.pdf
- ReportonEmailtoStudents_030818.pdf

The evidence provided has addressed the non-compliance.

Standards for RTOs Clause 1.8

Original Finding: *Not compliant*

Finding following additional evidence: *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	The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. 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.
Flexibility	Assessment is flexible to the individual learner by: <ul style="list-style-type: none"> • reflecting the learner's needs; • assessing competencies held by the learner no matter how or where they have been acquired; and • 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.
Validity	Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires: <ul style="list-style-type: none"> • 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; • assessment of knowledge and skills is integrated with their practical application; • assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and • judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

Table 1.8.2 Rules of Evidence

Validity	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.
Sufficiency	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.

Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	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.

The RTOs practices are not compliant with the requirements of Clause 1.8 of the *Standards for RTOs 2015* as the RTO has not ensured it implements an assessment system that ensures that assessment (including recognition of prior learning):

- a) complies with the assessment requirements of the relevant training packages; 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.

AHC30916 Certificate III in Landscape Construction

AHC32816 Certificate III in Rural Operations

AHCMOM304 Operate machinery and equipment

Evidence reviewed:

- AHCMOM304 Assessment Tool
- AHCMOM304 Assessor Guide
- AHCMOM304 Learner Guide
- Completed student assessment –
 - AOK
 - BB
 - BG
 - CH
 - CA
 - DB
 - DE
 - JP
 - JB
 - NC
 - RG
 - RH
 - TD

Task one is a series of written questions. The answers against Question 2 for students RG, BG, DE and JB has been altered. The PDF includes a text box with a typed answer however, all other answers are handwritten. There is no explanation for the alteration of these answers in the tools by the assessor, student or RTO which raises issues on the validity and authenticity of the evidence. This was also similar to the assessment records for AOK and NC however, only the machinery/equipment column appears to be populated and the student has then completed the checked performed column in their own handwriting. For these two students an electronic text box has been added underneath the question stating “VQ with student for components of equipment” and it appears to have been initialled by the assessor.

Task one, Question 5 varies from the marking guide for the majority of student assessments. There is no explanation from the assessor regarding why the response provided by the student is still considered to be a satisfactory response.

Task three is a practical observation of the student undertaking an assigned task with the details of the specific machinery and task to be recorded in the tool. There are limited instructions provided for the student and assessor. The instructions state what equipment and machinery cannot be used, there are no guidelines on what is considered acceptable. Often the task is simply listed as “pre-start check and operate”, there is no context or specific details of the “operation”. For student CA the details of the machinery or equipment it used and details of the task assigned to the student were left blank (Task 3 and 4). The tools do not collect sufficient or reliable evidence to support a student’s competence.

A number of completed records appear to have been amended after the assessment was conducted. For task three the assessor is required to detail the machinery or equipment used by the students and details of the task assigned to the student. The PDF records included these details having been added to the document as an electronic text box. In some instances the original handwriting could be seen underneath the text boxes. This was specifically the case for students BB, JP, DB and CH. For student JP the electric text box can be moved within the document. When moved it reveals the handwritten details of the machinery and equipment used and the task assigned, it is noted that it is not the same as that added to the document in the electronic text box. There was no explanation as to why the records had been altered which raises issues with the validity and authenticity of the evidence.

AHCWRK302 Monitor weather conditions

Evidence reviewed:

- AHCWRK302 Assessment Tool
- AHCWRK302 Assessor Guide
- AHCWRK302 Learner Guide
- Completed student assessment (RPL) –
 - AF
 - CB
 - CG
 - GS
 - HH
 - JT
 - KM
 - MK
 - NM
 - PH
 - RD
 - SJ
 - ZH

RPL Tools (specifically for AHCWRK302)

- Previous Supervisor/Employer Contact Sheet
- Competency Conversation
- Practical Tasks and Observation Recording Sheet
- Task – Risk assessment
- Referee Testimonial

The Practical task and recording sheet notes *“the assessor is to write a scenario/task performed (or tick if using the scenario provided).”* There was no scenario provided for the assessor, the task to be filled out section was blank in the template. For the completed student work generic statements were made such as *“I observed the trainee perform tasks in various weather conditions”*. The recording sheet also includes a direct copy of the performance criteria. The observable behaviours relevant to the unit have not been provided for the assessor. The recording sheet also includes a *“response section”* for some students this was left blank. When complete it often notes the student having worn PPE, monitoring the weather including frequency and safety issues as the standard response.

The record of conversation includes two questions –

1. Describe the different forecasting tools and instruments you have used monitoring weather.
2. Describe the steps that you take to manage the effect of weather.

It appears that the expected responses for question two have been customised for the livestock industry which was not relevant to this cohort of students. The additional responses provided by the student and recorded by the assessor related to adjusting duties.

The Task for this unit requires student to complete a risk assessment.

The final part of the RPL Kit is a supervisor/third party verification form. This is a copy of the performance evidence from the unit and includes a further three demonstrable tasks –

- Interpret weather forecasts and implement risk management techniques around weather
- Communicate weather information and warnings to others
- Understand and use different weather forecasting techniques.

The completed student work did not support the RTO having collected sufficient evidence of the following requirements:

- Performance criteria
 - anticipate and assess potential variations in weather and climate conditions according to warnings, weather patterns and historical experience
 - review suitable preventative actions to ensure availability of appropriate resources and responses
 - implement actions to minimise loss and damage
 - undertake research on forecasting techniques to maintain currency of information
 - record relevant information
- Knowledge evidence
 - weather and climate conditions and its impact upon farming and grazing activities
 - effects of wind and rain on wind chill
- Performance evidence
 - monitor and interpret weather and climate information
 - communicate warnings and concerns
 - implement actions to minimise loss and damage relate weather and climate conditions and changes to decision-making and prevention of loss and damage.

Assessment tools

- The assessment asks students how they would address the following performance evidence requirements rather than collect evidence of a student demonstrating they can:
 - monitor and interpret weather and climate information
 - communicate warnings and concerns.
- The Referee Testimonial appears to relate to another unit of competency.
- Not all questions have been benchmarked in the Assessor Guide.

Note: the assessment tools had not been used for the completed student work sighted during the audit. The completed student work was undertaken using the RPL assessment tools only.

AHCLSC303 Construct brick and block structures and features

Evidence reviewed:

- AHCLSC303 Assessment Tool
- AHCLSC303 Assessor Guide
- AHCLSC303 Learner Guide
- Completed student assessment –
 - FVDW
 - JL
 - KU
 - MR
 - SL
 - ZL
- For the above unit of competency examined at audit insufficient evidence was provided to demonstrate the tools used for assessment decisions meet the unit requirements including assessment of performance evidence and knowledge evidence.
- The practical assessment checklist is verbatim of the unit of competency's Performance criteria. This does not identify or provide evidence of the observable behaviours demonstrated to carry out the task.
- The final section of the checklist includes demonstrable tasks for which the following are listed:
 - retaining walls
 - non-structural walls
 - garden edging

- brick features.
- There is no context in which the observation is to occur and there is no criteria for the demonstrable tasks to ensure the reliability, sufficiency and validity of the evidence obtained by the RTO.
- A “notes column” is included in the checklist states - these should include details of the setting, tasks performed by the student e.g. “Billy calibrated the spray equipment”. Assessors are not completing the records with sufficient detail. Essentially the tools themselves should have the observable tasks details for all assessors to ensure consistency between assessors and sufficiency of the evidence retained to support the student’s competence.
- The Referee Testimonial replicates the practical observation tool consequently the same issues have been identified.
- The evidence provided did not support that sufficient, valid and authentic evidence had been gathered to support a judgement of competence, for example but not limited to:
 - Knowledge evidence:
 - Principles and practices of brick and block construction
 - Performance evidence:
 - The candidate must provide evidence that they can:
 - interpret site plans and specifications
 - measure and construct profiles using mathematical techniques
 - construct brick or block structure or feature
 - establish levels using levelling equipment
 - check quality of work and cleaning up of site.
- Completed student work included answers that varied to those provided in the Assessor Guide without explanation and which had still been marked as a satisfactory response by the assessor.

RII30815 Certificate III in Civil Construction Plan Operations

RIIMPO318E Conduct civil construction skid steer loader operations

Evidence reviewed:

- RIIMPO318E Learner Guide
- RIIMPO318E Practical Assessment Tool
- RIIMPO318E Practical Assessor Guide
- RIIMPO318E_RIIMPO320E Theory Assessor Guide
- RIIMPO318E_RIIMPO320E Theory Assessment Tool
- Completed student assessment –
 - FS
- For the above unit of competency examined at audit insufficient evidence was provided to demonstrate the tools used for assessment decisions meet the unit requirements including assessment of required skills and critical aspects of evidence.
- The practical assessment checklist is verbatim of the unit of competency’s Performance criteria. This does not identify or provide evidence of the observable behaviours demonstrated to carry out the task.
- The evidence provided did not support that sufficient and valid evidence had been gathered to support a judgement of competence, for example but not limited to:
 - Practical assessment does not ensure the learner demonstrates the completion of operations to specification using a variety of material types including: stripping, spreading topsoil and materials, backfilling, lifting, loading vehicles, excavations, mixing materials, site clean-up.

AHCSAW201 Conduct erosion and sediment control activities

Evidence reviewed:

- AHCSAW201 Assessment Tool
- AHCSAW201 Assessor Guide
- AHCSAW201 Learner Guide
- Completed student assessment –
 - FK
 - HP

- For the above unit of competency examined at audit insufficient evidence was provided to demonstrate the tools used for assessment decisions meet the unit requirements including assessment of performance evidence.
- The practical assessment checklist is verbatim of the unit of competency's Performance criteria. This does not identify or provide evidence of the observable behaviours demonstrated to carry out the task. The checklist also includes some knowledge evidence points however it is not clear how these are assessed during the observation.
- The final section of the checklist includes demonstrable tasks for which the following are listed:
 - Using tools and equipment to safely erect silt fences following SOP's and codes of practice
 - Performing risk assessment on environmental issues.
- There is no context in which the observation is to occur and there is no criteria for the demonstrable tasks to ensure the reliability, sufficiency and validity of the evidence obtained by the RTO.
- A "notes column" is included in the checklist states - these should include details of the setting, tasks performed by the student for example, "Billy calibrated the spray equipment". Assessors are not completing the records with sufficient detail. Essentially the tools themselves should have the observable tasks details for all assessors to ensure consistency between assessors and sufficiency of the evidence retained to support the student's competence.
- The Referee Testimonial replicates the practical observation tool consequently the same issues have been identified.
- The evidence provided did not support that sufficient, valid and authentic evidence had been gathered to support a judgement of competence, for example but not limited to:
 - Performance evidence:
 - The candidate must provide evidence that they can:
 - conduct erosion and sediment control activities as instructed by a supervisor
 - identify hazards and follow safe operating procedures
 - identify erosion and sediment control structures, measures and practices
 - carry out routine work with control measures and structures
 - identify areas at risk of erosion
 - operate or use machinery tools and equipment required for the tasks involved safely and efficiently.

TLILIC2001 Licence to operate a forklift

Evidence reviewed:

WHS Assessment tools:

- TLILIC2001 Assessment tool
- TLILIC2001 Assessor Guide
- TLILIC2001 Learner Workbook
- Completed student assessment –
 - DG
 - RMcL
- For the above unit of competency examined at audit insufficient evidence was provided to demonstrate the tools used for assessment decisions meet the unit requirements including assessment of required skills and critical aspects of evidence.
- The evidence provided did not support that sufficient, valid and authentic evidence had been gathered to support a judgement of competence, for example but not limited to:
 - Performance evidence criteria is not assessed:
 - Safety devices are checked. Including deadman's switch, reversing beepers
 - Communicating with other workplace personnel through, making and interpreting hand signals, questioning to confirm understanding, verbal and non-verbal language

The examples listed above provide guidance on the areas of non-compliance identified and are not a full list of each unit of competency requirements that have not been met. The organisation is responsible for providing evidence that demonstrates all units of competency requirements are met.

Analysis of additional evidence:

AHC30916 Certificate III in Landscape Construction

AHC32816 Certificate III in Rural Operations

AHCMOM304 Operate machinery and equipment

The following additional evidence was provided:

- (Folder) – students sampled with rectification
- (Folder) – Updated Assessments
- (Folder) – Students 6 months Rectification Evidence
- Email to Assessors.pdf
- AHCMOM304 Student list.pdf
- Response to ASQA.docx

AHCWRK302 Monitor weather conditions

The following additional evidence was provided:

- (Folder) – Students 6 months Rectification Evidence
- (Folder) – Updated Assessments
- AHCWRK302 Student list.pdf
- Response to ASQA.docx

AHCLSC303 Construct brick and block structures and features

The following additional evidence was provided:

- (Folder) - Updated Assessment
- (Folder) - Students 6 months rectification evidence
- SSO Email.pdf
- National Specs.pdf
- AHCLSC303 Student List.pdf
- Response to ASQA.docx

RII30815 Certificate III in Civil Construction Plan Operations

RIIMPO318E Conduct civil construction skid steer loader operations

The following additional evidence was provided:

- (Folder) – Updated Assessments
- (Folder) – Students 6 months Rectification Evidence
- RIIMPO318E Student List.pdf
- Response to ASQA.docx

AHCSAW201 Conduct erosion and sediment control activities

The following additional evidence was provided:

- (Folder) – Updated Assessment
- (Folder) – Students 6 months Rectification Evidence
- List of Students – AHCSAW201.pdf
- Response to ASQA.docx

TLILIC2001 Licence to operate a forklift

The following additional evidence was provided:

- (Folder) – Updated Assessment
- (Folder) – Students 6 months Rectification Evidence
- List of Students – TLILIC2001.pdf
- Response to ASQA.docx

The evidence provided has addressed the non-compliance and impact of the non-compliance to students.

Completion

Standards for RTOs Clause 3.1

Original Finding: *Not compliant*

Finding following additional evidence: *Compliant*

The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.

The following was reviewed in relation to completion:

- Assessment (refer to clause 1.8)
- Completed student files (refer to clause 1.8)

The organisations completion practices are not compliant with the requirements of 3.1 of the Standards for Registered Training Organisations (RTOs) as:

- The organisation did not demonstrate that it issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.

Evidence of non-compliant completion practices includes:

- Non-compliances have been identified for the above qualifications under Clause 1.8 resulting in students not meeting the requirements of the training package.

These practices and behaviours are non-compliant with Clause 3.1 of the *Standards for RTOs 2015*.

Analysis of additional evidence:

The following additional evidence was provided:

- Folder with lists of Students in last 6 months
- EmailSenttoPastandPresentStudents.pdf
- ReportonEmailtoStudents_030818.pdf
- Response to ASQA.docx

The evidence provided has addressed the non-compliance and impact of the non-compliance to students.