

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<b>Applicant Details</b>			
Applicant Name	Murray Adult Community Education-Swan Hill Inc	TOID	3776
Address	429 Campbell St SWAN HILL VIC 3585		
	Website	<a href="https://www.macesh.vic.edu.au/">https://www.macesh.vic.edu.au/</a>	
Registration Contact	Ms Leanne Shannon-Kelson		
Phone Number	(03) 5032 3719	Email	program@macesh.vic.edu.au
<b>Audit Team</b>			
Audit Firm	ShineWing Australia	Lead Auditor	Casey Helman
Auditor/s		Other Attendees	
<b>Registering Body Details</b>			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
<b>Audit Details</b>			
Type of Audit	<b>EXT to Scope Audit</b>		
Conditions Audited	8		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5		
2016 VRQA Guidelines Audited	3.1, 3.2	4.1,4.2	
Audit Date/s	24 <sup>th</sup> November 2020		
<b>RTO Background</b>			
<p>Murray Adult Community Education-Swan Hill Inc is an RTO based in Swan Hill, offering accredited training delivered with funding from the Victorian and Commonwealth Government.</p> <p>Murray Adult Community Education is applying for an extension to scope for the SHB50115 Diploma of Beauty Therapy to provide a direct pathway from their current programs;</p> <ul style="list-style-type: none"> <li>- SHB20216 - Certificate II in salon assistant</li> <li>- SHB20116 Certificate II Retail Cosmetics and</li> <li>- SHB30115 Certificate III in Beauty Services</li> </ul> <p>Murray Adult Community Education have a fully functioning Hair &amp; Beauty Salon, MACE on Gray, on premises where students provide service to community members under the supervision of their assessor.</p> <p>Murray Adult Community Education plan on delivering the Diploma in 2021 to students who have successfully completed the SHB30115 Certificate III in Beauty Services</p>			

**Qualifications/Units Audited<sup>1</sup>**

QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE

<sup>1</sup> Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

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TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
SHB50115	Diploma of Beauty Therapy	RTO

<b>Interviewee(s)</b> – Staff name and position; employer name and position	
Ms Leanne Shannon-Kelson	

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

<b>Third party Arrangements –</b>	Yes	No
Do the RTO's third-party arrangements match the information provided by the VRQA?	X	
There are no third-party arrangements		

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**Audit Summary - AQTF Conditions of Registration**

AQTF Conditions Place an X in the appropriate column		Compliant	Non - Compliant	Not audited
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation			X
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment			X
7	Recognition of Qualifications Issued by other RTOs			X
8	Accuracy and Integrity of Marketing		X	
9	Transition to Training Packages/Expiry of Accredited Courses			X
<b>Summary of Non-Compliance<sup>2</sup></b>				
<b>C8:</b> Murray Adult Community Education-Swan Hill Inc is required to detail the correct entry requirements on their marketing materials				

<sup>2</sup> CF = Condition Finding. Finding references are aligned to the Detailed Findings section of this report.

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**Audit Summary - AQTF Standards**

<b>AQTF Standards/Elements</b>	<b>Compliant</b>	<b>Non - Compliant</b>	<b>Not audited</b>
<b>Standard 1</b>			
1.1 – Continuous Improvement Strategy	X		
1.2 – Training and Assessment Strategies	X		
1.3 – Training and Assessment Resources	X		
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies		X	
<b>Standard 2</b>			
2.1 – Meeting the Needs of Clients			X
2.2 – Continuous Improvement of Client Services			X
2.3 – Provision of Information to Clients			X
2.4 – Third-Party Engagement in Training and Assessment			X
2.5 – Provision of Support Services to Clients			X
2.6 – Learner Access to Records of Participation			X
2.7 – Complaints and Appeals Strategy			X
<b>Standard 3</b>			
3.1 – Operations Management			X
3.2 – Continuous Improvement of Operations			X
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management			X
<b>Summary of Non-Compliance<sup>3</sup></b>			
<p><b>SF1.5</b> Murray Adult Community Education-Swan Hill Inc is required to review their assessment benchmark answers and provide sufficient performance benchmarks for each skill and/or behaviour to be demonstrated</p>			

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

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<b>Audit Summary – 2016 VRQA Guidelines for VET Providers</b>			
<b>2016 VRQA Guidelines</b>	<b>Compliant</b>	<b>Non - Compliant</b>	<b>Not audited</b>
<b>1. Governance, Financial viability and Management systems</b>			
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
<b>2. Transparency and oversight of third parties</b>			
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
<b>3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)</b>			
3.1 – Vocational & Industry skill requirements	X		
3.2 – Training and Assessment (TAE) skill requirements	X		
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
<b>4. Delivery of training and assessment services</b>			
4.1 – Training and assessment practices	X		
4.2 – Amount of training	X		
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
<b>5. Annual Declaration of Compliance</b>			
5.1 – Annual Declaration of Compliance			X

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**Detailed Findings - AQTF Conditions of Registration**

<b>CONDITION 1 - Governance</b>		<b>Not audited in Phase 2 audit</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>CF.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A
<b>CONDITION 2 - Interactions with the Registering Body</b>		<b>Not audited in Phase 2 audit</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>CF. 2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

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<b>CONDITION 3 - Compliance with Legislation</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>CF. 3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

<b>CONDITION 4 - Insurance</b>		<b>Not audited in Phase 2 audit</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>CF. 4</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

<b>CONDITION 5 - Financial Management</b>		<b>Not audited in Phase 2 audit</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>CF. 5</b>	<b>Finding</b>	<b>Required Rectification(s)</b>

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N/A	N/A
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<b>CONDITION 6 - Certification &amp; Issuing of Qualifications &amp; Statements of Attainment</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>N/A</li> </ul>		
<b>CF.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

<b>CONDITION 7 - Recognition of Qualifications Issued by other RTOs</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>N/A</li> </ul>		
<b>CF.7.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A



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<b>CONDITION 8 - Accuracy and Integrity of Marketing</b>		<b>Non-Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Murray ACE Training Solutions Beauty Courses Brochure (Sample)</li> <li>• Student Information Guide</li> </ul>		
<b>CF.8.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Murray Adult Community Education-Swan Hill Inc has not ensured its marketing and advertising of AQF qualifications to prospective clients is ethical and accurate. The pre entry requirement information detailed in the Training and Assessment strategy conflicts with the information in the sample brochure. The sample brochure indicates the completion of the Cert III in Beauty Services is preferred; however, the training and assessment strategy indicates the completion of the Cert III in Beauty Services is required.</p> <p>The marketing brochure is a proposed brochure for use when the application for addition to scope is approved. The NRT logo has been employed in accordance with its conditions of use</p>	<p>Murray Adult Community Education-Swan Hill Inc is required to detail the correct entry requirements on their marketing materials</p>

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<b>CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>CF.9.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

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**Detailed Findings - AQTF Standards**

<b>ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Continuous Improvement Policy</li> <li>• Continuous Improvement register 2020</li> <li>• 2020 Quality Indicators Report</li> <li>• 2020 VETStat-Summary-Report-Murray Adult Community Education-Swan Hill Inc</li> <li>• KPIs for trainers</li> </ul>		
<b>SF.1.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Murray Adult Community Education-Swan Hill Inc collected, analysed, and acted on relevant data for continuous improvement of training and assessment.	N/A

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<b>ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>TAS- SHB50115 Diploma of Beauty Therapy</li> </ul>		
<b>SF.1.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.	N/A

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<b>ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.</b>	<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>	
<p>Diploma of Beauty Services (List of equipment) Photos: (10)</p> <ul style="list-style-type: none"> <li>- Make-up section of salon x2</li> <li>- Nail section of salon</li> <li>- Beauty bed (waxing) x2</li> <li>- Beauty treatment room</li> <li>- Classroom/ study section x2</li> <li>- Hairdressing section (bason/wash facilities)</li> <li>- Hairdressing section (seated section (cut/dry etc)</li> </ul> <p>2020-11-25 MACE on Gray Salon Equipment (photos)</p> <ul style="list-style-type: none"> <li>- Front of house equipment (sales register etc)</li> <li>- Hand sanitation section</li> <li>- PPE (gloves, masks etc)</li> <li>- Washing machine and dryer/ sink etc</li> <li>- OPI Products (hair )</li> </ul> <p><b>SHBBFAS003 Provide specialised facial treatments</b></p> <ul style="list-style-type: none"> <li>- SHBBFAS003 Provide specialised facial treatments mapping</li> <li>- SHBBFAS003 Provide specialised facial treatments activities log</li> <li>- SHBBFAS003 Provide specialised facial treatments activities</li> <li>- SHBBFAS003 Provide specialised facial treatments assessment requirements</li> <li>- SHBBFAS003 Provide specialised facial treatments session plan</li> <li>- Ageing dry skin consultation video</li> <li>- Ageing skin cleanse video</li> <li>- Ageing skin galvanic video</li> <li>- Ageing skin masque video</li> <li>- Ageing skin treatment completion video</li> </ul>	

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- Ageing sonophoresis treatment video
- EMS Micro current video
- High frequency video
- Microdermabrasion video
- Seborrhoea acne skin cleansing video
- Seborrhoea acne skin comedone extractions video
- Seborrhoea acne skin desincrustation galvanic treatment video
- Seborrhoea acne skin facial finishing procedure video
- Seborrhoea acne skin sonophoresis treatment video
- Seborrhoea acne TCA peel with steam video
- Sensitive skin iontophoreses treatment video
- Sensitive skin masque application video

**SHBXCCS002 Provide salon service to clients**

- SHBXCCS002 Provide salon service to clients assessment requirements
- SHBXCCS002 Provide salon service to client mapping
- SHBXCCS002 Provide salon services to clients activities log
- SHBXCCS002 Provide salon services to clients LM
- SHBXCCS002 Provide salon services to clients LM
- SHBXCCS002 Provide salon services to clients session plan

Staff: See Standard 1.4

Assessment: See Standard 1.5

SF.1.3.1	Finding	Required Rectification(s)
	Staff, facilities, equipment and training and assessment materials used by Murray Adult Community Education-Swan Hill Inc were consistent with the requirements of the Training Package and the RTO's own training and assessment strategies.	N/A

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<p><b>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</b></p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>		<b>Compliant</b>
<p><b>Evidence/Documentation Reviewed</b></p>		
<p>Trainer and Assessor files for the following Staff</p> <ul style="list-style-type: none"> <li>• Brooke Turvey</li> </ul>		
<b>SF.1.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Training and assessment will be delivered by trainers and assessors who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed, could demonstrate current industry skills directly relevant to the training/assessment being undertaken and continued to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	<p>N/A</p>

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<p><b>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):</b>  <b>a) meets the requirements of the relevant Training Package or accredited course</b>  <b>b) is conducted in accordance with the principles of assessment and the rules of evidence</b>  <b>c) meets workplace and, where relevant, regulatory requirements</b>  <b>d) is systematically validated.</b></p>		<p><b>Non-Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>		
<p><b>SHBBFAS003 Provide specialised facial treatments</b></p> <ul style="list-style-type: none"> <li>- SHBBFAS003 Provide specialised facial treatments mapping</li> <li>- SHBBFAS003 Provide specialised facial treatments activities log</li> <li>- SHBBFAS003 Provide specialised facial treatments activities</li> <li>- SHBBFAS003 Provide specialised facial treatments assessment requirements</li> <li>- SHBBFAS003 Provide specialised facial treatments session plan</li> </ul> <p><b>SHBXCCS002 Provide salon service to clients</b></p> <ul style="list-style-type: none"> <li>- SHBXCCS002 Provide salon service to clients assessment requirements</li> <li>- SHBXCCS002 Provide salon service to client mapping</li> <li>- SHBXCCS002 Provide salon services to clients activities log</li> <li>- SHBXCCS002 Provide salon services to clients session plan</li> </ul>		
<p><b>SF.1.5.1</b></p>	<p><b>Finding</b></p>	<p><b>Required Rectification(s)</b></p>
<p><b>SHBBFAS003 Provide specialised facial treatments</b>  The evidence provided does not confirm that Murray Adult Community Education-Swan Hill Inc has an assessment system that addresses the training product requirements and does not ensure that all assessments are conducted in accordance with the Principles of Assessment and the Rules of Evidence.</p> <ul style="list-style-type: none"> <li>• Reliability - the assessment tools do not contain sufficient performance benchmarks for each skill and/or behaviour to be demonstrated; therefore, it cannot be confirmed that all training package requirements will be met and that consistent judgements will be made across a range of students and assessors.</li> </ul>		<p>Murray Adult Community Education-Swan Hill Inc is required to review their assessment benchmark answers and provide sufficient performance benchmarks for each skill and/or behaviour to be demonstrated</p>



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**SHBXCCS002 Provide salon service to clients**

The evidence provided does not confirm that Murray Adult Community Education-Swan Hill Inc has an assessment system that addresses the training product requirements and does not ensure that all assessments are conducted in accordance with the Principles of Assessment and the Rules of Evidence.

- Reliability - the assessment tools do not contain sufficient performance benchmarks for each skill and/or behaviour to be demonstrated; therefore, it cannot be confirmed that all training package requirements will be met and that consistent judgements will be made across a range of students and assessors.

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<b>2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>SF.2.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

<b>2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>SF.2.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

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<b>2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>N/A</li> </ul>		
<b>SF.2.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

<b>2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>SF.2.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

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<b>2.5 - Learners receive training, assessment and support services that meet their individual needs.</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>SF.2.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

<b>2.6 - Learners have timely access to current and accurate records of their participation and progress.</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>SF.2.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

<b>2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>N/A</li> </ul>		
<b>SF.2.7.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

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<b>3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</b>		<b>Not Audited</b>
<b>Evidence/Documentation Reviewed</b>		
N/A		
<b>SF.3.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

<b>3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.</b>		<b>Not Audited</b>
N/A		
<b>SF.3.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

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<b>3.3 – The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.</b>		<b>Not Audited</b>
<ul style="list-style-type: none"> <li>N/A</li> </ul>		
<b>SF.3.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

<b>3.4 - The RTO manages records to ensure their accuracy and integrity.</b>		<b>Not Audited</b>
<ul style="list-style-type: none"> <li>NA</li> </ul>		
<b>SF.3.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		NA

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**Detailed Findings – 2016 VRQA Guidelines for VET Providers**

<p><b>GUIDELINE 1.1 - An RTO must ensure that it has a current strategic plan and a detailed business plan which have been approved by its governing body.</b></p> <p>a) An RTO ensures the strategic plan details the overall vision, mission, board of directors and strategic directions of the RTO and clearly indicates that provision of vocational education is a primary purpose of the RTO.</p> <p>b) An RTO ensures the business plan details the operational and workforce development arrangements for a three year period that incorporates:</p> <ul style="list-style-type: none"> <li>i. description of the business including an organisation chart, courses, location(s) and facilities</li> <li>ii. a continuous improvement plan or risk management strategy</li> <li>iii. a work force development plan</li> <li>iv. strategic alliances with other education or service providers or third party arrangements</li> <li>v. training and assessment delivery including proposed facilities and delivery hours</li> </ul>		<p><b>Not Audited in Phase 2 audit</b></p>
N/A		
<b>GF 1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

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<p><b>GUIDELINE 1.2 - An RTO demonstrates its financial viability and its capacity to sustain quality VET into the future by ensuring it has a three year financial plan that includes:</b></p> <ul style="list-style-type: none"> <li>a) projected student enrolments by qualifications</li> <li>b) a range of financial indicators, including             <ul style="list-style-type: none"> <li>i. cash flow</li> <li>ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1)</li> <li>iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1)</li> </ul> </li> <li>c) the VET provider shows that it has a financial guarantor with the capacity to service the guarantee and/or to demonstrate sufficient working capital to operate for at least 6 months without tuition fees.</li> <li>d) details about whether any person involved in the management or provision of courses by the RTO meets any of the descriptions listed in section 4.3.11(2) of the Act.</li> </ul>		<p><b>Not audited in Phase 2 audit</b></p>
N/A		
<b>GF 1.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	N/A	N/A



Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<b>GUIDELINE 1.3 - An RTO ensures that it has management systems that include:</b>		<b>Not Audited</b>
<ul style="list-style-type: none"> <li>a) management information including:               <ul style="list-style-type: none"> <li>I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds)</li> <li>II. a physical address of the company in Victoria for the purposes of serving notices</li> <li>III. details of the directors, CEO/PEO and senior management members with associated police checks and Working With Children Checks if students are under 18 years of age</li> <li>IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria</li> <li>V. contact arrangements for the CEO/PEO including during holidays and other closure periods</li> <li>VI. a physical addresses for the location of financial, student and staff records including archives and computer back up storage</li> </ul> </li> <li>b) a financial management system including a system for managing student fee payments and student refunds</li> <li>c) a student records management system that includes the capacity to provide the VRQA with AVETMISS compliant data and to ensure that copies of student records are               <ul style="list-style-type: none"> <li>I. not able to be withheld from the RTO; and</li> <li>II. able to be provided in electronic and print versions, at no cost to the VRQA in the event that the VET provider ceases operations</li> </ul> </li> <li>d) a staff records management system including arrangements which ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills.</li> </ul>		
N/A		
<b>GF 1.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<p><b>GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:</b></p> <ul style="list-style-type: none"> <li>a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management</li> <li>b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that: <ul style="list-style-type: none"> <li>i. for an RTO with anticipated ongoing operation of less than 150 equivalent full time students or an annual student fee turnover of less than \$1.5m per annum, persons are appointed with suitable qualifications and experience; and</li> <li>ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience</li> </ul> </li> <li>c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience.</li> </ul>		<p><b>Not audited in Phase 2 audit</b></p>
N/A		
<b>GF 1.4</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<b>GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.</b>		<b>Not audited</b>
<ul style="list-style-type: none"> <li>• A <i>third party</i> means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO.</li> <li>• <i>Services</i> mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services.</li> </ul>		
N/A		
<b>GF 2.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		N/A

<b>GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:</b>		<b>Not Audited</b>
<ul style="list-style-type: none"> <li>a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and</li> <li>b) for the purposes of the conduct of any audit or monitoring of its operations.</li> </ul>		
N/A		
<b>GF 2.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		N/A

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<b>GUIDELINE 2.3 – An RTO notifies the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:</b>		<b>Not Audited</b>
<ul style="list-style-type: none"> <li>a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and</li> <li>b) within 30 calendar days of the agreement coming to an end.</li> </ul>		
N/A		
<b>GF 2.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		N/A

<b>GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:</b>		<b>Not Audited</b>
<ul style="list-style-type: none"> <li>a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and</li> <li>b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party.</li> </ul>		
N/A		
<b>GF 2.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		N/A

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<b>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO provides, in print or through referral to an electronic copy, current and accurate information that:</b>		<b>Not Audited</b>
a) enables the student to make informed decisions about undertaking training with the RTO and b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf		
N/A		
<b>GF 2.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		N/A

<b>GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.</b>		<b>Not Audited</b>
N/A		
<b>GF 2.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		N/A

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<b>GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:</b>		<b>Not Audited</b>
<ul style="list-style-type: none"> <li>a) the RTO, its trainers, assessors or other staff;</li> <li>b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or</li> <li>c) a student of the RTO.</li> </ul>		
N/A		
<b>GF 2.7.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		N/A

<b>GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.</b>		<b>Not Audited</b>
N/A		
<b>GF 2.8.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		N/A

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<p><b>GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:</b></p> <ul style="list-style-type: none"> <li>a) vocational competencies at least to the level being delivered and assessed;</li> <li>b) current industry skills directly relevant to the training and assessment being provided; and</li> <li>c) current knowledge and skills in vocational training and learning that informs their training and assessment.</li> </ul> <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		<b>Compliant</b>
<p>See Standard 1.4</p>		
<b>GF 3.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Training and assessment was delivered by trainers and assessors who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed, could demonstrate current industry skills directly relevant to the training/assessment being undertaken and continued to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	<p>N/A</p>

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<b>GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.</b>		<b>Compliant</b>
See Standard 1.4		
<b>GF 3.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Training and assessment was delivered by trainers and assessors who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed, could demonstrate current industry skills directly relevant to the training/assessment being undertaken and continued to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.	N/A

<b>GUIDELINE 3.3 Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.</b>		<b>Not Audited</b>
NA		
<b>GF 3.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	NA	NA



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RTO: Murray Adult Community Education-Swan Hill Inc

<b>GUIDELINE 3.4 Where the RTO, in delivering training and assessment, engages an individual who is not a qualified trainer and/or assessor, the individual works under the supervision of a qualified trainer and/or assessor and must not determine assessment outcomes.</b>		<b>Not Audited</b>
NA		
<b>GF 3.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		NA

<b>GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:</b>		<b>Not Audited</b>
<ul style="list-style-type: none"> <li>a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines;</li> <li>b) has vocational competencies at least to the level being delivered and assessed; and</li> <li>c) has current industry skills directly relevant to the training and assessment being provided.</li> </ul>		
NA		
<b>GF 3.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		NA

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RTO: Murray Adult Community Education-Swan Hill Inc

<b>GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</b>		<b>Compliant</b>
See Standard 1.2		
<b>GF 4.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The RTO's training and assessment strategies and practices, including the amount of training it provides, and is consistent with the requirements of the training packages	N/A

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<p><b>GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:</b></p> <ul style="list-style-type: none"> <li>a) the existing skills, knowledge and the experience of the student;</li> <li>b) the mode of delivery; and</li> <li>c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.</li> </ul>	Compliant
See Standard 1.2	
<b>GF 4.2.1 Finding</b>	<b>Required Rectification(s)</b>
The RTO's training and assessment strategies and practices, including the amount of training it provided, were consistent with the requirements of the Training Packages and enabled each student to meet the requirements for each unit of competency in which the student was enrolled and a rationale for this amount of training was provided.	N/A

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<b>GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation) of these Guidelines.</b>		<b>Not Audited</b>
NA		
<b>GF 4.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		NA

<b>GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.</b>		<b>Not Audited</b>
NA		
<b>GF 4.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		NA

<b>GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment:</b>		<b>Not Audited</b>
a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or		

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.		<b>Not Audited</b>
NA		
<b>GF 4.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		NA

GUIDELINE 4.6 - An RTO ensures that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 of these Guidelines and does not determine assessment outcomes.		<b>Not Audited</b>
NA		
<b>GF 4.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
NA		NA

Audit Date: 24<sup>th</sup> November 2020

RTO: Murray Adult Community Education-Swan Hill Inc

<b>GUIDELINE 4.7 - An application to add any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor) to an RTO's scope of registration has only be granted if an RTO has:</b>		<b>Not audited</b>
<ul style="list-style-type: none"> <li>a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and</li> <li>b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3.</li> </ul>		
N/A		
<b>GF 4.7</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A

<b>GUIDELINE 5.1 - An RTO registered with the VRQA has provided an annual declaration of compliance with the AQTF Essential Conditions and Standards for Continuing Registration (the AQTF Standards) and these Guidelines, and in particular whether it:</b>		<b>Not audited</b>
<ul style="list-style-type: none"> <li>a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and</li> <li>b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and</li> <li>c) has training and assessment strategies and practices in place that ensure that all current and prospective students are or will be trained and assessed in accordance with the requirements of the AQTF Standards and these Guidelines.</li> </ul>		
N/A		
<b>GF 5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
N/A		N/A