

RTO DETAILS			
NTIS number	2508	Registration expiry	29/09/2010
Address	2/20 Wharf Street, Brisbane City 4000		
RTO contact	Ms Christine Kerr	Phone number	(07) 3221-3855
Operations	<p>The organisation is a CRICOS registered provider with an approved capacity of 180 students. Clients include fee for service, apprentices/trainees and international students. The organisation advised that delivery of CHC30402 Certificate III in Children's Services in Indonesia is currently on hold. Discussions indicated delivery in the Philippines is intended in the near future.</p> <p>The majority of delivery (including RPL) is conducted within qualifications relating to children's services. The organisation advised that delivery of CHC30402 Certificate III in Children's Services and CHC30102 Certificate III in Aged Care Work is client based and conducted from Brisbane to Cairns at the RTO's and client's premises. Some clients are serviced in Darwin and in Western Queensland.</p> <p>The organisation has partnering agreements for the delivery of CHC30402 Certificate III in Children's Services with organisations in Adelaide. The organisation's predominant delivery modality is face to face supported by some correspondence.</p> <p>The organisation advised that it has a total of approximately 1300 students currently enrolled. The approximate number of completions in the past year and current enrolments are (respectively):</p> <ul style="list-style-type: none"> • CHC30102 Certificate III in Aged Care Work – 133 - 323 • CHC30402 Certificate III in Children's Services – 192 - 592 • CHC30708 Certificate III in Children's Services – 0 - 23 • CHC40308 Certificate IV in Disability – nil • CHC50302 Diploma of Children's Services – 33 - 94 • CHC50608 Diploma of Community Services Work - nil • HLT32807 Certificate III in Health Support Services – 0 – 4. <p>User Choice funding comprises approximately 5% of the organisation's annual income. The values of these contracts are:</p> <ul style="list-style-type: none"> • 2008 – 2009 \$220 000.69 • 2009 – 2010 \$210 100.00. <p>The organisation is also funded for the following:</p> <ul style="list-style-type: none"> • Skilling Solutions Queensland Skills First (RPL) Program <ul style="list-style-type: none"> ○ 01/07/08 – 30/09/09 ○ 01/08/09 – 30/09/10. • Productivity Places Program (Jobseekers) <ul style="list-style-type: none"> ○ 01/04/09 – 30/06/10 ○ 01/10/09 – 31/01/11. 		
AUDIT TEAM			
Lead Auditor	Kim Buchanan	Auditor/s	Kavita Dayal
Phone	07 3247 5304	Adviser/s	Nil
E-mail	Kim.Buchanan@deta.qld.gov.au	Observer/s	Nil

Queensland Department of Education and Training
AQTF Audit Report (Integrated) - Summary
Mertise Pty Ltd t/a Charlton Brown NTIS # 2508

Training Quality and Regulation
 FM-INT-18a
 Version 2 – 1 May 2009

AUDIT DETAILS				
Reason/s for audit	Monitoring and User Choice audit			
Audit date/s	9/09/09 – 11/09/09	Audit number/s	250816372A and 250815292A	
RTO was informed of risk rating at audit	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not applicable <input type="checkbox"/>			
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.1, 2.2, 2.3, 2.4, 3.1, 3.2			
Conditions audited	None			
User Choice schedule number/s and value/s	2008-09 User Choice 002 – CHC30402, \$95,000.00 003 – CHC50302, \$60,000.69			
User Choice clauses audited	3(h), 6(a), 7(b), 18			
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"/>			
Rectification received	2 November 2009			
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"/>			
FOCUS OF AUDIT				
Code	Qualification/Course/Unit title	Regulated outcome	Apprentices /Trainees	User Choice
CHC30102	Certificate III in Aged Care Work	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
CHC30402	Certificate III in Children's Services	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
CHC30708	Certificate III in Children's Services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CHC40308	Certificate IV in Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CHC50302	Diploma of Children's Services	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
CHC50608	Diploma of Community Services Work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HLT32807	Certificate III in Health Support Services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INTERVIEWEE/S				
Kay Ganley, Chief Executive Officer				
Chris Kerr, Academic Manager				
Jenny Townend, General Manager				
Rizaldy Mutuc, Marketing Specialist				
Amina Kerr, Student Registrar				
Melinda Sowden, Accountant				
Carla Craig, Trainer/Assessor				
Gregory Stenzel, Trainer/Assessor				

Standard 1: The RTO provides quality training and assessment across all of its operations	
Elements	Examined at audit
1.1 The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>
1.4 Training and assessment are conducted by training and assessors who: <ul style="list-style-type: none"> a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors b) have the relevant vocational competencies at least to the level being delivered or assessed, and c) continue developing their vocational and training and assessment competencies to support continuous improvements in delivery of the RTO's services. 	<input checked="" type="checkbox"/>
1.5 Assessment, including Recognition of Prior Learning (RPL): <ul style="list-style-type: none"> a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements. 	<input checked="" type="checkbox"/>
Audit findings	Result
<p>Validation of User Choice funding claims was conducted for the following qualifications:</p> <ul style="list-style-type: none"> • CHC30402 Certificate III in Children's Services • CHC50302 Diploma of Children's Services. <p>Findings:</p> <p>The organisation demonstrated a proactive approach and strong commitment to the continuous improvement of its training and assessment services. Processes that contribute to its continuous improvement systems include, for example:</p> <ul style="list-style-type: none"> • quarterly dissemination of learner feedback forms • use of 'FIFI' (find it and fix it) forms. These are sent to the Quality Manager for review and are then discussed at fortnightly 'SMT' meetings (Senior Management Team). Actions arising from these meetings are recorded and delegated to an appropriate staff member for finalisation • gathering and recording of feedback via 'Industry assessment/training visit' documentation • analysis of completed learner satisfaction questionnaires • informal feedback received from staff/students is recorded on a 'validation and moderation report'. Actions resulting from this feedback are documented in a continuous improvement log. <p>The staff meetings that are held fortnightly include validation and moderation activities. Trainers and assessors are currently developing resources for new qualifications within the CHC08 Community Services Training Package that have recently been added to the organisation's scope of registration. Industry involvement was clearly evident in the review of these materials. The organisation's validation/moderation activities involve its partner organisations. Feedback from consultation involving industry representatives was documented on the new materials sighted at audit.</p> <p>All of the training and assessment strategies provided met the requirements of the relevant training packages and clearly evidenced industry engagement. The strategies included information regarding: the actual assessment activities learners are to complete and an explanation of each activity; session plans and specific details of the industry engagement and consultation undertaken.</p> <p>The organisation conducts training and assessment services at its premises and on clients' sites. To ensure learners have access to sufficient and appropriate facilities and equipment the organisation utilises an 'Employer Resource' document. This document outlines the resources required, supervisors' competencies and legislative requirements. The organisation retains copies of each workplace supervisor's qualifications on all User Choice funded students' files.</p>	<p>At time of audit:</p> <p><input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant</p> <p>Following rectification:</p> <p><input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant</p>

The organisation advised that it reference checks, interviews and sights original documents as part of its verification process in the recruitment of trainers and assessors. The organisation supports its trainers and assessors in their professional development by providing in-house activities as well as supporting attendance at external activities. Staff performance is reviewed annually as well as on an 'as needs basis' and is conducted by the Academic Manager. The review of human resource information identified some gaps regarding the training, assessment and vocational competencies and professional development of some of the organisation's trainers and assessors. See non-compliances below.

Analysis of assessment materials relevant to the units reviewed within the following qualifications determined they sufficiently addressed each unit's requirements: CHC30402 Certificate III in Children's Services; CHC30708 Certificate III in Children's Services; CHC50302 Diploma of Children's Services.

Non-compliances:

Imelda Hutapea

No evidence was provided to demonstrate that Imelda Hutapea has the vocational competencies, recent vocational experience and has undertaken ongoing development activities to deliver CHC30402 Certificate III in Children's Services.

John Sant

No evidence was provided to demonstrate that John Sant has the required training and assessment competencies and has undertaken professional development activities relevant to training and assessment.

Carla Craig

Insufficient evidence was provided to demonstrate that Carla Craig has the vocational competencies, recent vocational experience and has undertaken ongoing development activities to deliver HLT32807 Certificate III in Health Support Services (partial).

Amanda Young

No evidence was provided to support that Amanda Young has undertaken professional development activities relevant to training and assessment.

CHC30102 Certificate III in Aged Care Work

CHCAC1C Provide support to an older person

Analysis of the assessment materials identified that gaps exist, particularly in relation to the critical aspects of assessment, essential skills and context and consistency of assessment requirements. The practical checklist does not include sufficient information regarding the context and purpose of the assessment or the specific tasks a learner is to undertake. For example, the checklist for 'common competencies' indicates that learners need adequate oral, literacy and numeracy skills to enable them to complete tasks and that assessment is to be conducted in the workplace. However, no further information is included.

The tools provided were not supported by sufficient benchmark criteria outlining the standard of performance required to be demonstrated by the learner to ensure consistent judgements across a range of learners/assessors and third parties.

CHCAC2C Provide personal care

Analysis of the assessment materials identified that gaps exist regarding the essential skills of the unit, particularly regarding the application of numeracy and problem solving skills.

CHC40308 Certificate IV in Disability

CHCICS402A Facilitate individualised plans

Whilst the assessment materials address the unit requirements, they do not contain sufficient information regarding the context and purpose of the assessment. Insufficient information is included regarding the specific tasks required to be completed by a learner and the standard of performance they are to demonstrate (i.e. benchmark criteria).

CHCDIS405A Facilitate skills development and maintenance

Analysis of the assessment materials identified that gaps exist in addressing all the unit's requirements, including essential skills. The tools do not incorporate sufficient interpretation of the unit requirements into the observable behaviours/tasks to be demonstrated by a learner. Insufficient information is included regarding the context and purpose of the assessment. The tools were not supported by suitable benchmark criteria.

CHC50608 Diploma of Community Services Work

CHCCS500A Conduct complex assessment and referral

Analysis of the assessment materials identified that gaps exist in addressing all the unit's requirements, including essential skills, critical aspects for assessment and performance criteria. Particularly regarding the: learner's ability to conduct an assessment within defined guidelines; gathering and recording of evidence over a period of time covering the normal range of workplace situations/settings. The observation checklist does not include sufficient information regarding the context and purpose of the assessment or the specific tasks a learner is to undertake. For example, how many times tasks are to be observed. The tools provided were not supported by sufficient benchmark criteria outlining the standard of performance required to be demonstrated by the learner to ensure consistent judgements across a range of learners/assessors/third parties.

Additionally, the assessment tools do not capture the required access and equity consideration – '*assessors and trainers must take into account relevant access and equity issues, in particular relating to factors impacting on Aboriginal and/or Torres Strait Islander people*'.

HLT32807 Certificate III in Health Support Services (partial delivery)

HLTFS207B Follow basic food safety practices

HLTNA302B Plan and evaluate meals and menus to meet recommended dietary guidelines

The combined assessment materials address the unit's requirements. However, the purchased third party materials do not incorporate sufficient interpretation of each unit's requirements into the observable behaviours/tasks to be demonstrated by a learner. The third party report and skills assessment (RTO's tool) do not include information regarding the context and purpose of the assessments and were not supported by suitable benchmark criteria.

Implications for training/assessment quality:

Significant non-compliance was identified regarding trainers' and assessors' vocational, training and assessment competencies and professional development activities as well as assessment materials; potentially contributing to a significant adverse impact on the quality of training outcomes.

Implications for validation of User Choice funding claims:

Evidence reviewed supports the validation of User Choice funding claims.

Rectification required:

The organisation is requested to provide evidence to address the non-compliances relating to each of the nominated trainers/assessors as referenced above.

CHC30102 Certificate III in Aged Care Work

CHCAC1C Provide support to an older person

CHCAC2C Provide personal care

CHC40308 Certificate IV in Disability

CHCDIS405A Facilitate skills development and maintenance

CHC50608 Diploma of Community Services Work

CHCCS500A Conduct complex assessment and referral

HLT32807 Certificate III in Health Support Services (partial delivery)

HLTFS207B Follow basic food safety practices

HLTNA302B Plan and evaluate meals and menus to meet recommended dietary guidelines

The organisation is required to provide the full range of assessment materials for all units of competency listed above. The new assessment materials must demonstrate that the learner will be exposed to and assessed on all the essential components of the unit including, essential skills, critical aspects for assessment and access and equity considerations. The assessment process for each unit must also incorporate the context and consistency requirements. Sufficient information must be provided to learners/assessors/third parties regarding the context of the assessment (the tasks to be performed and how the assessment is to take place) and the purpose of conducting the assessment (to assess the student's ability to...).

All of the revised assessment tools must be supported with benchmark criteria.

Evidence is required to confirm the practical assessments interpret the requirements of the unit of competency into observable behaviours/tasks with supporting benchmark criteria which indicates the standard of performance for competency to be

achieved. Where the organisation utilises a third party report to support the formal assessment of a unit, the third party report must be interpreted into workplace based tasks, in terminology appropriate to the workplace, and in accordance with industry and unit requirements.

It should be noted that the previous audit report recorded an opportunity for improvement that the organisation '*continue to review all "Skills Assessment" documents for each unit of competency to ensure that the behaviours to be observed are clearly articulated to provide sufficient guidance to assessors as to what specific behaviours are to be observed during the completion of each task. This will also assist in ensuring consistency of judgements over time and between learners.*'

CHC40308 Certificate IV in Disability

CHCICS402A Facilitate individualised plans

The organisation is required to provide evidence of assessment materials that includes sufficient information regarding the context and purpose of the assessment and outlines the specific tasks required to be completed by a learner. The assessment materials are to be supported by benchmark criteria that indicate the standard of performance a learner is to demonstrate to achieve competency.

Analysis of rectification evidence received 2 November 2009:

The organisation provided evidence to support that Carla Craig has been withdrawn as a nominated trainer and assessor for HLT32807 Certificate III in Health Support Services (partial).

Evidence was provided to address the non-compliances identified and referenced above, regarding the following trainers and assessors: Amanda Young, John Sant, Imelda Hutapea. Additionally, evidence supported that as John Sant and Imelda Hutapea have recently completed TAA40104 Certificate IV in Training and Assessment, they will continue to be monitored via supervisory arrangements.

CHC30102 Certificate III in Aged Care Work

CHCAC1C Provide support to an older person

CHCAC2C Provide personal care

CHC40308 Certificate IV in Disability

CHCDIS405A Facilitate skills development and maintenance

CHCICS402A Facilitate individualised plans

CHC50608 Diploma of Community Services Work

CHCCS500A Conduct complex assessment and referral

HLT32807 Certificate III in Health Support Services (partial delivery)

HLTFS207B Follow basic food safety practices

HLTNA302B Plan and evaluate meals and menus to meet recommended dietary guidelines

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

Strengths

- The organisation's training and assessment strategies were very comprehensive and extremely informative. Information recorded regarding industry consultation includes specific dates, industry representatives and discussion items and outcomes.
- Industry engagement and involvement in the validation/moderation of training and assessment materials was very evident.
- Through the submission of rectification evidence, the organisation has demonstrated a clear understanding of the requirements of units of competency and a professional and committed approach to its continuous improvement processes.
- In its rectification evidence submission, the organisation demonstrated implementation of the opportunity for improvement noted below regarding the capturing of evidence of multiple demonstrations.

Opportunities for Improvement
<ul style="list-style-type: none"> • The assessment tools for <i>CHCCN8B Plan care routines</i> within CHC50302 Diploma of Children's Services could be further strengthened to more sufficiently address the unit's knowledge requirement - '<i>organisational standards, policies and procedures</i>'. • The student file examined to validate the 50 outcome (RPL) for Rachel Hilford indicates that the organisation could strengthen its processes regarding the recording of evidence gathered during the RPL assessment process (i.e. more clearly demonstrate alignment to all the essential components of a unit). • It is suggested the organisation expands its benchmark criteria for the observation checklists utilised for CHC30402 Certificate IV in Children's Services and CHC50302 Diploma of Children's Services. • It is suggested the organisation reviews the assessment materials for the units analysed within the CHC30102 Certificate III in Aged Care Work to ensure they address following essential knowledge requirement - '<i>Basic understanding of the impact of acquired brain injury on behaviour and functioning</i>'. • It is suggested the organisation reviews/amends its recording processes/documentation regarding the capturing of multiple demonstrations. • The organisation should amend its training and assessment strategies for: <ul style="list-style-type: none"> ○ HLT32807 Certificate III in Health Support Services (<i>partial delivery</i>) to include reference to the additional observation checklist it has developed to supplement the purchased third party report.

Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients	
Elements	Examined at audit
2.1 The RTO continuously improves client services by collecting, analysing and acting on relevant data.	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>
2.4 Learners receive training, assessment and support services that meet their individual needs.	<input checked="" type="checkbox"/>
2.5 Learners have timely access to current and accurate records of their participation and progress.	<input type="checkbox"/>
2.6 Complaints and appeals are addressed efficiently and effectively.	<input type="checkbox"/>
Audit findings	Result
Validation of User Choice funding claims was conducted for the following qualifications: <ul style="list-style-type: none"> • CHC30402 Certificate III in Children's Services • CHC50302 Diploma of Children's Services. 	At time of audit: <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant Following rectification: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
<p>Findings: The organisation has effective systems in place to inform the continuous improvement of its client services. Refer Standard 1. Evidence was provided of improvements to its client services resulting from feedback gathered, for example, wireless internet access. Learners are provided with comprehensive student information to assist them to make an informed decision prior to enrolment or entering into a contract. The organisation also provides considerable in-house support to its learners and has designated student support officers.</p> <p>The organisation monitors learners' progress and other parties' involvement in their training and assessment via monthly meetings; email; workplace visits. Evidence of completed 'Industry assessment/training visit' documentation was sighted on student files.</p>	
<p>Non-compliances: The User Choice student induction material did not include reference to the rate of student contribution fees for RPL.</p>	

Rectification required:

The organisation is requested to provide evidence that it has amended its information to learners to include information regarding RPL being charged at the student contribution fee rate.

Analysis of rectification evidence provided at the time of audit:

The organisation provided amended User Choice information that now includes information regarding fees for RPL.

Strengths

- Learners have access to designated support officers should they have any academic or personal issues.

Opportunities for Improvement

- It is suggested the organisation reviews its use of the wording 'grievance' to reflect current AQTF terminology regarding Element 2.6 (complaints and appeals processes). The code of practice document should be amended to more clearly articulate the difference between complaints and academic appeals.

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

Elements	Examined at audit
3.1 The RTO uses a systematic and continuous improvement approach to the management of operations.	<input checked="" type="checkbox"/>
3.2 The RTO monitors training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the <i>AQTF 2007 Essential Standards for Registration</i> .	<input checked="" type="checkbox"/>
3.3 The RTO manages records to ensure their accuracy and integrity.	<input type="checkbox"/>

Audit findings

Validation of User Choice funding claims was conducted for the following qualifications:

- CHC30402 Certificate III in Children's Services
- CHC50302 Diploma of Children's Services.

Result
At time of audit:
 Compliant
 Not Compliant
Following rectification:
 Compliant
 Not Compliant

Findings:

The organisation advised that as a result of its recent growth, it has employed a consultant to conduct a full review of its policies and procedures. The organisation indicated it intends applying for quality certification in the near future. It was evident that the organisation uses a systematic and continuous improvement approach to the management of its operations. Its team works closely to implement changes and continuously make improvements to its processes. Internal AQTF audits are conducted annually.

The RTO has appropriate agreements in place with its partner organisations. Partner organisations are audited by the RTO every six months. Documented evidence was provided of audits the organisation has conducted at Sesame Lane College of Choices (February and July 2009) and Enhance Training (Adelaide). The RTO advised it has conducted a monitoring audit of its partner organisation - PT Ideal Sasana Apprentisia in Indonesia. Delivery in Indonesia commenced two months previously to six students and is currently on hold. Partner organisations are also visited regularly to ensure quality and consistency in the collection of evidence gathered during assessment and the maintenance of student records. The audit documentation utilised enables the review of the partner organisation's processes such as, enquiries; enrolment; orientation; industry placement; document management.

Non-compliances:

The review of student files for CHC30402 Certificate III in Children's Services and CHC50302 Diploma of Children's Services determined that the organisation has incorrectly identified the postcodes where training and assessment services have occurred. Data utilised by the auditors indicated that whilst the delivery mode identifier correctly indicates that training and assessment predominantly occurs in the workplace, the postcodes submitted to the department reflected the RTO's address (i.e. 4000). The organisation advised that as its AVETMISS software records both postcodes, it was of the understanding that

the workplace's postcode was being reported to the department. Discussions were held at audit to clarify and confirm that the postcode submitted is to be indicative of the address where training occurred.

Induction information did not include reference to RPL being charged at the student contribution fee rate per nominal hour.

Rectification required:

The organisation is requested to provide a systems improvement that demonstrates how it will ensure that submitted AVETMISS postcodes will accurately reflect the location in which the majority of training has been undertaken.

Analysis of rectification evidence received 2 November 2009:

The organisation provided evidence to support that enrolment information for User Choice funded students now reflects the relevant postcode of the training venue. The organisation also advised that staff training regarding User Choice enrolment procedures has been undertaken.

Strengths

- All records/files examined by the auditors were found to be very well organised.

Opportunities for Improvement

- It is suggested the RTO amends its partnering agreement documentation to reflect the current AQTF Essential Standards for Registration and to include reference to the department's *'Retention of student results and assessment records'* policy.
- The organisation demonstrated a commitment to incorporating the feedback it gathers from learners and industry and via audits conducted by the department into its continuous improvement processes.