### Applicant Details

<table>
<thead>
<tr>
<th>Applicant Name</th>
<th>Diamond Valley Learning Centre Inc.</th>
<th>TOID</th>
<th>3769</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address</td>
<td>Corner Diamond Creek and St Helena Roads, Greensborough Vic 3088</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Website</td>
<td><a href="http://www.dvlc.org.au">www.dvlc.org.au</a></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Registration Contact</td>
<td>Katherine Barling</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phone Number</td>
<td>0439 652 680 / 9435 9060</td>
<td>Email</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td><a href="mailto:katherie.barling@dvic.org.au">katherie.barling@dvic.org.au</a></td>
<td></td>
</tr>
<tr>
<td>Email</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Audit Team

<table>
<thead>
<tr>
<th>Audit Firm</th>
<th>Shinewing Australia</th>
<th>Auditor/s</th>
<th>Anna-Louise Allen</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other Attendees</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Registering Body Details

| Contact Person        | Emma Hickingbotham                  |            |                   |
| Phone Number          | 9032 1562                           | Email      | vet.audit@edumail.vic.gov.au |

### Audit Details

| Type of Audit         | Re-Registration Audit               |            |                   |
| Conditions Audited    | 1, 3, 6, 7, 8, 9                    |            |                   |
| Standards Audited     | 1.1, 1.2, 1.3, 1.4, 1.5 2.1, 2.2, 2.3, 2.6, 2.7 3.1, 3.2, 3.4 |            |                   |
| VRQA Guidelines Audited | 1.2, 4, 5                             |            |                   |
| Audit Date/s          | 16th and 17th November 2015          |            |                   |

### RTO Background

Diamond Valley Learning Centre (DVLC) delivers programs to a diverse range of clients who come from both the Banyule and Nillumbik Shire.

DVLC celebrated 40 years as a not for profit organisation this year. The organisation became an RTO in 2007. The organisation has expanded and retracted their scope over these years in response to changes in funding within the sector.

DVLC receives funding from the following sources:

- Neighbourhood House
- Education Department
- SEE
- ACFE HESG
- Fee for service

The Certificate in General Education is offered to VCAL students and the wider community.
### Qualifications/Units Audited

<table>
<thead>
<tr>
<th>QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFL20110 Certificate II in Floristry</td>
<td>Vic</td>
</tr>
<tr>
<td>HLTAID001 Provide cardiopulmonary resuscitation</td>
<td>Vic</td>
</tr>
<tr>
<td>HLTAID003 Provide first aid</td>
<td>Vic</td>
</tr>
<tr>
<td>SITXFSA201 Participate in safe food handling practices</td>
<td>Vic</td>
</tr>
<tr>
<td>22237VIC Certificate II in General Education for Adults</td>
<td>Vic</td>
</tr>
<tr>
<td>22250VIC Certificate I in EAL (Access)</td>
<td>Vic</td>
</tr>
</tbody>
</table>

### Interviewee(s) – Staff name and position; employer name and position

- **Kate Madden** – Executive Centre Manager
- **Katherine Barling** – Education and Training Manager
- **Denise Kuchmer** – Compliance Officer
- **Bron Curran** – Co-ordinator, CEGA
- **Heather Glover** – Co-ordinator, EAL
- **Rita Szepetko** – EAL, Trainer
- **Fiona Turner** – First Aid Trainer
- **Sandra Luetka** – Floristry Trainer
- **Muhammad Asad** – Finance and administration Manager

### Permanent Delivery Sites –

Do the RTO’s permanent delivery sites match the information provided by the VRQA?

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Permanent Delivery Sites</td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

If ‘No’, please provide amended details below:

---

1 Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology
Audit Summary - AQTF Conditions of Registration

<table>
<thead>
<tr>
<th>AQTF Conditions</th>
<th>Compliant</th>
<th>Non - Compliant</th>
<th>Not audited</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Governance</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2 Interactions with the Registering Body</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>3 Compliance with Legislation</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4 Insurance</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>5 Financial Management</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>6 Certification &amp; Issuing of Qualifications &amp; Statements of Attainment</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>7 Recognition of Qualifications Issued by other RTOs</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>8 Accuracy and Integrity of Marketing</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>9 Transition to Training Packages/Expiry of Accredited Courses</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

Summary of Non-Compliance²

CF6.1
- Statements of attainment and record of results do not meet the AQF requirements.

CF8.1
- The NRT logo in not always used within the rules of use.

² CF = Condition Finding. Finding references are aligned to the Detailed Findings section of this report.
Audit Summary - AQTF Standards

<table>
<thead>
<tr>
<th>AQTF Standards/Elements</th>
<th>Compliant</th>
<th>Non-Compliant</th>
<th>Not audited</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard 1</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 – Continuous Improvement Strategy</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>1.2 – Training and Assessment Strategies</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>1.3 – Training and Assessment Resources</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>1.4 – Trainer and Assessor Competency</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>1.5 – Assessment Strategies</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td><strong>Standard 2</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 – Meeting the Needs of Clients</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2.2 – Continuous Improvement of Client Services</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2.3 – Provision of Information to Clients</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2.4 – Third-Party Engagement in Training and Assessment</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>2.5 – Provision of Support Services to Clients</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>2.6 – Learner Access to Records of Participation</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2.7 – Complaints and Appeals Strategy</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td><strong>Standard 3</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 – Operations Management</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>3.2 – Continuous Improvement of Operations</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>3.3 – Third-Party Training and/ or Assessment Services</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>3.4 – Records Management</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

**Summary of Non-Compliance**

**SF1.2.1**
- It is not evident how industry consultation has influenced the development of the RTO training and assessment strategies

**SF1.3.1**
- The RTO could not demonstrate that they have the appropriate venue to deliver the unit SITXFSA201 Participation in safe food handling practices

**SF1.4.1**
- Inadequate evidence of the professional development to develop VET knowledge and skills of trainers / assessors, otherwise the RTO meet requirements.

---

3 SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.
SF1.5.1
- Assessment for 3 units did not meet the requirements of the unit of competency

SF1.5.2
- Assessment does not meet the principles of assessment and rules of evidence.

SF1.5.3
- Assessments have not been systematically validated for three units.
### Audit Summary – VRQA Guidelines for VET Providers

<table>
<thead>
<tr>
<th>VRQA Guidelines</th>
<th>Compliant</th>
<th>Non-Compliant</th>
<th>Not audited</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Governance, Probity and Compliance</td>
<td></td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>1.1 – Strategic Plan and Business Plan</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>1.2 – Financial Viability</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>1.3 – Management Systems</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>1.4 – Organisational Governance</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>1.5 – Academic/Educational Governance</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>1.6 – Change Reporting</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>2. Quality Assurance, Review and Evaluation Processes</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2.1 – Course Quality</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2.2 – Cheating and Plagiarism</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2.3 – Quality Education and Training</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>3. Student Enrolment Records and Certification</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>3.4 – Provision of Courses to Domestic Students</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>4. Student Learning Outcomes and Welfare Services</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4.1 – Maximum Daily Hours of Attendance</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4.2 – Out of Hours Attendance</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4.4 – Student Safety</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>5. Teaching, Learning and Assessment</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>5.1 – Capacity to Deliver Scope of Registration</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>

**Summary of Non-Compliance**

GF1.3.1
- The Trainer matrix for one trainer did not meet the guideline.

GF5.1.1
- 9B certificates were not available

GF5.1.2
- Assessment tools are not supported by clear advice to students as to how the unit(s) will be assessed.

GF5.1.3
- A mapping to the essential skills and knowledge and critical aspects of evidence was not in place for 4 of the units audited.

---

4 GF = Guideline Finding. Finding references are aligned to the Detailed Findings section of this report.
| GF5.1.4 | A clear set of model answers and marking guide was not in place for 6 of the units audited. |
| GF5.1.5 | An assessment record sheet for each assessment task was not in place for 2 of the units audited. |
**Detailed Findings - AQTF Conditions of Registration**

<table>
<thead>
<tr>
<th>CONDITION 1 - Governance</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is Compliant with Condition 1 | Evidence reviewed during the audit:  
  - Organisational Chart  
  - Interview with Centre Manager  
  - Interview with Compliance Consultant  
  - Committee of Management meeting minutes  
  - Business plan  
  - When the centre got Foundation Skills funding  
  - 2016 will require another review – staff cuts and review of marketing - processes around the website  
  - Workforce Development Plan  
  - Committee of Management – known as the board  
  - Endorse all policies and all decisions made by the management team  
  - Listing of the Committee of Management  
  - Committee is elected from the member base  
  - Reports from each program areas - Youth, business and community finance and administration and VET.  
  - Cycle of reporting - Youth, business and community finance and administration and VET. Board receives a continuous improvement report  
  - FPP delegations for COM - Sample  
  - David Ling  
  - Francis Donegan | No rectification required. |
<table>
<thead>
<tr>
<th>Audit Date: 16th and 17th November 2015</th>
<th>RTO: Diamond Valley Learning Centre Inc.</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Barbara Jackson</td>
<td></td>
</tr>
<tr>
<td>RTO management</td>
<td></td>
</tr>
<tr>
<td>• Grant Hunter – Business Development Officer</td>
<td></td>
</tr>
<tr>
<td>• Muhammad Asad – Finance and administration Manager – police check – no contact with children</td>
<td></td>
</tr>
<tr>
<td>• Katherine Barling Education and Training Manager</td>
<td></td>
</tr>
<tr>
<td>• Katherine Madden</td>
<td></td>
</tr>
<tr>
<td>WWC &amp; Police checks – sample of files - Everyone is required to have a WWC</td>
<td></td>
</tr>
<tr>
<td>• David Ling</td>
<td></td>
</tr>
<tr>
<td>• David Fuller</td>
<td></td>
</tr>
<tr>
<td>• Francis Donegan – police only</td>
<td></td>
</tr>
<tr>
<td>• Barbara Jackson</td>
<td></td>
</tr>
<tr>
<td>• Katherine Barling Education and Training Manager</td>
<td></td>
</tr>
<tr>
<td>• Katherine Madden</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
</tr>
<tr>
<td>• Governance training for Board Members – A practical guide on governance for Committee of Management in the Learn Local Sector</td>
<td></td>
</tr>
<tr>
<td>• Internal audit against the VRQA guidelines in April/May 2015</td>
<td></td>
</tr>
<tr>
<td>• AQTF Conditions Internal audit 14/6/15</td>
<td></td>
</tr>
<tr>
<td>• Capacity to deliver audit report 25/10/15</td>
<td></td>
</tr>
<tr>
<td>• VRQA RE-registration Evidence Progress Report 6th October 2015</td>
<td></td>
</tr>
</tbody>
</table>
**CONDITION 3 – Compliance with Legislation**

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is **Compliant** with **Condition 3**. The RTO reviews and manage compliance with relevant Commonwealth, State or Territory legislation and regulatory requirements. | Evidence reviewed at audit:  
  - Staff Handbook  
  - Staff induction checklist  
  - Student Handbook  
  - Legislation log  
  - Student welfare policy  
  - Student safety & security policy  
  - Access, Anti-discrimination, Equity, Diversity and Empowerment Policy  
  - Interactions with the Registering Body  
  - Privacy policy – under review  
  - Access & Equity Policy  
  - Internal audit policy  
  - Client services policy  
  - Access to student records policy  
  - Reporting requirements policy  
  - Retention and archiving policy  
  - Internal audit against the VRQA guidelines in April/May 2015  
  - AQTF Conditions Internal audit 14/6/15  
  - Capacity to deliver audit report 25/10/15  
  - VRQA RE-registration Evidence Progress Report 6th October 2015 | No rectification required.                                                                                                                   |

**Improvement Opportunities**

The RTO might consider documenting their process for identifying relevant Commonwealth, State or Territory legislation and regulatory requirements.
### CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment

<table>
<thead>
<tr>
<th>CF6.1</th>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The RTO is <strong>Non-Compliant</strong> with Condition 6.</td>
<td>Evidence reviewed at audit:</td>
<td><strong>Actions:</strong></td>
</tr>
</tbody>
</table>
|       | The RTO issues qualifications and statement of attainments to persons whom it has assessed as competent in accordance with the requirements of the Training Package or accredited course. | • Certification and issuing of qualifications and statements of attainment checklist  
• Records Management policy  
• Records Management and Archive policy (does not meet the requirements of the VTG Contract)  
• DVLC Retention and disposal schedule of documents  
• Request for award of qualification or issue of a Statement of Attainment | • The RTO should review their templates for Statement of Attainment and record of results to make sure they comply with the AQF requirements. In particular the employability skills statement should be removed from the record of results.  
• The enrolment and completion date consistent with the qualification and an authorised signature should be added to the record of results.  
• The AQF statement on the Statement of Attainment should be removed, and the following statement added: ‘A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units’.  
• The RTO should use either the VRQA logo or words, not both. |
|       | The Templates for records of results and statements of attainment do not meet the Australian Qualifications Framework (AQF) requirements. | | |
|       | The record of results contains the employability skills statement, which should be removed. | | |
|       | It does not contain: | | |
|       | • Enrolment and completion date consistent with the qualification  
• An authorised signature. | | |
|       | The Statement of Attainment contains the AQF reference statement, which should be removed | | |
|       | The Statement of Attainment doesn’t contain the statement ‘A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units’. | | |
|       | Both the Certificate and Statement of Attainment contains both the VRQA logo and statement. The RTO should use either, not both. | | |
|       | The RTO’s policies and procedures includes information regarding the issuance of replacement certificates | | |
### Finding

The RTO is **Compliant** with this aspect of **Condition 6**.

- The RTO has a mechanism in place to retain client records for a period of 30 years
- The RTO provides AVETMISS compliant data via VET Trak.

### Evidence/Documentation Reviewed

Evidence reviewed at audit:

- Certification policy
- Certification and issuing of qualifications and statements of attainment checklist
- Records Management policy
- Records Management and Archive policy (does not meet the requirements of the VTG Contract)
- DVLC Retention and disposal schedule of documents
- Request for award of qualification or issue of a Statement of Attainment
- Victorian Student Number Guidelines
- Victorian VET Student Statistical Collection Guidelines
- Guidelines to determine Student Eligibility

### Required Rectification(s)

No rectification required.
**CONDITION 7 - Recognition of Qualifications Issued by other RTOs**

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is Compliant with Condition 7. The RTO recognises the AQF Qualifications and Statements of Attainment issued by any other. | Evidence reviewed at audit: 
- Assessment including Recognition of Prior Learning (RPL)/ Recognition of current competency and credit transfer 
- RPL Kit – RPL Assessor Guide & RPL Applicants guide 
- Student Handbook 
- Records Management Policy 
- Trainer Handbook | No rectification required. |

**Improvement Opportunities**

References to Recognition of current competency (RCC) should be removed as this outdated terminology and may cause confusion.
**CONDITION 8 - Accuracy and Integrity of Marketing**

<table>
<thead>
<tr>
<th>CF8.1</th>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The RTO is <strong>Non-Compliant</strong> with Condition 8.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The RTO’s marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The NRT logo is not used correctly in marketing and advertising of AQF qualifications to prospective clients.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The Course brochures are a three-fold A4 where the VRT logo appears on the final fold. The logo should be re-located to appear on the same page as the Qualification/Unit code and title or removed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The RTO uses consent forms to seek permission for use of a person’s image or name in marketing materials.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Evidence reviewed at audit:
- Accuracy and integrity of Marketing policy Website [www.dvic.org.au](http://www.dvic.org.au)
- Style Guide – ‘draft’
- DVLC marketing checklist
- Student Handbook
- UX approach to designing a website
- Feedback on the website and produced a usability test results
- Profile of a range of typical clients and how these are addressed in the website.
- Internal and external surveys impact on the development of the business plan
- Security for online payments
- Marketing and advertising checklist
- Photo consent form

Course Brochures
- SFL20110 Certificate II in Floristry (Assistant)
- 22250VIC Certificate I in EAL (Access)
- 22251VIC Certificate II in EAL (Access)
- 22253VIC Certificate III in EAL (Access)
- HLTAID003 Provide First Aid
- SITHFAB201 Provide Responsible service of alcohol
- HLTAID001 Provide CPR
- ICA20111 Certificate II in information, Digital Media and Technology
- BSIB31112 Certificate III in Business Administration (Medical)
- Course Guide Jan 0 June 2016

**Actions:**
- The RTO should revise their use of the NRT logo to make sure it is only used where the Qualification/Unit code and title are used.
### CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is Compliant with Condition 9. The RTO has managed the transition from superseded Training Packages within 12 months of their publication on the Training.gov.au | Evidence reviewed at audit:  
- Transition plan  
- Training Package & Course Register  
- Scope of registration maintenance guide  
- Two requests to VRQA to remove the Certificate III in Business from the scope | No rectification required. |
# STANDARD 1

## ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is Compliant with Element 1.1. The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment. | Evidence reviewed at audit:  
- Continuous Improvement Policy  
- Continuous Improvement Register  
- Continuous improvement plan  
- Compliance and continuous improvement responsibilities flowchart  
- DVLC Risk Assessment 2015  
- Student feedback VCAL 2014  
- Feedback – one month in, half way and at the end  
- EAL does feedback via oral sessions which are documented  
- Student trainer/assessor feedback policy  
- Complaints and appeals policy  
- Complaints and appeals Register  
- QI regulator report  
- Website dvlc.org.au  
- HESG Internal Audit  
- AQTF/VRQA Guidelines internal audit  
- Performance indicator report 2014  
- Course evaluation report 2014 – EAL  
- New course feedback survey  
- Training program evaluation  
- Mid program review | No rectification required. |
### 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.

<table>
<thead>
<tr>
<th>SF1.2.1 Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is Non-Compliant with Element 1.2.</td>
<td>Evidence reviewed at audit:</td>
<td></td>
<td>• The RTO must maintain evidence of industry consultation in order to demonstrate how this consultation has contributed to the development of the training and assessment strategies.</td>
</tr>
<tr>
<td>Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course. The strategy for 22237VIC Certificate II in General Education for Adults lists Jeff Percy from Olympic Adult Education as having provided consultation via meetings, site visits and advice, however the evidence presented was a completed questionnaire, which stated that Mr Percy was unable to provide feedback on the majority of items as the information was not provided with the questionnaire. The Consultation referred to in the strategy for BSB31112 Certificate III in Business Administration (Medical) listed student feedback. This is not industry consultation. The strategy to support SLF20110 Certificate II in Floristry lists Floristry RTO meetings, attendance at Interflroa Conference and 2015 Floral Art Society of Victoria. It is not clear how these activities have contributed to the development of the strategy. The strategies to support HLTAID001 &amp; HLTAID003 list a paramedic and paediatric nurse, however it is unclear</td>
<td>Training and Assessment Strategies policy • Industry consultation policy • DVLC industry consultation feedback form • Training and assessment strategy checklist Training and assessment strategy: • 22237VIC Certificate II in General Education for Adults – Jeff Percy listed as having consulted; No schedule of training provided • 22250VIC Certificate I in EAL (Access) – Glenroy Neighbourhood Learning Centre and Djerriwarrh Community &amp; Education Services Inc – limited delivery schedule and sample timetable • BS31112 Certificate III in Business Administration (Medical) – no industry consultation listed • SLF20110 Certificate II in Floristry • HLTAID001 Provide CPR • HLTAID003 Provide first aid Training and assessment file for • SITXFSA201 Participation in safe food handling practices Industry Consultation • Industry consultation possibilities – Foundation Skills Qualifications</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email sent on 21st October 2015</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
how these discussions have impacted on the training and assessment strategy presented. They do confirm the content delivered.

There was no evidence of industry consultation to support the delivery of the unit SITXFSA201 Participation in safe food handling practices.

- Linno Rhodes, Glenroy Neighbourhood Learning Centre
- training@jss.org.au
- John at Wyndham CEC
- Jeff Percy at Olympic Adult Education
- Lalar LLC
- Sarahd@cnlc
- AnitaC@djerriwarrh.org
- Janice Deetlefs – Paediatric ICU Nurse RCH
- Bernice Patterson – Paramedic – Advanced Life Support – Ambulance Victoria
- Floristry RTO meetings
- Interflora Conference
- 2015 Floral Art Society of Victoria 21st May

Completed questionnaires

- Jeff Percy at Olympic Adult Education - 22237VIC Certificate II in General Education for Adults
- Janice Deetlefs – HLTAID001 Provide CPR & HLTAID003 Provide first aid – confirms content and duration
- Bernice Patterson – HLTAID001 Provide CPR & HLTAID003 Provide first aid – confirms content – yes is the response to most questions

**Improvement Opportunities**

It is suggested that DVLC provide further instruction to the use of their industry consultation feedback form to make sure that the appropriate supporting evidence is provided to the client.
### 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.

<table>
<thead>
<tr>
<th>SF1.3.1</th>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is Non-Compliant with Element 1.3. | - The RTO has access to staff, facilities, equipment and training and assessment materials consistent with the requirements of the Training Package or accredited courses.  
- The evidence presented demonstrated that the SITXFSA201 Participation in safe food handling practices has not been delivered in a commercial kitchen. The RTO should monitor training and assessment strategies to make sure that all consistently provide details of specific facilities and equipment required to meet the requirements of the Training Package. | - Evidence reviewed at audit:  
  - Training and Assessment Strategies policy  
  - Industry consultation policy  
  - DVLC industry consultation feedback form  
  - Training and assessment strategy checklist  
- Training and assessment strategy:  
  - 22237VIC Certificate II in General Education for Adults – Jeff Percy listed as having consulted; No schedule of training provided  
  - 22250VIC Certificate I in EAL (Access) – Glenroy Neighbourhood Learning Centre and Djerriwarrh Community & Education Services Inc – limited delivery schedule and sample timetable  
  - BSB31112 Certificate III in Business Administration (Medical) – no industry consultation listed  
  - SLF20110 Certificate II in Floristry  
  - HLTAID001 Provide CPR  
  - HLTAID003 Provide first aid  
- Training and assessment file for SITXFSA201 Participation in safe food handling practices – While the lesson plan refers to practical in the kitchen there was no list of commercial kitchens or supporting activities that would comprise the ‘practical’. | - The RTO must make sure that specific facilities and equipment are in place to support all qualifications and units of competency on their scope of registration. The unit SITXFSA201 Participation in safe food handling practices must be delivered in a commercial kitchen or close simulation.  
- Other documents  
  - Checklist for course essentials  
  - Request for accreditation for the provision of RSA |
### Improvement Opportunities

There is variation across trainers and qualifications in the way the Training and Assessment templates are completed. It is suggested that the RTO monitor this as part of their internal audit review.
ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:

a) Have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and

b) Have the relevant vocational competencies at least to the level being delivered or assessed, and

c) Can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and

d) Continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

<table>
<thead>
<tr>
<th>SF1.4.1 Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is Non-Compliant with Element 1.4.</td>
<td>Evidence reviewed at audit:</td>
<td>Actions:</td>
</tr>
</tbody>
</table>
| Training and assessment is delivered by Trainers and Assessors have the necessary training and assessment competencies as determined by the National Quality Council or its successors. | - Staff Handbook  
- Training and assessment staff qualifications  
- Teaching under supervision policy  
- Trainer Assessor and Tutor listing 2015  
- Induction and orientation  
- Induction checklist – does not include VET  
- Checklist for delivery and assessment of VET courses  
- Working with children check policy  
- Training staff Handbook checklist  
- Professional Development plan  
- Professional development request form  
Trainer Files  
- Fiona Turner  
- Jason Drew  
- Rita Szepeiko  
- Sandra Lutke | - The RTO must make sure that all trainer/assessors undertake professional development designed to develop their Vocational Education and Training (VET) knowledge and skills |

Audit Date: 16th and 17th November 2015  
RTO: Diamond Valley Learning Centre Inc.
ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is Non-Compliant with Element 1.5.</td>
<td>Assessment does not meet the requirements of the relevant Training Package or accredited course for the following units:</td>
<td>- The RTO should revise the training and assessment strategies in place to make sure that they meet the requirements of the training package.</td>
</tr>
<tr>
<td></td>
<td>• SITXFSA201 Participation in safe food handling practices</td>
<td>- In particular SITXFSA201 Participation in safe food handling practices must be delivered in a commercial kitchen or close simulation and involve the preparation of cooked and pre-packed food items in line with the critical requirements of this unit.</td>
</tr>
<tr>
<td></td>
<td>• SFLSOP204A Prepare and care for Floristry Stock</td>
<td>- Assessment tasks to support SFLSOP204A Prepare and care for Floristry Stock &amp; SIRXIND001A Work Effectively in a retail environment must assess all the essential knowledge and the critical requirements of assessment.</td>
</tr>
<tr>
<td></td>
<td>• SIRXIND001A Work Effectively in a retail environment</td>
<td></td>
</tr>
</tbody>
</table>

Evidence reviewed at audit:
- Assessment including Recognition of Prior Learning (RPL): Recognition of current competency and credit transfer
- Training and Assessment Strategies policy
- Industry consultation policy
- DVLC industry consultation feedback form
- Training and assessment strategy checklist

Units audited:
- SITXFSA201 Participation in safe food handling practices
- SFLSOP204A Prepare and care for Floristry Stock
- SIRXIND001A Work Effectively in a retail environment
- HLTAID001 Provide CPR
- HLTAID003 Provide First Aid
- VU21360 Create a range of complex texts for learning purposes
- VU21356 Engage with a range of complex texts for learning purposes
- VU21449 Read and write short simple messages and forms

Audit Date: 16th and 17th November 2015
**Audit Date:** 16th and 17th November 2015

**RTO:** Diamond Valley Learning Centre Inc.

<table>
<thead>
<tr>
<th>SF1.5.2 Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is <strong>Non-Compliant with Element 1.5.</strong></td>
<td>Evidence reviewed at audit:</td>
<td>Actions:</td>
</tr>
<tr>
<td></td>
<td>SFLSOP204A Prepare and care for Floristry Stock (60)</td>
<td></td>
</tr>
</tbody>
</table>

**Assessment of Practical Skills**: These files only contained a written assessment.

**SIRXIND001A Work Effectively in a retail environment**

The assessment tasks presented for this unit did not address all of the essential knowledge and critical aspects of assessment. In particular, the following knowledge was not specifically addressed:

- Store organisational structure
- Structure of the retail industry
- Rights and responsibilities of employers and employees in retail workplace
- Major changes affecting retail workplaces

In addition, the following Critical aspects of assessment were not met by the current assessment tasks:

- Recognises and describes the organisational culture of the workplace, including organisational structure, mission and goals
- Applies store policy and procedures and legislative requirements in regard to internal and external client contact,
- Identifies and describes the role of various parties, including employer and employee associations consistently meets store scheduling routines and uses time effectively.

**Student files**

- VU21451 Participate in short simple exchanges
- Student files
- Jiang Zhao
- Layla Duhoky
- Colette Imison
- Peter Robertson
- Colleen Treacy
- Gus Isgro
- Emily Savage
- Monique Fletcher
- Connie Lisina
- Carolyne Black

**Validation Records**

- Glenroy Neighbourhood Learning Centre survey
- Djerriwarrh Community & Education Services
- Jeff Percy at Olympic Adult Education - 22237VIC Certificate II in General Education for Adults
- Janice Deetlefs – HLTAID001 Provide CPR & HLTAID003 Provide first aid – confirms content and duration
- Burnice Patterson – HLTAID001 Provide CPR & HLTAID003 Provide first aid – confirms content – yes is the response to most questions
### Assessment strategies to support the two Floristry units audited

In order to meet the principles of validity and fairness, it is important that it is clear what assessment tasks need to be completed in order for the student to be deemed competent. It was confusing as to the actual tasks that needed to be completed for the units SFLSOP204A Prepare and care for Floristry Stock & SIRXIND001A Work Effectively in a retail environment due to inconsistencies across the documentation.

While the instructions to the student state that SIRXIND001A Work Effectively in a retail environment is assessed by three tasks Task A and C questions related to a store manual and Task B questions related to a job advertisement, other documentation refers to an assignment.

The student files audited contained the three tasks as described above, however there was variation across the evidence provided. Task A requires the student ‘to write a store manual – Policies and procedure on employees own rights and responsibilities in regard to awards and agreements and roles of various parties/employment terms and act responsibly and in a non-discriminatory manner’. A dot point list is provided to guide the student’s response.

Two students out of the 5 files audited provided a policy and procedure in response to this task, while the remaining students provided answers to the dot points listed in the assessment task.

### Subject unit outline & session schedule (cut and paste of the E and PCs)
- States assessment is the practical work booklet
- Marking Guide is just the unit – no further benchmarks or decision guide – not used on student files reviewed
- Observation checklist – with clear criteria
- 3 tasks – one is the log book; the others are blank
- Written test – does not cover all the underpinning knowledge.

### SIRXIND001A Work Effectively in a retail environment
- Task A & C – store manual - really the same task - Required to write a store manual – Policies and procedure on employees own rights and responsibilities in regard to awards and agreements and roles of various parties/employment terms and acting responsibly and in a non-discriminatory manner
- Task B Scenario - what do you think is wrong with the following advertisement for this job vacancy?
- Subject unit outline – states assessment is an assignment

#### Student files reviewed:
- Connie Lisina The answers provided is a written response to dot points
- Grace Skinner – has written policies and procedures
- Mawal Assaad – just provided answers to each dot point

### The RTO should review the assessment strategies for the units SFLSOP204A Prepare and care for Floristry Stock & SIRXIND001A Work Effectively in a retail environment to make sure that they meet the principles of assessment and rules of evidence.

### Assessment for these units must also be systematically validated to make sure that consistent assessment evidence is collected for all students.
All 5 student responses were deemed satisfactory. There was no trainer guide or model answer to guide the assessment of this task.

The instructions regarding SFLSOP204A Prepare and care for Floristry Stock states that the student is assessed using the Floristry Log book, however there is also an observation checklists in place for this unit. It is unclear how this checklist is used. The student file audited for this unit also contained a written test and a completed student log book.

In order to meet the principle of fairness there must be clear instruction to the student and the assessor about the tasks to be completed, the context and conditions of assessment.

There was also no evidence of moderation or validation of these assessment processes.

- Sarah Sabeh – provided answers to each dot points and a policy and procedure
- Lisa Colbert – just provided answers to each dot point

<table>
<thead>
<tr>
<th>SF1.5.3 Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is Non-Compliant with Element 1.5.</td>
<td>Training and assessment file for SITXFSA201 Participation in safe food handling practices</td>
<td>Actions:</td>
</tr>
<tr>
<td>There was no evidence of moderation or validation for SITXFSA201 Participation in safe food handling practices</td>
<td>Commercial resources from Training Resource Solutions:</td>
<td></td>
</tr>
<tr>
<td>The RTO does have a plan for validation for the unit SITXFSA201 Participation in safe food handling practices for 2015 – 16. This should be implemented.</td>
<td>• Student resource</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Written assessment</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Teachers guide</td>
<td></td>
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<tr>
<td></td>
<td>• Lesson plan</td>
<td></td>
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<tr>
<td></td>
<td>• Unit marking guide (copy of the unit of competency)</td>
<td>• The RTO should validate the assessment strategies to support SITXFSA201 Participation in safe food handling practices</td>
</tr>
</tbody>
</table>
Improvement Opportunities

Care should be taken when providing an assessment outcome for each assessment task. Competency can only be ruled at the unit level. Individual assessment tasks should be deemed satisfactory or not satisfactory.
## Detailed Findings - AQTF Standards

<table>
<thead>
<tr>
<th>Elemental Findings</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| Element 2.1 - The RTO establishes the needs of clients and delivers services to meet these needs. | The RTO is **Compliant** with Element 2.1. Evidence reviewed at audit:  
- Access, Anti-discrimination, Equity, Diversity and Empowerment Policy  
- Enrolment policy  
- Enrolment process flow chart  
- General enrolment checklist for all government students  
- Enrolment form  
- Website dvlc.org.au  
- Conditions of enrolment  
- Checklist for VET enrolments  
- Checklist for course essentials  
- LLN pre-training test  
- VCAL Wellbeing interview  
- VET Course application  
- VET Course computer skill self-assessment | No rectification required. |
### ELEMENT 2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is Compliant with Element 2.2. | Evidence reviewed at audit:  
- Continuous Improvement Policy  
- Continuous Improvement Register  
- Continuous improvement plan  
- Compliance and continuous improvement responsibilities flowchart  
- DVLC Risk Assessment 2015  
- Student feedback VCAL 2014  
- Feedback – one month in, half way and at the end  
- EAL does feedback via oral sessions which are documented  
- Student trainer/assessor feedback policy  
- Complaints and appeals policy  
- Complaints and appeals Register  
- QI regulator report  
- Website dvlc.org.au  
- HESG Internal Audit  
- AQTF/VRQA Guidelines internal audit  
- Performance indicator report 2014  
- Course evaluation report 2014 – EAL  
- New course feedback survey  
- Training program evaluation  
- Mid program review  
- Interview with Marketing Manager Mario  
- Review of website and enrolment experience  
- Online enrolment registration  
- Course creation process in VET trak | No rectification required. |
• User centred designs – design the experience around the student experience
• Enrolment and registration process
• Enrolment for short courses but is really an expression of interest for VET courses
• Integration of the website, inquiries with VET trak
• Usability on the website
• UX approach to designing a website
• Feedback on the website and produced a usability test results
• Profile of a range of typical clients and how these are addressed in the website.
• Internal and external surveys impact on the development of the business plan
• Security for online payments
### ELEMENT 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.

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is **Compliant** with Element 2.3. | Evidence reviewed at audit:  
- Accuracy and integrity of Marketing policy Website www.dvic.org.au  
- Style Guide – ‘draft’  
- DVLC marketing checklist  
- Student Handbook  
- UX approach to designing a website  
- Feedback on the website and produced a usability test results  
- Profile of a range of typical clients and how these are addressed in the website.  
- Internal and external surveys impact on the development of the business plan  
- Security for online payments  
- Marketing and advertising checklist  
- Photo consent form  
Course Brochures  
- SFL20110 Certificate II in Floristry (Assistant)  
- 22250VIC Certificate I in EAL (Access)  
- 22251VIC Certificate II in EAL (Access)  
- 22253VIC Certificate III in EAL (Access)  
- HLTAID003 Provide First Aid  
- SITHFAB201 Provide Responsible service of alcohol  
- HLTAID001 Provide CPR  
- ICA20111 Certificate II in information, Digital Media and Technology  
- BSB31112 Certificate III in Business Administration (Medical)  
- Course Guide Jan 0 June 2016 | No rectification required. |
### ELEMENT 2.6 - Learners have timely access to current and accurate records of their participation and progress.

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is **Compliant** with **Element 2.6**. Learners have timely access to current and accurate records of the participation and progress. | Evidence reviewed at audit:  
- Access to student records policy  
- Enrolment Policy  
- Records Management policy  
- Records Management and Archive policy (does not meet the requirements of the VTG Contract)  
- DVLC Retention and disposal schedule of documents  
- Student Management System – VET Trak  
- Student Handbook  
- Training plan | No rectification required. |

### Improvement Opportunities

The use of liquid paper on student files is to be avoided.
### ELEMENT 2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is Compliant with Element 2.7. The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. There have not been any formal complaints to date | Evidence reviewed at audit:  
- Student Handbook  
- Complaints and Appeals policy – includes assessment appeals  
- Complaints and appeals form  
- Complaints and appeals Register  
- Incident reports  
- Trainer Feedback  
- Student Feedback  
- QI regulator report  
- Website dvlc.org.au | No rectification required. |

### Improvement Opportunities

The following information should be included in the complaints policy - The National Training Complaints Hotline is accessible on 13 38 73 and is available Monday to Friday, from 8am to 6pm. You can also send complaints via email to skilling@education.gov.au.
### Detailed Findings - AQTF Standards

<table>
<thead>
<tr>
<th>ELEMENT 3.1 - The RTO’s management of its operations ensures clients receive the services detailed in their agreement with the RTO.</th>
<th>Compliant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finding</td>
<td>Evidence/Documentation Reviewed</td>
</tr>
</tbody>
</table>
| The RTO is **Compliant** with **Element 3.1.** The RTO’s management of its operations ensures clients receive the services detailed in their agreement with the RTO. | Evidence reviewed at audit:  
- Access, Anti-discrimination, Equity, Diversity and Empowerment Policy  
- Certification policy  
- Enrolment policy  
- Enrolment process flow chart  
- General enrolment checklist for all government students  
- Enrolment form – contains agreement  
- Website dvlc.org.au  
- Conditions of enrolment  
- Checklist for VET enrolments  
- Zero Tolerance Policy towards any non-compliance | No rectification required. |
ELEMENT 3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is <strong>Compliant</strong> with <strong>Element 3.2</strong>.</td>
<td>Evidence reviewed at audit:</td>
<td>No rectification required.</td>
</tr>
</tbody>
</table>
| The RTO uses a systematic and continuous improvement approach to the management of operations. | • Continuous Improvement Policy  
• Continuous Improvement Register  
• Continuous improvement plan  
• Compliance and continuous improvement responsibilities flowchart  
• DVLC Risk Assessment 2015  
• Student feedback VCAL 2014  
• Feedback – one month in, half way and at the end  
• EAL does feedback via oral sessions which are documented  
• Student trainer/assessor feedback policy  
• Complaints and appeals policy  
• Complaints and appeals Register  
• QI regulator report  
• Website dvlc.org.au  
• HESG Internal Audit  
• AQTF/VRQA Guidelines internal audit  
• Performance indicator report 2014  
• Course evaluation report 2014 – EAL  
• New course feedback survey  
• Training program evaluation  
• Mid program review |
Audit Date: 16th and 17th November 2015  
RTO: Diamond Valley Learning Centre Inc.

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

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is **Compliant** with **Element 3.4.**  
The RTO manages records to ensure their accuracy and integrity | Evidence reviewed at audit:  
- Access, Anti-discrimination, Equity, Diversity and Empowerment Policy  
- Certification policy  
- Enrolment policy  
- Enrolment process flow chart  
- General enrolment checklist for all government students  
- Enrolment form  
- Website dvlc.org.au  
- Conditions of enrolment  
- Checklist for VET enrolments  
- Zero Tolerance Policy towards any non-compliance  
- Amendment in training plan  
- Pre-training review  
- Training plan development policy  
- Out of class work authentication record | No rectification required. |
**GUIDELINE 1.3 - Staff records for each training and assessment staff member must include the following:**

- Verified or certified and/or signed documents are held by the RTO
- Trainer skills matrix – signed by trainer/assessor
- Trainer and assessor qualifications - verified by RTO or otherwise certified
- Vocational qualifications – verified by RTO or otherwise certified
- CV – signed by trainer/assessor
- Professional development activities verified and/or signed by trainer/assessor
- Position description
- Employment contract/agreement

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**GF1.3.1 Finding**

The RTO is **Non-Compliant** with **Guideline 1.3**.

Trainer/assessor records are not consistent with the requirements of the guideline.

The Trainer matrix for Sandra Lutke was not signed and did not provide detail of vocational experience at the unit level.

---

**Evidence/Documentation Reviewed**

- Evidence reviewed at audit:
  - Staff Handbook
  - Training and assessment staff qualifications
  - Teaching under supervision policy
  - Trainer Assessor and Tutor listing 2015
  - Induction and orientation
  - Induction checklist – does not include VET
  - Checklist for delivery and assessment of VET courses
  - Working with children check policy
  - Training staff Handbook checklist
  - Professional Development plan
  - Professional development request form

**Rectification(s)**

**Actions:**

- The RTO should revise the trainer matrix for Sandra Lutke to make sure that it is signed and contains details of vocational experience at the unit level.
**GUIDELINE 2.1** - The provider must demonstrate that it is able to monitor course quality, externally moderate student performance and drive continuous improvement in course delivery.  

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is **Compliant** with Guideline 2.1. The RTO monitors course quality. | Evidence reviewed at audit:  
  - Validation and Moderation policy  
  - Annual Validation plan  
  - Continuous improvement plan  
  - Community of Practice Moderation/Validation plan  
  - ICA10111; ICA20111 and BSB31112 Validation plan 2015-16  
  - EAL Validation history – 2014  
  - CEGEA Validation plan 2015 – 2016  
  - Participate in Safe Food Handling Validation Plan 2015-16  
  - HLTAID001 & HLTAID003 validation plan 2015-16  
  - Validation/Moderation Evidence Sheet  
  - Validation Checklist for Assessment instruments  
  - Quality Indicator survey and report  
  - Community of Practice - Compliance – joint activity within the network, funded by ACFE and headed by PRACE  
  - Assessment Validation and moderation report  
  - 22250VIC – VU21447, VU21449, VU21458; VU21470 | No rectification required. |

**Improvement Opportunities**

The RTO must make sure that they retain evidence of validation for all qualifications and units on their scope of registration. This must be in a consistent format.
GUIDELINE 2.2 - The provider must demonstrate that it has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices.

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is Compliant with Guideline 2.2. | Evidence reviewed at audit:  
- Cheating and plagiarism policy  
- Student Handbook  
- Out of class work authentication record | No rectification required. |

GUIDELINE 2.3 - The provider must demonstrate that they can provide quality education and training to students

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
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</tr>
</thead>
</table>
| The RTO is Compliant with Guideline 2.3. | Evidence reviewed at audit:  
- On line enrolment registration  
- Course creation process in VET trak  
- Enrolment and registration process  
- Enrolment for short courses but is really an expression of interest for VET courses  
- UX approach to designing a website  
- Profile of a range of typical clients and how these are addressed in the website.  
- Internal and external surveys impact on the development of the business plan  
- Security for online payments  
- Marketing and advertising checklist  
- Certification and issuing of qualifications and statements of attainment checklist  
- Records Management policy | No rectification required. |
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- Records Management and Archive policy (does not meet the requirements of the VTG Contract)
- DVLC Retention and disposal schedule of documents
- Financial Management Policy
- Fees and Charges Policy
- Complaints and Appeals policy – includes assessment appeals
- Complaints and appeals form
- Assessment materials checklist
- Training package and course register
- Student withdrawal/transfer/cancellation form
- Request for award of qualification or issue of a Statement of Attainment
- Enrolment policy
- Enrolment process flow chart
- General enrolment checklist for all government students
- Enrolment form
- Website dvlc.org.au
- Conditions of enrolment
- Checklist for VET enrolments
- Zero Tolerance Policy towards any non-compliance
- Amendment in training plan
- Pre-training review
- Training plan development policy
- Out of class work authentication record
- USI
- Fee assistance agreement Semester 1 / 2 2015
- VTG Evidence of Eligibility
**Audit Date:** 16th and 17th November 2015

**RTO:** Diamond Valley Learning Centre Inc.

<table>
<thead>
<tr>
<th>Student files</th>
<th>Other resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Student Withdrawal/transfer/cancellation form</td>
<td>• Victorian Student Number Guidelines</td>
</tr>
<tr>
<td>• VET course application</td>
<td>• Victorian VET Student Statistical Collection Guidelines</td>
</tr>
<tr>
<td>• LLN pre-training assessment</td>
<td>• Guidelines to determine Student Eligibility</td>
</tr>
<tr>
<td>• VET Course Computer skills self-assessment</td>
<td>• VTG internal audit and zero tolerance to non-compliance</td>
</tr>
<tr>
<td>• Trainer instructions for recording attendance &amp; results</td>
<td>• VET Trak Student Management System</td>
</tr>
<tr>
<td>• Certification policy</td>
<td></td>
</tr>
</tbody>
</table>
**GUIDELINE 4.1 - A provider must not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).**

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is <strong>Compliant</strong> with Guideline 4.1.</td>
<td>Evidence reviewed at audit:</td>
<td>No rectification required.</td>
</tr>
<tr>
<td>The RTO does not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course)</td>
<td></td>
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<tr>
<td></td>
<td>• Student Handbook</td>
<td></td>
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<td></td>
<td>• Student welfare policy</td>
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<tr>
<td></td>
<td>• Student safety &amp; security policy</td>
<td></td>
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<td></td>
<td>• Student services policy</td>
<td></td>
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<tr>
<td></td>
<td>• Course Guide 2015</td>
<td></td>
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<tr>
<td></td>
<td>• Timetable</td>
<td></td>
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<tr>
<td></td>
<td>• Student Safety at DVLC brochure</td>
<td></td>
</tr>
</tbody>
</table>

**GUIDELINE 4.2 - A provider must not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).**

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is <strong>Compliant</strong> with Guideline 4.2.</td>
<td>Evidence reviewed at audit:</td>
<td>No rectification required.</td>
</tr>
<tr>
<td>The RTO does not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student)</td>
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<tr>
<td></td>
<td>• Student Handbook</td>
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<tr>
<td></td>
<td>• Student welfare policy</td>
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<tr>
<td></td>
<td>• Student safety &amp; security policy</td>
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<tr>
<td></td>
<td>• Student services policy</td>
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<td></td>
<td>• Course Guide 2015</td>
<td></td>
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<tr>
<td></td>
<td>• Timetable</td>
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</tbody>
</table>
GUIDELINE 4.4 - Providers must indicate the measures they intend to take to address matters of student safety.

<table>
<thead>
<tr>
<th>Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is Compliant with Guideline 4.4</td>
<td>Evidence reviewed at audit:</td>
<td></td>
</tr>
<tr>
<td>Both the RTO and School policies are designed to address matters of student wellbeing and Safety.</td>
<td>• Student Handbook</td>
<td>No rectification required.</td>
</tr>
<tr>
<td></td>
<td>• Student welfare policy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Student safety &amp; security policy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Student services policy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Course Guide 2015</td>
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<tr>
<td></td>
<td>• Timetable</td>
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</tbody>
</table>
GUIDELINE 5.1 - The provider must demonstrate that they have the capacity to deliver and assess ALL the courses requested/on the scope of registration.

<table>
<thead>
<tr>
<th>GF5.1.1 Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
</table>
| The RTO is Non-Compliant with Guideline 5.1 | Evidence reviewed at audit:  
- Training and Assessment Strategies policy  
- Industry consultation policy  
- DVLC industry consultation feedback form  
- Training and assessment strategy checklist | Actions:  
- 9 B certificates are not currently available and will need to be retrieved from Council. |
| The RTO has access to appropriate delivery and assessment plans for each qualification that indicates the modes of delivery.  
9 B certificates are not currently available and will need to be retrieved from Council. |  |  |

- 22237VIC Certificate II in General Education for Adults – Jeff Percy listed as having consulted; No schedule of training provided
- 22250VIC Certificate I in EAL (Access) – Glenroy Neighbourhood Learning Centre and Djerriwarrh Community & Education Services Inc – limited delivery schedule and sample timetable
- BSB31112 Certificate III in Business Administration (Medical) – no industry consultation listed
- SLF20110 Certificate II in Floristry
- HLTAID001 Provide CPR
- HLTAID003 Provide first aid

Training and assessment file for
- SITXFSA201 Participation in safe food handling practices – While the lesson plan refers to practical in the kitchen there was no list of commercial kitchens or supporting activities that would comprise the ‘practical’.

Other documents
Audit Date: 16th and 17th November 2015

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<table>
<thead>
<tr>
<th>Checklist for course essentials</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request for accreditation for the provision of RSA</td>
<td>Evidence reviewed at audit:</td>
<td>Actions:</td>
</tr>
<tr>
<td>Trainer files</td>
<td>• Training and Assessment Strategies policy</td>
<td>The RTO should review the assessment tools and processes which support:</td>
</tr>
<tr>
<td>• Fiona Turner</td>
<td>• Industry consultation policy</td>
<td>• HLTAID001 Provide CPR</td>
</tr>
<tr>
<td>• Jason Drew</td>
<td>• DVLC industry consultation feedback form</td>
<td>• HLTAID003 Provide first aid</td>
</tr>
<tr>
<td>• Rita Szepetko</td>
<td>• Training and assessment strategy checklist</td>
<td>• SFLSOP204A Prepare and care for Floristry Stock</td>
</tr>
<tr>
<td>• Sandra Lutke</td>
<td>Training and assessment strategy:</td>
<td>• SIRXIND001A Work Effectively in a retail environment.</td>
</tr>
</tbody>
</table>

The RTO is Non-Compliant with Guideline 5.1

Assessment is not consistently supported by clear advice to students as to how the unit(s) will be assessed.

The following units were not supported by clear information about the context and conditions for the assessment. They did not describe the tasks to be completed by the student and outline the evidence to be gathered from the student. Clear assessment criteria that would be used to judge the quality of performance were not provided.

- HLTAID001 Provide CPR
- HLTAID003 Provide first aid
- SFLSOP204A Prepare and care for Floristry Stock
- SIRXIND001A Work Effectively in a retail environment.

Evidence reviewed at audit:

- 22237VIC Certificate II in General Education for Adults – Jeff Percy listed as having consulted; No schedule of training provided
- 22250VIC Certificate I in EAL (Access) – Glenroy Neighbourhood Learning Centre and Djerrawur Community & Education Services Inc – limited delivery schedule and sample timetable
- BSB31112 Certificate III in Business Administration (Medical) – no industry consultation listed
- SLF20110 Certificate II in Floristry
- HLTAID001 Provide CPR
- HLTAID003 Provide first aid

Training and assessment file for

to make sure that they are supported by clear advice to students as to how the unit(s) will be assessed.
The RTO is Non-Compliant with Guideline 5.1 as the following units:

- HLTAIM001 Provide CPR
- HLTAIM003 Provide first aid
- SFLSOP204A Prepare and care for Floristry Stock
- SIRXIND001A Work Effectively in a retail environment.

Evidence reviewed at audit:

- Training and Assessment Strategies policy
- Industry consultation policy
- DVLIC industry consultation feedback form
- Training and assessment strategy checklist

Training and assessment strategy:

- 22237VIC Certificate II in General Education for Adults – Jeff Percy listed as having consulted; No schedule of training provided
- 22250VIC Certificate I in EAL (Access) – Glenroy Neighbourhood Learning Centre and Djerrawrr Community & Education Services Inc – limited delivery schedule and sample timetable

Actions:

The RTO should review the assessment tools and processes which support:

- HLTAIM001 Provide CPR
- HLTAIM003 Provide first aid
- SFLSOP204A Prepare and care for Floristry Stock
- SIRXIND001A Work Effectively in a retail environment.

to make sure that they are supported by a mapping of skills and knowledge and critical aspects of evidence against assessment tasks.
**Audit Date:** 16th and 17th November 2015

**RTO:** Diamond Valley Learning Centre Inc.

<table>
<thead>
<tr>
<th>GF5.1.4 Finding</th>
<th>Evidence/Documentation Reviewed</th>
<th>Required Rectification(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is <strong>Non-Compliant</strong> with Guideline 5.1 as the following units:</td>
<td>Evidence reviewed at audit:</td>
<td><strong>Actions:</strong></td>
</tr>
<tr>
<td>- VU21449 Read and write short simple messages and forms</td>
<td>- Training and Assessment Strategies policy</td>
<td>- The RTO should review the assessment tools and processes which support:</td>
</tr>
<tr>
<td>- VU21451 Participate in short simple exchanges</td>
<td>- Industry consultation policy</td>
<td>- HLTAID001 Provide CPR</td>
</tr>
<tr>
<td>- SFLSOP204A Prepare and care for Floristry Stock</td>
<td>- DVLQ industry consultation feedback form</td>
<td>- HLTAID003 Provide first aid</td>
</tr>
<tr>
<td>- SIRXIND001A Work Effectively in a retail environment</td>
<td>- Training and assessment strategy checklist</td>
<td>- SFLSOP204A Prepare and care for Floristry Stock</td>
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</table>

- BSB31112 Certificate III in Business Administration (Medical) – no industry consultation listed
- SLF20110 Certificate II in Floristry
- HLTAID001 Provide CPR
- HLTAID003 Provide first aid

Training and assessment file for
- SITXFSA201 Participation in safe food handling practices
  - While the lesson plan refers to practical in the kitchen there was no list of commercial kitchens or supporting activities that would comprise the 'practical'.

Other documents
- Checklist for course essentials
- Request for accreditation for the provision of RSA

Trainer files
- Fiona Turner
- Jason Drew
- Rita Szepetko
- Sandra Lutke
Audit Date: 16th and 17th November 2015

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- HLTAID001 Provide CPR
- HLTAID003 Provide first aid

were not supported by a clear set of assessment criteria/model answers for each assessment task and an assessor guide that details the process of assessment used by the RTO.

The RTO should make sure that this guide includes:
- An outline of the evidence to be gathered from the student;
- The assessment criteria to be used to judge the quality of performance; and
- The administration, recording and reporting requirements.

- 22237VIC Certificate II in General Education for Adults – Jeff Percy listed as having consulted; No schedule of training provided
- 22250VIC Certificate I in EAL (Access) – Glenroy Neighbourhood Learning Centre and Djerriwarrh Community & Education Services Inc – limited delivery schedule and sample timetable
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- HLTAID001 Provide CPR
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Training and assessment file for
- SITXFSA201 Participation in safe food handling practices – While the lesson plan refers to practical in the kitchen there was no list of commercial kitchens or supporting activities that would comprise the ‘practical’.

Other documents
- Checklist for course essentials
- Request for accreditation for the provision of RSA

Trainer files
- Fiona Turner
- Jason Drew
- Rita Szepetko
- Sandra Lutke

- SIRXIND001A Work Effectively in a retail environment
- VU21449 Read and write short simple messages and forms
- VU21451 Participate in short simple exchanges
to make sure that they are supported by a clear set of assessment criteria/model answers for each assessment task and an assessor guide that details the process of assessment used by the RTO.
### GF5.1.5 Finding

The RTO is Non-Compliant with Guideline 5.1 as the following units:

- HLTAID001 Provide CPR
- HLTAID003 Provide first aid

were not supported by an assessment record sheet for each assessment task.

At present the RTO is combining observation checklists for a range of assessment tasks into one record. This will need to be divided up for each separate assessment task. Each checklist should record evidence of skills being demonstration for that task and provide feedback to the applicant about the outcomes of the assessment process and guidance on future options in relation to those outcomes.

### Evidence/Documentation Reviewed

Evidence reviewed at audit:

- Training and Assessment Strategies policy
- Industry consultation policy
- DVLC industry consultation feedback form
- Training and assessment strategy checklist

Training and assessment strategy:

- 22237VIC Certificate II in General Education for Adults – Jeff Percy listed as having consulted; No schedule of training provided
- 22250VIC Certificate I in EAL (Access) – Glenroy Neighbourhood Learning Centre and Djerriwarrh Community & Education Services Inc – limited delivery schedule and sample timetable
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- HLTAID001 Provide CPR
- HLTAID003 Provide first aid

Training and assessment file for

- SITXFSA201 Participation in safe food handling practices
  – While the lesson plan refers to practical in the kitchen there was no list of commercial kitchens or supporting activities that would comprise the ‘practical’.

Other documents

- Checklist for course essentials
- Request for accreditation for the provision of RSA

### Required Rectification(s)

**Actions:**

The RTO should review the assessment tools and processes which support:

- HLTAID001 Provide CPR
- HLTAID003 Provide first aid

to make sure that each assessment task is supported by an assessment record sheet which records the outcome of that assessment task.
<table>
<thead>
<tr>
<th>Trainer files</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
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<td>Rita Szepetko</td>
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