

ConfidentialDate: 4 July 2008
Version 5**Provet Pty Ltd trading as Animal Industries Resource Centre**

RTO DETAILS			
NTIS number	31424		
Address	14 Main St, Samford Village 4520		
Audit venue	14 Main St, Samford Village 4520		
Contact person	Janine Temple	Web site	http://www.avnrc.com.au
Phone number	(07) 3289-1900	E-mail	jtemple@provet.com.au
Student numbers	Approximately 290 completed students in the previous year.		
AUDIT TEAM			
Lead Auditor	Kim Buchanan	Auditor/s	Jena Chalk
Phone	(07) 3109 0568	Adviser/s	Nil
E-mail	Kim.Buchanan@deta.qld.gov.au	Observer/s	Nil
AUDIT DETAILS			
Type of audit	Post-initial		
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 3.1, 3.2, 3.3.		
Conditions audited	5, 6, 8		
Audit date/s	30 April – 1 May 2009		
Audit outcome on day of audit	Compliant <input type="checkbox"/> Significant non-compliance <input checked="" type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>		
Audit outcome following rectification	Compliant <input checked="" type="checkbox"/> Significant non-compliance <input type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>		
Other audit notes	<p>Animal Industries Resource Centre is the training arm of Provet Pty Ltd and has experienced significant growth since undergoing a change of ownership with Provet Pty Ltd. Approximately 20% of the organisation's business incorporates non-nationally recognised training.</p> <p>Delivery is conducted via distance and supported by face to face mentoring and assessment.</p> <p>The organisation conducts offshore delivery, mainly in Hong Kong, to overseas students undertaking RUV20104 Certificate II in Animal Studies and RUV40404 Certificate IV in Veterinary Nursing. Non-nationally recognised training is also conducted in New Zealand.</p> <p>The organisation does not have any partnering agreements in place.</p> <p>The organisation's target group includes federally funded and fee for service learners who are existing/new employees within veterinary practices.</p> <p>Condition of Registration 5 was examined as the organisation accepts fees in advance from students. In addition, Conditions of Registration 6 and 8 were incorporated as a result of non-compliances identified against Elements 2.2 and 3.3.</p> <p>The audit included qualifications within the BSB07 Business Services and SIR07 Retail Services Training Packages that were recently approved by the department without audit activity.</p>		

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	<p>Following the conduct of the audit, the organisation voluntarily withdrew the following qualifications from its scope of registration:</p> <ul style="list-style-type: none"> • 21478VIC Course in Microchip Implantation of Cats and Dogs • SIR20207 Certificate II in Retail – <i>partial delivery</i> • SIR30207 Certificate III in Retail – <i>partial delivery</i>.
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FOCUS OF AUDIT			
NTIS code	Qualification/Unit of Competence/Accredited Course	Licensed outcome	Delivery site
21478VIC	Course in Microchip Implantation of Cats and Dogs (withdrawn)	No	National and offshore (Hong Kong)
RUV20104	Certificate II in Animal Studies		
RUV50404	Diploma of Veterinary Nursing (Emergency and Critical Care)		
BSB31207	Certificate III in Frontline Management – <i>partial delivery</i>		
BSB40807	Certificate IV in Frontline Management		
SIR20207	Certificate II in Retail – <i>partial delivery</i> (withdrawn)		
SIR30207	Certificate III in Retail – <i>partial delivery</i> (withdrawn)		

INTERVIEWEE/S		
Mark Hardwick, General Manager	Janine Temple, Commercial Manager	Tracy Woodland, Enrolments and Internal Training Supervisor
Lauren Palmer, Enrolments and AQTF Coordinator	Mik O'Leary, Trainer/Assessor	

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Standard 1: The RTO provides quality training and assessment across all of its operations.

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

Intent: The RTO improves training and assessment arrangements in accordance with data collected.

At time of audit:
☒ Compliant
☐ Not Compliant
☐ Not Audited

The organisation's continuous improvement approach:

Y N

- ☒ ☐ ensures that trainers and assessors systematically validate and improve processes, assessment tools and evidence requirements.
- ☒ ☐ involves staff, clients and industry stakeholders (eg employers, skills councils etc)
- ☒ ☐ uses qualitative and/or quantitative data to determine the need for improvements to training and assessment.

Y N N/A

- ☒ ☐ ☐ Improvements to training and assessment are demonstrated.

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 stakeholders.

Intent: Industry engagement and support is evident in the development of all training and assessment strategies. All training and assessment strategies meet the requirements of the training package or accredited course.

At time of audit:
☐ Compliant
☒ Not Compliant

The organisation develops training and assessment strategies and training programs that:

Y N

- ☐ ☒ provide sufficient information regarding delivery and assessment methods
- ☐ ☒ ensure that learners receive training and assessment that meets the needs of their identified target group
- ☒ ☐ industry engagement and support is evident
- ☐ ☒ meet all requirements of the training package qualification or accredited course, including identifying units of competency.

Following rectification:
☒ Compliant
☐ Not Compliant

Non-compliances:

21478VIC Course in Microchip Implantation of Cats and Dogs

The training and assessment strategy does not meet the requirements of the accredited course as it indicates that each element is a separate unit of competency.

Additionally, the strategy incorrectly lists Crampton Consulting Group Pty Ltd as trustee for the Hardwick Family Trust as the RTO.

RUV20104 Certificate II in Animal Studies

The organisation provided two documented strategies for this qualification. Each of these strategies do not meet the requirements of the qualification as it requires learners to undertake a greater number of units of competency than is required by the qualification packaging rules. One strategy lists 14 units and the other strategy lists 12; however, the qualification requires learners to undertake 10 units of competency.

Additionally, the strategy does not include nominated trainer/assessor, Mik O'Leary.

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BSB31207 Certificate III in Frontline Management (partial)

SIR20207 Certificate II in Retail (partial)

SIR30207 Certificate III in Retail (partial)

The organisation did not provide evidence of training and assessment strategies regarding the partial delivery of the qualifications listed above.

Rectification required:

21478VIC Course in Microchip Implantation of Cats and Dogs

RUV20104 Certificate II in Animal Studies

BSB31207 Certificate III in Frontline Management (partial)

SIR20207 Certificate II in Retail (partial)

SIR30207 Certificate III in Retail (partial)

The organisation is requested to provide evidence that it has developed training and assessment strategies for the qualifications and accredited course listed above. The strategies are required to:

- meet the requirements of the relevant training package/accredited course
- provide guidance to trainers and assessors
- ensure that learners receive training and assessment that meets both individual and current industry needs
- indicate the methods of assessment utilised for each unit of competency
- reflect the organisation's current name
- include reference to all nominated trainers and assessors.

In addition, if the amended training and assessment strategy for RUV20104 Certificate II in Animal Studies includes a greater number of units than is required by the training package, the organisation is to provide evidence to demonstrate how learners are informed that completion of the additional unit/s is not required to achieve this qualification.

Analysis of rectification evidence received 9 June 2009:

RUV20104 Certificate II in Animal Studies

The organisation provided evidence of an amended training and assessment strategy which now meets the requirements of the training package and addresses the non-compliances outlined above. This strategy now includes Mik O'Leary as a nominated trainer/assessor.

BSB31207 Certificate III in Frontline Management (partial)

The organisation provided evidence of a training and assessment strategy for the delivery of units within its scope for the partial delivery of this qualification.

Note: On 26 and 27 May 2009, the organisation voluntarily relinquished the following qualifications and accredited course:

21478VIC Course in Microchip Implantation of Cats and Dogs

SIR20207 Certificate II in Retail (partial)

SIR30207 Certificate III in Retail (partial).

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 training and assessment strategies.

Intent: *The resources used by the RTO across all of its operations are consistent with current industry standards.*

At time of audit:

- ☐ Compliant
☒ Not Compliant
☐ Not Audited

Y N

☒ ☐ The organisation has access to suitable facilities for its training and assessment

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- activities
- | | | |
|--|--|--|
| <input checked="" type="checkbox"/> <input type="checkbox"/> | The organisation has access to suitable equipment meeting the requirements of industry and the training package or accredited course. | Following rectification:
<input checked="" type="checkbox"/> Compliant
<input type="checkbox"/> Not Compliant |
| <input checked="" type="checkbox"/> <input type="checkbox"/> | The organisation has access to training materials that meet the requirements of industry stakeholders and the training package or accredited course and which adequately support the learner in achieving the required level of competence | |
| <input type="checkbox"/> <input checked="" type="checkbox"/> | The organisation has access to suitable human resources (refer to element 1.4) | |
| <input type="checkbox"/> <input checked="" type="checkbox"/> | The organisation has access to suitable assessment materials (refer to element 1.5). | |

Non-compliances:

Refer to Elements 1.4 and 1.5.

Rectification required:

Refer to Elements 1.4 and 1.5.

- 1.4: Training and assessment are conducted by trainers and assessors who:**
- have the necessary training and assessment competencies as determined by the National Quality Council or its successors
 - have the relevant vocational competencies at least to the level being delivered or assessed, and continue developing their vocational and training and assessment competencies to support continuous improvements in the delivery of the RTO's services.

Intent: All trainers and assessors of nationally recognised training meet national benchmark competency requirements and continue to develop their competence.

At time of audit:
☐ Compliant
☒ Not Compliant

The organisation verifies that trainers and assessors:

Y N

- | | | |
|--|--|--|
| <input type="checkbox"/> <input checked="" type="checkbox"/> | meet national benchmark competency requirements (as detailed below) | Following rectification:
<input checked="" type="checkbox"/> Compliant
<input type="checkbox"/> Not Compliant |
| <input type="checkbox"/> <input checked="" type="checkbox"/> | continue to develop their competency by: <ul style="list-style-type: none"> • supporting them in meaningful engagement with industry and relevant professional bodies • supporting their professional development in teaching and learning methods • fostering a culture of critical evaluation and innovation. | |

21478VIC Course in Microchip Implantation of Cats and Dogs
 RUV20104 Certificate II in Animal Studies
 RUV50404 Diploma of Veterinary Nursing (Emergency and Critical Care)

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> | TAA40104 Certificate IV in Training and Assessment or equivalent competencies |
| <input checked="" type="checkbox"/> | BSZ40198 Certificate IV in Assessment and Workplace Training or equivalent competencies |
| <input type="checkbox"/> | Trainer does not hold training and/or assessment competencies, but acts within suitable partnership or supervision arrangements. |

Note: the organisation did not provide evidence of a copy of this trainer and assessor's training and assessment competencies.

Relevant vocational qualifications

- Bachelor of Veterinary Science issued by the University of Queensland on 16 December 1980 (No 27/81). Discussion with the organisation confirmed that micro-chipping is a standard inclusion in this degree.

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Relevant vocational experience

Resume indicated:

- extensive industry experience as a veterinarian nurse trainer and assessor (2001 to present) and current training consultant with Animal Industry Resource Centre. Duties include: presentation and lecturing; individual assessment; and creation of written and visual content.
- employment in veterinarian practices from 1981 to 2006 throughout Victoria, South Australia, Tasmania and Queensland. Duties include: client communication; medical diagnosis and investigation; surgical – particularly orthopaedic; radiography and laboratory medicine.

Relevant professional development

- holds current registration with the Veterinary Board of Tasmania (roll # 079)
- current membership - Australian Veterinary Association (1990 – present)
- regularly participates in in-house validation/moderation activities
- electronic newsletters regarding industry, AQTF and training/assessment
- access to internal newsletter - 'QAC quality and compliance system
- staff library contains industry texts and reference materials.

Non-compliances:

M

No evidence was provided to support that this trainer/assessor has the training and assessment competencies as required by the National Quality Council.

Rectification required:

The organisation is requested to provide evidence to support that [REDACTED] has the training and assessment competencies as required by the National Quality Council.

Analysis of rectification evidence received 9 June 2009:

The organisation provided evidence to support that [REDACTED] has the qualification BSZ40198 Certificate IV in Assessment and Workplace Training.

T [REDACTED] (delivery in Hong Kong)

RUV20104 Certificate II in Animal Studies

- ☐ TAA40104 Certificate IV in Training and Assessment or equivalent competencies
- ☐ BSZ40198 Certificate IV in Assessment and Workplace Training or equivalent competencies
- ☐ Trainer does not hold training and/or assessment competencies, but acts within suitable partnership or supervision arrangements.

Relevant vocational qualifications

- Statement of attainment for five units of competency within RUV40198 Certificate IV in Veterinary Nursing, 18/10/2001 (Certificate# 0149991)
- Resume indicates Certificate IV in Veterinary Nursing (1998).

Relevant vocational experience

- Current – 2001 International Operations Manager, Operations/Business Development Manager, and Personal Training Consultant. Duties include: training and assessment of vet nurses, animal control and animal care retail staff; mentoring students; budgeting, finance, staffing management; consulting in veterinary practices

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- 2005 – 2004 Locum Veterinary Nurse, A [REDACTED]. Duties include: triage; emergency care; customer service
- 2002 – 1993 Veterinary Nurse, W [REDACTED] s Veterinary Clinic. Duties include: nursing; surgical; radiography; instrument care and clinic hygiene; grooming and reception service
- 2001 – 1998 Animal Management Officer, (part time). Duties include registration; micro-chipping and pound procedures.

Relevant professional development

- resume indicated various memberships to industry related stakeholders, for example the Veterinary Nurses Council of Australia and Urban Animal Management Committee
- development and presentation of research papers at Urban Animal Management Conferences in Hobart in 2000 and 2006
- electronic newsletters regarding industry, AQTF and training/assessment
- access to internal newsletter - 'QAC quality and compliance system.'

Non-compliances:

T [REDACTED]
During the audit, it was identified that [REDACTED] does not have the training and assessment competencies as required by the National Quality Council. The organisation provided a resume which indicated [REDACTED] has a Certificate IV in Workplace Training (1998); however, evidence sighted confirmed the qualification held was a 'Category 2' qualification which precedes BSZ40198 Certificate IV in Assessment and Workplace Training. Discussions with the organisation indicated that [REDACTED] will train and assess under the supervision of V [REDACTED] until such time as she undertakes TAA40104 Certificate IV in Training and Assessment.

The organisation provided a resume for T [REDACTED] II which did not include sufficient details regarding current industry experience since 2005 and did not clearly articulate how this trainer and assessor's past work history and experience relates to RUV20104 Certificate II in Animal Studies.

Additionally, insufficient evidence was provided to support that T [REDACTED] has undertaken professional development activities to develop her vocational and training and assessment competencies to support continuous improvement in the delivery of the qualification RUV20104 Certificate II in Animal Studies.

Rectification required:

The organisation is requested to provide evidence to support that [REDACTED] has the training and assessment competencies as required by the National Quality Council. Alternatively, the organisation may provide evidence of the specific supervisory arrangements under which T [REDACTED] will train and assess the qualification RUV20104 Certificate II in Animal Studies. Should the organisation provide evidence of a supervisory agreement, it **must also provide the following evidence for the nominated supervisory trainer and assessor i.e. V [REDACTED]**

- the training and assessment competencies as required by the National Quality Council
- the vocational competencies to deliver training and assessment services for the qualification RUV20104 Certificate II in Animal Studies
- undertaken professional development activities to develop her vocational, training and assessment competencies

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The organisation is to provide evidence that clearly articulates how this trainer and assessor's past work history and experience relates to RUV20104 Certificate II in Animal Studies.

Additionally, the organisation is to provide evidence that [REDACTED] has undertaken professional development activities to develop her training and assessment competencies to support continuous improvement in the delivery of the qualification RUV20104 Certificate II in Animal Studies. Evidence could incorporate for example, a detailed plan of scheduled professional development activities; evidence of enrolment in TAA40104 Certificate IV in Training and Assessment.

Analysis of rectification evidence received 9 June 2009:

The organisation provided evidence of the following which address the non-compliances identified above:

- evidence of enrolment in TAA40104 Certificate IV in Training and Assessment
- completed documentation regarding a supervisory agreement and professional development activities undertaken
- resume outlining relevant work history
- vocational competencies relevant to RUV20104 Certificate II in Animal Studies.

In addition, the organisation provided the following evidence for Vic [REDACTED] in response to rectification requested. This evidence supports that V [REDACTED] meets the requirements of this Element and the relevant training package.

- evidence of BSZ40198 Certificate IV in Assessment and Workplace Training
- relevant vocational qualifications and work history
- evidence of professional development activities undertaken.

Summary of evidence**BSB40807 Certificate IV in Frontline Management****BSB31207 Certificate III in Frontline Management**

Partial delivery: BSBCUS301A Deliver and monitor a service to customers; BSBFLM303C Contribute to effective workplace relationships)

RUV20104 Certificate II in Animal Studies**SIR20207 Certificate II in Retail**

Partial delivery: SIRXCCS001A Apply point-of-sale handling procedures; SIRXICT001A Operate retail technology)

SIR30207 Certificate III in Retail

Partial delivery: SIRXMER002A Coordinate merchandise presentation

- ☒ TAA40104 Certificate IV in Training and Assessment or equivalent competencies
- ☐ BSZ40198 Certificate IV in Assessment and Workplace Training or equivalent competencies
- ☐ Trainer does not hold training and/or assessment competencies, but acts within suitable partnership or supervision arrangements.

Relevant vocational qualifications

- RUV40198 Certificate IV in Veterinary Nursing from Australian Veterinary Nurse Resource Centre, 2001
- RUV40404 Certificate IV in Veterinary Nursing, Australian Veterinary Nurse Resource Centre, 2006
- Three academic transcripts for Certificate IV in Small Business Management, Open

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Learning Australia, 1997

- Statement of attainment for Bachelor of Business (Marketing) from Charles Sturt University, 2009
- Statement of attainment for five units of competency within RUV50198 Diploma of Veterinary Nursing Management, from AIRC 2001.

Relevant vocational experience

- 2009 – 2008 Commercial Manager - AIRC. Duties include internal staff training and development; performance reviews; frontline management role involving stakeholders (customers, staff, senior management); marketing; liaison with clients incorporating inventory and data management, merchandising, sales, customer service, general business management; financial and accounting systems; merchandising within vet practices. Also assists veterinary practices in the basic practical components of animal care
- 2008 – 2007 National Business Development Manager (Training Services), [REDACTED] In [REDACTED] Australia. Duties include business development; funding; marketing; staff training; budgets
- 2007 – 2006 Queensland Training Manager, [REDACTED] Veterinary Australia. Duties incorporated occupational health and safety
- 2006 – 2002 Operations Manager, AIRC
- 2002 – 1991 Practice Manager, [REDACTED] Veterinary Hospital.

Relevant professional development

- develops and disseminates 'QAC' quality and compliance system – an internal newsletter
- attendance at monthly managers meetings; quarterly teleconferences incorporating validation/moderation activities
- attendance at annual retreat which incorporates validation and moderation activities and strategic planning
- 2009 speaker at 'EVA national conference, NSW
- 2008 attendance at 'Reframing the future' – VIC; VET Educators Forum, SA
- 2008 participated in QLD Rural Industry Training Council – validation/moderation activities (sighted completed validation documents)
- attendance at 'validating learning and assessment tools' workshop
- participates in in-house commercial training
- review of various industry journals, for example, AVNJ – Australian Vet Nurses Journal, The Veterinarian
- membership to VNCA – Veterinary Nurses Council Of Australia
- significant evidence was provided of comprehensive industry related, AQTF and training and assessment professional development activities undertaken.

C [REDACTED]

BSB31207 Certificate III in Frontline Management

Partial delivery: BSBCUS301A Deliver and monitor a service to customers; BSBFLM303C

Contribute to effective workplace relationships)

SIR20207 Certificate II in Retail

Partial delivery: SIRXCCS001A Apply point-of-sale handling procedures; SIRXICT001A

Operate retail technology)

SIR30207 Certificate III in Retail

Partial delivery: SIRXMER002A Coordinate merchandise presentation

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- ☐ TAA40104 Certificate IV in Training and Assessment or equivalent competencies
- ☐ BSZ40198 Certificate IV in Assessment and Workplace Training or equivalent competencies
- ☒ Trainer does not hold training and/or assessment competencies, but acts within suitable partnership or supervision arrangements.

Relevant vocational qualifications

- Statement of attainment for five units of competency (RUVVEN401, 402, 403, 404, 405) within RUV40404 Certificate IV in Veterinary Nursing (Certificate # 0149951) from Animal Industry Resource Centre dated 14/7/2003
- resume indicated various additional veterinary nursing qualifications; however, copies were not provided. For example: Certificate in Clinical Thinking Veterinary Technician (AIRC) 2007; Certificate IV in Veterinary Nursing (AIRC) 2003.

Relevant vocational experience

- Current - May 2008: Student and Training Coordinator, AIRC
- resume indicated consistent employment in veterinary industry from December 2005 to present. Duties include: customer service; point of sale transactions; refunds; selling medications; restocking shelves in reception area; merchandising; veterinary nursing practices.

Relevant professional development

- currently undertaking TAA40104 Certificate IV in Training and Assessment
- recent industry employment as a veterinary nurse ([REDACTED])
- membership to Veterinary Nursing Council Australia, treasurer for Queensland division
- electronic newsletters regarding industry, AQTF and training/assessment
- access to internal newsletter - 'QAC quality and compliance system
- staff library contains industry texts and reference materials.

RUV20104 Certificate II in Animal Studies**BSB31207 Certificate III in Frontline Management**

Partial delivery: BSBCUS301A Deliver and monitor a service to customers; BSBFLM303C Contribute to effective workplace relationships)

SIR20207 Certificate II in Retail

Partial delivery: SIRXCCS001A Apply point-of-sale handling procedures; SIRXICT001A Operate retail technology)

SIR30207 Certificate III in Retail

Partial delivery: SIRXMER002A Coordinate merchandise presentation

- ☐ TAA40104 Certificate IV in Training and Assessment or equivalent competencies
- ☒ BSZ40198 Certificate IV in Assessment and Workplace Training
- ☐ Trainer does not hold training and/or assessment competencies, but acts within suitable partnership or supervision arrangements.

Relevant vocational qualifications

- RUV40198 Certificate IV in Veterinary Nursing issued by Brisbane Institute of TAFE on 22 May 2000 (Doc # 07000178Q4)
- CN0102 Advanced Certificate in Veterinary Nursing issued by Brisbane Institute of TAFE on 31 January 2000 (Doc # 07000012AC)

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- resume indicated various additional veterinary nursing qualifications; copies were sighted.

Relevant vocational experience

- 2007 – Current Training Coordinator, AIRC
- 2008 – Current Veterinary Nurse, S [REDACTED] Veterinary Hospital. Duties include: customer relations, point of sale transactions; stock control; pricing; assisting in surgery, radiology and medical cases; monitoring anaesthetics; merchandising
- resume indicates extensive veterinary nursing experience from 1998 to present
- resume folder included various letters of reference from previous employers in the veterinary industry.

Relevant professional development

- extensive industry professional development activities undertaken such as, Novartis and Hill's Veterinary Nutritional Adviser programme
- attendance at seminars, for example, 2008 - 'Dealing with difficult people'; 'Conflict Resolution'; Gold Coast Veterinary Nursing Seminar 2006
- membership to National Industry Advisory Group for Veterinary Nurses
- electronic newsletters regarding industry, AQTF and training/assessment
- access to internal newsletter - 'QAC quality and compliance system'
- staff library contains industry texts and reference materials.

1.5: Assessment:

- meet the requirements of the relevant training package or accredited course
- is conducted in accordance with the principles of assessment and the rules of evidence
- meets workplace and, where relevant, regulatory requirements.

Intent: Assessment ensures that only learners who hold the requisite skills and knowledge are certified as competent.

At time of audit:
☐ Compliant
☒ Not Compliant

21478VIC Course in Microchip Implantation of Cats and Dogs

VBN287 Perform microchip implantation procedures for cats and dogs

Assessment tools consist of:

- student assessments and activities booklet comprising written and practical activities

Following rectification:
☒ Compliant
☐ Not Compliant

For this unit, the organisation's assessment materials:

Y N N/A

- | | | |
|--------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address performance criteria |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address critical aspects of evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required knowledge |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required skill |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- ☐ ☒ developed suitable benchmarking information for all assessment tools

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- ☐ ☒ provided information to students about the context and purpose of assessment
☒ ☐ developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes.

Y N

- ☐ ☒ For this unit, the organisation has gathered sufficient evidence to make a valid judgement of competence (including RPL outcomes) for the following students:

- [REDACTED]
- [REDACTED]

Non-compliances:

21478VIC Course in Microchip Implantation of Cats and Dogs

VB287 Perform microchip implantation procedures for cats and dogs

The assessment materials provided by the organisation do not meet the requirements of this accredited course as they do not sufficiently address all the specific knowledge and skills requirements necessary to achieve the performance criteria.

Activity four incorporates a practical activity utilising stuffed animals; however, no evidence was provided to support that the organisation has developed an assessment tool to gather and record evidence for this activity.

Additionally, discussions indicated assessors conduct a practical assessment via observation; however, no evidence was provided to support that the organisation has developed an assessment tool to gather and record evidence for this activity.

The workplace activity (third party report) comprises four overarching tasks and does not interpret the unit requirements into workplace based tasks/behaviours the student would demonstrate and that the employer would observe the student undertake in the workplace. The organisation is expected to interpret the unit requirements into terminology appropriate to the workplace.

The written assessment does not include sufficient instruction to learners or assessors regarding the context and purpose of the assessment.

Assessment materials sighted do not provide for an assessor's signature.

Insufficient evidence of benchmark criteria were provided to enable assessors to make a valid determination of competence and to ensure consistency across a range of learners and assessors.

Assessment materials do not align to methods of assessment indicated in the training and assessment strategy.

Rectification required:

21478VIC Course in Microchip Implantation of Cats and Dogs

VB287 Perform microchip implantation procedures for cats and dogs

The organisation is requested to provide assessment materials for this unit of competency, ensuring that:

- The materials address all the requirements of the unit of competency (elements, knowledge and skills, range statement, context and consistency, critical aspects) and confirm the organisation's ability and capacity to develop assessment materials that

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meet all the requirements of the accredited course.

- Evidence that benchmark criteria have been developed for all assessment materials.
- Where the assessment is via practical observation of skills, the assessment materials interpret the requirements of the unit of competency into observable behaviours (tasks) to enable an assessor to make a valid judgement of competence and to ensure consistency across a range of learners and assessors.
- Where supplementary evidence is gathered via a third party report, it interprets the requirements of the unit of competency into observable behaviours (tasks) to enable a third party to make a valid determination. The third party report may only be used to verify a learner's competence in the workplace and does not substitute practical or theoretical assessment of a learner conducted by a qualified assessor.
- Evidence that it has developed information to the learner as to the context and purpose of assessment.
- The assessment materials align with the assessment methods identified in the strategies for training and assessment.

Note: On 26 May 2009, the organisation voluntarily relinquished this accredited course from its scope of registration.

RUV20104 Certificate II in Animal Studies

RUV2103A Assist with general animal care

RUV2108A Rescue animals and apply basic animal care

Assessment tools consist of:

- holistic assessment tool incorporating practical and knowledge based assessment
- additional written assessment for each unit
- two case studies incorporating a practical assessment feedback tool.

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- | | | |
|-------------------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address performance criteria |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> sufficiently address critical aspects of evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required knowledge |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address required skill |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- | | | |
|-------------------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |

Y N

- | | | |
|--------------------------|-------------------------------------|---|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | For this unit, the organisation has gathered sufficient evidence to make a valid judgement of competence (including RPL outcomes) for the following students: |
|--------------------------|-------------------------------------|---|

- [REDACTED]

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– overseas student from Hong Kong.

RUV20104 Certificate II in Animal Studies

RUV2103A Assist with general animal care

RUV2108A Rescue animals and apply basic animal care

The assessment materials provided by the organisation do not meet the requirements of these units as they do not sufficiently address all the specific knowledge requirements necessary to achieve the performance criteria.

The written assessment and feedback form indicates competency is determined via graded assessment and as such does not comply with the principles of competency based assessment. For example, the written assessments incorporate pass marks and the feedback form makes reference to the following terminology: below standards, needs improvement, competent and above standard.

Benchmark criteria were not sufficient to enable assessors to make a valid determination of competence and to ensure consistency across a range of learners and assessors.

Assessment materials do not align to methods of assessment indicated in the training and assessment strategy.

Rectification required:

RUV20104 Certificate II in Animal Studies

RUV2103A Assist with general animal care

RUV2108A Rescue animals and apply basic animal care

The organisation is requested to provide assessment materials for these units of competency, ensuring that:

- The materials address all the requirements of the unit of competency (elements, knowledge and skills, range statement, context and consistency, critical aspects) and confirm the organisation's ability and capacity to develop assessment materials that meet all the requirements of the qualification.
- Evidence that benchmark criteria have been developed for all assessment materials.
- Where the assessment is via practical observation of skills, the assessment materials interpret the requirements of the unit of competency into observable behaviours (tasks) to enable an assessor to make a valid judgement of competence and to ensure consistency across a range of learners and assessors.
- Where supplementary evidence is gathered via a third party report, it interprets the requirements of the unit of competency into observable behaviours (tasks) to enable a third party to make a valid determination. The third party report may only be used to verify a learner's competence in the workplace and does not substitute practical or theoretical assessment of a learner conducted by a qualified assessor.
- Evidence that it has developed information to the learner as to the context and purpose of assessment.
- The assessment materials align with the assessment methods identified in the strategies for training and assessment.

Analysis of rectification evidence received 9 June 2009:

RUV20104 Certificate II in Animal Studies

RUV2103A Assist with general animal care

RUV2108A Rescue animals and apply basic animal care

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The assessment materials provided for the units of competency listed above supports that the full range of assessment material for the examined units of competency have been reviewed and updated to address the identified non-compliances.

RUV50404 Diploma of Veterinary Nursing (Emergency and Critical Care)

RUV5606A Perform emergency procedures to sustain life

RUV5607A Provide nursing support for critical care surgery

Note: the assessment tools provided holistically assess the units listed above and the additional unit *RUV5605A Prepare for emergency response*.

Assessment tools consist of:

- practical assessment
- written assessment (multiple choice)
- three diarised case studies (radiographic, anaesthetic, surgery)
- case report sheet (third party report).

For this unit, the organisation's assessment materials:

Y N N/A

- | | | |
|--------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address performance criteria |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address critical aspects of evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required knowledge |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required skill |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- | | | |
|-------------------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |

Y N

- | | | |
|--------------------------|-------------------------------------|---|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | For this unit, the organisation has gathered sufficient evidence to make a valid judgement of competence (including RPL outcomes) for the following students: |
|--------------------------|-------------------------------------|---|

[REDACTED]

Non-compliances:

RUV50404 Diploma of Veterinary Nursing (Emergency and Critical Care)

RUV5606A Perform emergency procedures to sustain life

RUV5607A Provide nursing support for critical care surgery

The assessment materials provided by the organisation do not meet the requirements of these units as they do not sufficiently address all the critical aspects of evidence, specific knowledge and skills requirements necessary to achieve the performance criteria.

The assessment materials do not include sufficient instruction to learners or assessors regarding the context and purpose of the assessment activities.

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The assessment materials indicate competency is determined via graded assessment and as such does not comply with the principles of competency based assessment.

Benchmark criteria were not sufficient to enable assessors to make a valid determination of competence and to ensure consistency across a range of learners and assessors.

The case report sheet (third party report) comprises overarching tasks, for example, 'urine measurement' and does not interpret the unit requirements into workplace based tasks/behaviours the student would demonstrate and that the employer would observe the student undertake in the workplace. The organisation is expected to interpret the unit requirements into terminology appropriate to the workplace.

Assessment materials do not align to methods of assessment indicated in the training and assessment strategy.

Rectification required:

RUV50404 Diploma of Veterinary Nursing (Emergency and Critical Care)

RUV5606A Perform emergency procedures to sustain life

RUV5607A Provide nursing support for critical care surgery

The organisation is requested to provide assessment materials for these units of competency, ensuring that:

- The materials address all the requirements of the unit of competency (elements, knowledge and skills, range statement, context and consistency, critical aspects) and confirm the organisation's ability and capacity to develop assessment materials that meet all the requirements of the qualification.
- Evidence that benchmark criteria have been developed for all assessment materials.
- Where the assessment is via practical observation of skills, the assessment materials interpret the requirements of the unit of competency into observable behaviours (tasks) to enable an assessor to make a valid judgement of competence and to ensure consistency across a range of learners and assessors.
- Where supplementary evidence is gathered via a third party report, it interprets the requirements of the unit of competency into observable behaviours (tasks) to enable a third party to make a valid determination. The third party report may only be used to verify a learner's competence in the workplace and does not substitute practical or theoretical assessment of a learner conducted by a qualified assessor.
- Evidence that it has developed information to the learner as to the context and purpose of assessment.
- The assessment materials align with the assessment methods identified in the strategies for training and assessment.

Analysis of rectification evidence received 9 June 2009:

RUV50404 Diploma of Veterinary Nursing (Emergency and Critical Care)

RUV5606A Perform emergency procedures to sustain life

RUV5607A Provide nursing support for critical care surgery

The assessment materials provided for the units of competency listed above supports that the full range of assessment material for the examined units of competency have been reviewed and updated to address the identified non-compliances.

BSB31207 Certificate III in Frontline Management – partial

BSBCUS301A Deliver and monitor a service to customers

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BSBFLM303C Contribute to effective workplace relationships

Assessment tools consist of:

- No assessment tools were provided.

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- | | | |
|--------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address performance criteria |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> sufficiently address critical aspects of evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required knowledge |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required skill |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- | | | |
|--------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |

- | | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Student files were not examined, as no delivery has occurred. |
|-------------------------------------|---|

Non-compliances:

BSB31207 Certificate III in Frontline Management

BSBCUS301A Deliver and monitor a service to customers

BSBFLM303C Contribute to effective workplace relationships

During the audit, the organisation advised that non-compliances identified against the units examined within the qualifications SIR20207 Certificate II in Retail and SIR30207 Certificate II in Retail would also be found across the assessment tools for this qualification. Consequently, the organisation did not provide evidence of assessment tools for these units and agreed to provide a full range of assessment materials in its rectification evidence submission.

Rectification required:

BSB31207 Certificate III in Frontline Management

BSBCUS301A Deliver and monitor a service to customers

BSBFLM303C Contribute to effective workplace relationships

The organisation is requested to provide a full range of assessment materials for these units of competency, ensuring that:

- The materials address all the requirements of the unit of competency (elements, knowledge and skills, range statement, context and consistency, critical aspects) and confirm the organisation's ability and capacity to develop assessment materials that meet all the requirements of the qualification.
- Evidence that benchmark criteria have been developed for all assessment materials.
- Where the assessment is via practical observation of skills, the assessment materials interpret the requirements of the unit of competency into observable behaviours (tasks) to enable an assessor to make a valid judgement of competence and to ensure consistency across a range of learners and assessors.

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- Where supplementary evidence is gathered via a third party report, it interprets the requirements of the unit of competency into observable behaviours (tasks) to enable a third party to make a valid determination. The third party report may only be used to verify a learner's competence in the workplace and does not substitute practical or theoretical assessment of a learner conducted by a qualified assessor.
- Evidence that it has developed mechanisms to provide feedback to learners on assessment outcomes.
- Evidence that it has developed information to the learner as to the context and purpose of assessment.
- The assessment materials align with the assessment methods identified in the strategies for training and assessment.

Analysis of rectification evidence received 9 June 2009:

BSB31207 Certificate III in Frontline Management

BSBCUS301A Deliver and monitor a service to customers

BSBFLM303C Contribute to effective workplace relationships

The organisation provided evidence of the following assessment materials:

- Case studies
- Portfolio
- Observation checklist incorporating verbal questioning
- Third party report.

The combined assessment tools sufficiently address the requirements of these units.

BSB40807 Certificate IV in Frontline Management

BSBMGT402A Implement operational plan

BSBCUS401A Coordinate implementation of customer service strategies

Assessment tools consist of:

- purchased resources - smallPRINT VC6 March 2008.

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- | | | |
|--------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address performance criteria |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> sufficiently address critical aspects of evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required knowledge |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required skill |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- | | | |
|--------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |

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Version 5**Provet Pty Ltd trading as Animal Industries Resource Centre**☒ Student files were not examined, as no delivery has occurred.**Non-compliances:****BSB40807 Certificate IV in Frontline Management***BSBMGT402A Implement operational plan**BSBCUS401A Coordinate implementation of customer service strategies*

The assessment materials provided by the organisation do not meet the requirements of these units as they do not sufficiently address all the critical aspects for assessment and required knowledge and skills requirements necessary to achieve the performance criteria

The 'assessment strategy 1 – current competency' assessment tool comprises a listing of the critical aspects of evidence; required knowledge and skills. This listing is a direct copy from the unit and has not been 'unpacked' or interpreted to inform a learner of the unit performance requirements including observable behaviours (tasks).

The third party report consists of a listing of the performance criteria and provides no interpretation of the unit requirements into workplace based tasks/behaviours the student would demonstrate and that the employer would observe the student undertake in the workplace. The organisation is expected to interpret the unit requirements into terminology appropriate to the workplace.

The assessment materials provided do not adequately provide for the recording of feedback to learners or a final judgement of competence.

Benchmark criteria were not sufficient to enable assessors to make a valid determination of competence and to ensure consistency across a range of learners and assessors.

No evidence was provided to demonstrate that the organisation has conducted a review of the purchased assessment resources to ensure they meet all the requirements of the training package, the individual needs of the relevant target groups and reflect the organisation's training and assessment methodologies.

Rectification required:**BSB40807 Certificate IV in Frontline Management***BSBMGT402A Implement operational plan**BSBCUS401A Coordinate implementation of customer service strategies*

The organisation is requested to provide assessment materials for these units of competency, ensuring that:

- The materials address all the requirements of the unit of competency (elements, knowledge and skills, range statement, context and consistency, critical aspects) and confirm the organisation's ability and capacity to develop assessment materials that meet all the requirements of the qualification.
- Evidence that benchmark criteria have been developed for all assessment materials.
- Where the assessment is via practical observation of skills, the assessment materials interpret the requirements of the unit of competency into observable behaviours (tasks) to enable an assessor to make a valid judgement of competence and to ensure consistency across a range of learners and assessors.
- Where supplementary evidence is gathered via a third party report, it interprets the requirements of the unit of competency into observable behaviours (tasks) to enable a third party to make a valid determination. The third party report may only be used to verify a learner's competence in the workplace and does not substitute practical or

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theoretical assessment of a learner conducted by a qualified assessor.

- Evidence that it has developed mechanisms to provide feedback to learners on assessment outcomes.
- Evidence that it has developed information to the learner as to the context and purpose of assessment.
- The assessment materials align with the assessment methods identified in the strategies for training and assessment.

Analysis of rectification evidence received 9 June 2009:

BSB40807 Certificate IV in Frontline Management

BSBMGT402A Implement operational plan

BSBCUS401A Coordinate implementation of customer service strategies

The organisation provided evidence of the following assessment materials:

- Written assessment
- Project
- demonstration
- Verbal questioning
- Activities.

The combined assessment tools sufficiently address the requirements of these units.

SIR20207 Certificate II in Retail

SIRXCCS001A Apply point-of-sale handling procedures

SIRXICT001A Operate retail technology

Assessment tools consist of:

- observation checklist
- three case studies
- additional feedback form is completed for *SIRXICT001A Operate retail technology*.

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- | | | |
|--------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address performance criteria |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address critical aspects of evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required knowledge |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required skill |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- | | | |
|-------------------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |

- | | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Student files were not examined, as no delivery has occurred. |
|-------------------------------------|---|

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Version 5**Provet Pty Ltd trading as Animal Industries Resource Centre****Non-compliances:****SIR20207 Certificate II in Retail***SIRXCCS001A Apply point-of-sale handling procedures**SIRXICT001A Operate retail technology*

The assessment materials provided for these units of competency do not meet the requirements of the units as they do not sufficiently address all critical aspects for assessment, required skills and required knowledge necessary to achieve the performance criteria.

The assessment materials do not include sufficient instruction to learners or assessors regarding the context and purpose of the assessment activities.

No benchmark criteria were provided to enable assessors to make a valid determination of competence and to ensure consistency across a range of learners and assessors.

The feedback form comprises overarching tasks and provides no interpretation of the unit requirements into workplace based tasks/behaviours the student would demonstrate and that the employer would observe the student undertake in the workplace. The organisation is expected to interpret the unit requirements into terminology appropriate to the workplace.

Rectification required:**SIR20207 Certificate II in Retail***SIRXCCS001A Apply point-of-sale handling procedures**SIRXICT001A Operate retail technology*

The organisation is requested to provide assessment materials for these units of competency, ensuring that:

- The materials address all the requirements of the unit of competency (elements, knowledge and skills, range statement, context and consistency, critical aspects) and confirm the organisation's ability and capacity to develop assessment materials that meet all the requirements of the qualification.
- Evidence that benchmark criteria have been developed for all assessment materials.
- Where the assessment is via practical observation of skills, the assessment materials interpret the requirements of the unit of competency into observable behaviours (tasks) to enable an assessor to make a valid judgement of competence and to ensure consistency across a range of learners and assessors.
- Where supplementary evidence is gathered via a third party report, it interprets the requirements of the unit of competency into observable behaviours (tasks) to enable a third party to make a valid determination. The third party report may only be used to verify a learner's competence in the workplace and does not substitute practical or theoretical assessment of a learner conducted by a qualified assessor.
- Evidence that it has developed information to the learner as to the context and purpose of assessment.
- The assessment materials align with the assessment methods identified in the strategies for training and assessment.

Note: On 27 May 2009, the organisation voluntarily relinquished this qualification from its scope of registration.

SIR30207 Certificate III in Retail*SIRXMER002A Coordinate merchandise presentation*

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Assessment tools consist of:

- case study comprising a knowledge check and requiring student to attach details regarding three completed merchandise displays on a portfolio sheet
- observation checklist that primarily addresses knowledge based requirements not practical aspects of the unit.

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- | | | |
|--------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address performance criteria |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> sufficiently address critical aspects of evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required knowledge |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required skill |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- | | | |
|--------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |

- | | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Student files were not examined, as no delivery has occurred. |
|-------------------------------------|---|

Non-compliances:**SIR30207 Certificate III in Retail***SIRXMER002A Coordinate merchandise presentation*

The assessment materials provided for these units of competency do not meet the requirements of the units as they do not sufficiently address all critical aspects for assessment, required skills and required knowledge necessary to achieve the performance criteria.

The assessment materials do not include sufficient instruction to learners or assessors regarding the context and purpose of the assessments.

The assessment materials provided do not adequately provide for the recording of feedback to learners or a final judgement of competence.

No benchmark criteria were provided to enable assessors to make a valid determination of competence and to ensure consistency across a range of learners and assessors.

Rectification required:**SIR30207 Certificate III in Retail***SIRXMER002A Coordinate merchandise presentation*

The organisation is requested to provide assessment materials for this unit of competency, ensuring that:

- The materials address all the requirements of the unit of competency (elements, knowledge and skills, range statement, context and consistency, critical aspects) and confirm the organisation's ability and capacity to develop assessment materials that

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meet all the requirements of the qualification.

- Evidence that benchmark criteria have been developed for all assessment materials.
- Where the assessment is via practical observation of skills, the assessment materials interpret the requirements of the unit of competency into observable behaviours (tasks) to enable an assessor to make a valid judgement of competence and to ensure consistency across a range of learners and assessors.
- Where supplementary evidence is gathered via a third party report, it interprets the requirements of the unit of competency into observable behaviours (tasks) to enable a third party to make a valid determination. The third party report may only be used to verify a learner's competence in the workplace and does not substitute practical or theoretical assessment of a learner conducted by a qualified assessor.
- Evidence that it has developed information to the learner as to the context and purpose of assessment.
- Evidence that it has developed mechanisms to provide feedback to learners on assessment outcomes.
- The assessment materials align with the assessment methods identified in the strategies for training and assessment.

Note: On 27 May 2009, the organisation voluntarily relinquished this qualification from its scope of registration.

Standard 1 - Strengths

- The organisation completes a practice equipment audit checklist relevant to each unit of competency a learner undertakes to ensure learners have access to the required facilities and equipment with the veterinary practice.
- Through the submission of rectification evidence, the organisation has demonstrated a comprehensive understanding of the requirements of units of competency and demonstrated its commitment to the continuous improvement of its assessment processes.

Standard 1 - Opportunities for Improvement

- It is suggested all trainers and assessors that either hold the superseded qualification BSZ40198 Certificate IV in Assessment and Workplace Training or work within a supervisory agreement upgrade their training and assessment competencies undertake the qualification TAA40104 Certificate IV in Training and Assessment as soon as practicable.
- It is suggested the organisation amend its final assessment recording sheet and reserve the use of the terms competent/not competent to indicate the overall result in a unit of competency and satisfactory/not satisfactory (or other similar terms) to indicate performance in individual assessment items/activities that culminate to comprise the assessment for a unit of competency.

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Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients.

2.1: The RTO continuously improves client services by collecting, analysing and acting on relevant data.

Intent: Client services meet clients' needs and are continuously improved in accordance with data collected about their effectiveness.

At time of audit:

- ☒ Compliant
☐ Not Compliant
☐ Not Audited

The organisation:

Y N

- ☒ ☐ establishes what client needs are
☒ ☐ collects data about whether these needs are being met
☒ ☐ systematically improves services in response to this data.

2.2: Before clients enrol or enter into a contract, the RTO informs them about the training, assessment and support services to be provided and about their rights and obligations.

Intent: Clients are provided with accurate and sufficient information to make an informed choice about their enrolment and/or contractual agreement.

At time of audit:

- ☐ Compliant
☒ Not Compliant
☐ Not Audited

The organisation:

Y N

- ☐ ☒ provides appropriate information to prospective clients and learners
☐ ☒ ensures the information is accurate, current and not misleading
☒ ☐ provides the information systematically.

Following rectification:

- ☒ Compliant
☐ Not Compliant

Non-compliances:

Evidence provided by the organisation does not support that the organisation provides learners with sufficient and accurate information prior to enrolment. Specifically, the organisation's website and course marketing documentation did not include reference to accredited course/qualification and unit of competency codes.

The NRT logo is located in conjunction with a program titled 'A.S.S.E.S.S.' Recognition of Prior Learning. This reference indicates that 'A.S.S.E.S.S.' is a separate nationally recognised training program and not a recognition of prior learning (RPL) assessment process that RTO's are required to offer learners.

The information provided to learners includes reference to grading and percentage based marking which does not comply with the principles of competency based assessment.

Rectification required:

The organisation is requested to provide evidence to support that learners will receive accurate and sufficient information regarding the training, assessment and support services and their rights and obligations prior to enrolment to enable them to make an informed decision.

The rectification evidence is to:

- include course specific pre-enrolment information that contains reference to relevant accredited course/qualification and unit of competency codes
- comply with the use of the NRT logo specifications
- reflect the principles of competency based training i.e. remove reference to grading and percentage based marking.

Analysis of rectification evidence received 9 June 2009:

The organisation provided comprehensive evidence of amended processes/policies,

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documentation, marketing materials and pre-enrolment information for learners to address the non-compliances outlined above.

2.3: Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.

Intent: Learners, including apprentices and trainees, receive support from all parties engaged in their training and assessment.

The organisation:

Y N

- ☒ ☐ involves workplace personnel in planning relevant workplace programs
- ☐ ☒ ensures that the training and assessment program makes full use of opportunities at the workplace
- ☒ ☐ monitors each learner's progress and the support provided to them by the workplace.

At time of audit:

- ☐ Compliant
- ☒ Not Compliant
- ☐ Not Audited
- ☐ Not Applicable

Following rectification:

- ☒ Compliant
- ☐ Not Compliant

2.4: Learners receive training, assessment and support services that meet their individual needs.

Intent: Learners have every reasonable opportunity to complete their training program.

The organisation ensures that:

Y N

- ☒ ☐ individual learners' needs are systematically assessed
- ☒ ☐ learners know how to access the services they will require to complete their training and assessment program.

At time of audit:

- ☒ Compliant
- ☐ Not Compliant
- ☐ Not Audited

2.5: Learners have timely access to current and accurate records of their participation and progress.

Intent: Learners have access to their records.

The organisation:

Y N

- ☒ ☐ systematically manages learners' records
- ☒ ☐ ensures that staff understand and meet their responsibilities for record-keeping and records management
- ☒ ☐ informs learners on how to access their records.

At time of audit:

- ☒ Compliant
- ☐ Not Compliant
- ☐ Not Audited

2.6: Complaints and appeals are addressed efficiently and effectively.

Intent: Complaints and appeals are managed fairly, efficiently and effectively.

The organisation:

Y N

- ☒ ☐ develops and implements a process for handling complaints and appeals
- ☒ ☐ ensures that clients and staff know about and follow the system
- ☒ ☐ takes corrective action to deal with the identified cause of complaints.

At time of audit:

- ☒ Compliant
- ☐ Not Compliant
- ☐ Not Audited

Standard 2 - Strengths

- The organisation provides learners with personalised mentoring and support throughout their training program.

Standard 2 - Opportunities for Improvement

- Nil identified.

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Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders and the environment in which the RTO operates.

3.1: The RTO uses a systematic and continuous improvement approach to the management of operations.

Intent: *The management system ensures that the RTO meets the AQTF 2007 Essential Standards for Registration and any legislation and regulations under which it is registered.*

At time of audit:
☒ Compliant
☐ Not Compliant
☐ Not Audited

The organisation ensures that:

- Y N
- ☒ ☐ there is relevant and sufficient documentation of management systems for the scope and scale of its operations
- ☒ ☐ staff know and meet their responsibilities for implementing the system
- ☒ ☐ the system is systematically monitored and improved.

3.2: The RTO monitors training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the AQTF 2007 Essential Standards for Registration.

Intent: *Services delivered under partnership arrangements comply with the AQTF 2007 Essential Standards for Registration.*

At time of audit:
☐ Compliant
☐ Not Compliant
☐ Not Audited
☒ Not Applicable

The organisation:

- Y N
- ☐ ☐ manages training and assessment provided on its behalf by documenting or recording agreements that cover the responsibilities of both parties
- ☐ ☐ monitors the implementation of these agreements
- ☐ ☐ makes improvements where required.

3.3: The RTO manages records to ensure their accuracy and integrity.

Intent: *Records maintained by the RTO support the continuous improvement of its operations and provide evidence of compliance with the AQTF 2007 Essential Standards for Registration.*

At time of audit:
☐ Compliant
☒ Not Compliant
☐ Not Audited

- Y N
- ☒ ☐ The organisation uses a systematic approach that ensures it maintains all records relevant to its operations as an RTO, including the continuous improvement of its operations.
- ☒ ☐ The organisation complies with DETA's Retention of Student Results and Assessment Records Policy for RTOs.
- ☐ ☒ Qualifications and statements of attainment comply with the requirements of the AQF Implementation Handbook and the relevant training package or accredited course.

Following rectification:
☒ Compliant
☐ Not Compliant

Non-compliances:

The organisation provided a template for a qualification that did not include the required employability skills statement. In discussions, the organisation indicated it was aware of the requirement to include this statement; however, it included the statement on the reverse side of the qualification within the academic transcript of results. The organisation advised that no qualifications have been issued with this version of the qualification template.

The organisation provided a template for a statement of attainment that did not include the

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statement 'A Statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency from nationally recognised qualification(s)/course(s)'.

Rectification required:

The organisation is requested to provide evidence to support that qualifications and statements of attainment issued by the organisation will comply with the requirements of the Australian Qualifications Framework Implementation Handbook (Fourth Edition 2007).

Analysis of rectification evidence received on 1 May 2009:

The RTO provided evidence of amended templates of a qualification and a statement of attainment that now comply with the requirements of the Australian Qualifications Framework Implementation Handbook (Fourth Edition 2007).

Standard 3 - Strengths

- The organisation utilises an electronic quality management system - Smartguide – work smart AQTF 2007 to assist in the management of its operations.

Standard 3 - Opportunities for Improvement

- It is suggested the organisation review its processes for the maintenance of its human resource files as some of the staff files examined at audit did not contain verification of/or current copies of resumes or vocational and training and assessment competencies. Whilst evidence of some copies of staff vocational and training and assessment competencies were provided on the second day of audit, the organisation would benefit from reviewing and updating these files on a regular basis.

CONDITIONS OF REGISTRATION

CONDITIONS OF REGISTRATION	RESULTS				EVIDENCE	CORRECTIVE ACTION TO BE TAKEN
	Yes	No	Not audited	Not applicable		

CONDITION 5 – FINANCIAL MANAGEMENT

The RTO must protect fees paid in advance and have a fair and reasonable refund policy.	✓				The organisation provided evidence to support it has mechanisms in place for the protection of fees paid in advance. The organisation utilises an accrual accounting system and a monthly draw down feature. The organisation provided evidence of its refund policy	
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CONDITIONS OF REGISTRATION	RESULTS				EVIDENCE	CORRECTIVE ACTION TO BE TAKEN
	Yes	No	Not audited	Not applicable		
					in the student handbook.	
The RTO must have its accounts certified by a qualified accountant to Australian Accounting Standards, at least annually, and provide the certificate of accounts to its registering body on request. If the registering body reasonably deems it necessary, the chief executive must provide to the registering body, a full audit report of the RTO's financial accounts from a qualified and independent accountant.			✓			

CONDITION 6 – CERTIFICATION AND ISSUING OF QUALIFICATIONS AND STATEMENTS OF ATTAINMENT

The RTO must issue to persons it has assessed as competent, in accordance with the requirements of the Training Package or accredited course, a qualification or statement of attainment (as appropriate) that meets the Australian Qualifications Framework (AQF) requirements, identifies the RTO by its national provider number from the National Training Information Service and includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use.		✓			Refer to Element 3.3	Refer to Element 3.3
The RTO must retain client records of attainment of units of competence and qualifications for a period of 30 years.			✓			

CONDITION 8 – ACCURACY AND INTEGRITY OF MARKETING

The RTO must ensure its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration and the NRT logo is used in accordance with its conditions of use. The RTO must only use references or endorsements about their services or products in its marketing and advertising from a person or organisation in accordance with permission given by that person or organisation.		✓			Refer to Element 2.2	Refer to Element 2.2
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