

**The Creche and Kindergarten Association Limited trading as
 C&K College of Early Childhood**

SRTO DETAILS			
SRTO number	5025		
Address	14 Edmondstone Street, Newmarket, QLD, 4051		
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Student numbers			
AUDIT TEAM			
Lead Auditor	Phoebe Lee	Auditor/s	Drew Clark
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AUDIT DETAILS			
Audit date/s	26 – 27 November 2012		
Audit outcome on day of audit	Compliant <input type="checkbox"/>	Non-compliant <input checked="" type="checkbox"/>	
Audit outcome following rectification	Compliant <input checked="" type="checkbox"/>	Non-compliant <input type="checkbox"/>	
Other audit notes			
FOCUS OF AUDIT			
Qualification code	Qualifications	Total Students	Delivery site
CHC30708	Certificate III in Children's Services	13	Workplace
CHC50908	Diploma of Children's Services (Early childhood education and care)	45	Workplace
INTERVIEWEE/S			
Ms Marice Simpson, College Manager			
Ms Debra Worth, Training and Assessment Coordinator			

Vocational Education and Training (VET) Pre-Qualified Supplier Agreement

Clause 26 Good faith

In performing its obligations under this Agreement and seeking to become entitled to public funding under this Agreement the Supplier has:

YN

acted in good faith in all matters pertaining to the Agreement; and

acted consistently with the spirit of this Agreement and the Funding Program;.

acted in a way that best achieves the objectives of the Funding program.

At time of audit:
 Compliant
 Not Compliant

Clause 3.2 The SRTO must:
(c) comply with the AQTF, the Act and all relevant laws in the performance of its obligations under this agreement.

Vocational Education, Training and Employment Act 2000
Vocational Education, Training and Employment Regulation 2000

Training Plans

YN NA

Signatures of all parties to the agreement (student, employer and SRTO) sighted for all training plans *VETE Act Section 100(1)*

SRTO has taken reasonable steps to ensure each training plan is signed –

(a) if the training plan is the initial training plan for the apprentice or trainee – before the probationary period for the apprentice or trainee ends; or

(b) if a training plan for an apprentice or trainee ends because the supervising registered training organisation has been replaced – within 14 days after the replacement day *VETE Act Section 100(2)*

SRTO ensures a copy of the signed training plan is given to each apprentice or trainee, and the employer, within 7 days after the parties sign it. *VETE Act Section 101*

If changes have been made to training plan, the changed training plan has been signed by all parties to the training plan within 14 days after the parties agree to the change. *Section 18(1)&(2) VETE Regulation*

If changes have been made to the training plan, the SRTO ensures a copy of the signed changed training plan is given to each apprentice or trainee, and the employer, within 7 days after the parties sign it. *Section 19 VETE Regulations*

At time of audit:
 Compliant
 Not Compliant

Following rectification:
 Compliant
 Not Compliant

Requirements of a training plan for an apprentice or trainee

Y N

Skills Queensland Guideline 15

The purpose of the training plan

The circumstances and process for changing the training plan

The training plan's role in the completion process

Whether training delivery for individual competencies will be in the form of structured training and/or workplace tasks

The responsibilities of each party for the record of the training undertaken in the apprentice's or trainee's training record

The employer's name (including legal name) and contact details

The apprentice's/trainee's name and date of birth

The title of the apprenticeship/traineeship

The SRTO's name (including legal name) and contact details

- The planned commencement and completion dates
- Training contract type i.e. Full Time, Part Time or School-based
- The qualification/statement of attainment title, including level and qualification code
- The name of each competency to be achieved, including its unit code
- The training plans contains the acknowledgement and undertaking from all parties
- Training plans align with training package requirements regarding the selection of units
- Individual training plans within student files have been fully developed

Training Records

Y N

- SRTO has provided the apprentice or trainee with the appropriate training record to be kept for the apprenticeship or traineeship within 14 days after a training plan is signed by the parties to the training plan - *VETE Regulations Section 20(1)*
- Where training is required to be delivered by the employer or the SRTO, the employer or the SRTO has at intervals of not more than 3 months –
 - (a) required the apprentice or trainee to produce the training record to have the particulars of the training completed by the apprentice or trainee during the interval entered in it; and
 - (b) kept the record complete, accurate and up-to-date by entering the particulars in it.

Section 20(6) VETE Regulations

Availability of facilities

Y N

- The organisation has provided facilities, services, supervision and training required under the training plan for all apprentice and trainee files examined.
VETE Act - Section 92

Issuance of Qualification or Statement of Attainment

Y N

- The SRTO has within 14 days after receiving the notice mentioned in section 69, given the person who was the apprentice or trainee a statement of attainment detailing the training the person completed under the training plan before it ended.

Section 105(2)

NON-COMPLIANCES:

The training plan must contain the title of the apprenticeship/traineeship as listed on the Queensland Training Information Service (QTIS) site. The training plan sighted for each student file audited did not contain the title of the apprenticeship/traineeship for either qualification.

The training plan for each student must accurately reflect the units for which they will undertake training and assessment within the apprenticeship/traineeship. It was identified a generic training plan template listing units of competency is used for each student regardless of which units they are undertaking. It was identified:

- the training plan for Gemma Hilton, Danielle Hill and Nicolette Wall did not accurately reflect they would be undertaking training and assessment for *CHCORG428A Reflect on and improve own professional practice*
- the training plan for Tina Baxter listed 19 units, exceeding the training package requirements of 18 units for completion of the qualification
- the training plan for Linda Eagleton listed *CHCIC511A Implement and promote inclusive policies and practices in children's services*, however the unit had been crossed out despite being trained and assessed

RECTIFICATION REQUIRED:

The SRTO is required to provide an updated training plan template for each qualification which includes provision for the title of the apprenticeship/traineeship to be recorded.

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- The SRTO is required to provide an updated training plan template which includes the ability for it to be individually developed for each student. This must include the ability to record or identify the selected units of competency for each student and ensure the training package rules are met.

RECTIFICATION RECEIVED:

The SRTO provided the department a training plan template for each qualification. An examination of the rectification evidence provided by the SRTO identified each template includes provision for the title of the apprenticeship/traineeship to be recorded.

It was identified each template now includes provision to record the units of competency selected by the student. In addition to this, a sample discussion template has been developed to ensure all training package rules are met and the students selected units have been identified on the training plan.

The Creche and Kindergarten Association Limited is now compliant with the requirements of this clause.

Clause 9 Records

Information and material necessary to provide a complete record of training and assessment was sighted at audit including:

Y N

- records of each student's participation in training and assessment for each unit of competency, including records of the commencement of educational content, attendance and progression;
- retained full and complete records of each student's participation to validate withdrawn claims for payment
- evidence that the SRTO has a process in place to capture the employer's verification regarding the on-the-job component
- evidence that the SRTO has consistently retained evidence to support that the on-the-job training component has been achieved for each unit of competency for each participant prior to submission of claims for payment
- evidence supporting the accuracy and validity of data included in reports provided by the Supplier to the department under clause 5 of the VET Pre-qualified SRTO Agreement;
- accurate AVETMISS start and end dates for each student for each unit of competency;
- copy of the qualifications and statements of attainment issued to each student;
- evidence that an Employer Resource Assessment has been undertaken on the apprentice's or trainee's workplace to ensure the range of work, facilities and supervision arrangements are in place;

For each unit of competency for each student, the auditor sighted:

Y N

- completed and accurate assessor's marking guide, criteria and observation checklists for the unit of competency; and
- the completed paper-based assessment items for the unit of competency
- implemented and retained the full range of assessment evidence as per assessment master versions for each unit of competency.

At time of audit:

- Compliant
- Not Compliant

Following rectification:

- Compliant
- Not Compliant

NON-COMPLIANCES:

The organisation is required to report the correct outcome code for a unit of competency undertaken by a student. It was identified a '40' claim had been submitted for Katrina Reddy for the unit *CHCCN301B Ensure the health and safety of children*, however the SRTO had conducted assessment and deemed the student competent. A '40' claim indicating the student has withdrawn from the unit is inaccurate and a '20' claim code should have been used.

RECTIFICATION REQUIRED:

The SRTO is required to change the AVETMISS outcome identified code for *CHCCN301B Ensure health and safety of children* from a '40' to a '20' for Katrina Reddy to accurately reflect training and assessment occurred for the unit and provide evidence the code has been changed.

RECTIFICATION RECEIVED:

The SRTO provided the department an updated statement of attainment and personal status report for Katrina Reddy.

An examination of the rectification evidence provided by the SRTO identified the outcome code for the unit *CHCCN301B Ensure the health and safety of children* has been changed from a '40' to a '20'.

The updated statement of attainment accurately reflects the student undertook training assessment for the unit of competency *CHCCN301B Ensure the health and safety of children*.

The Creche and Kindergarten Association Limited is now compliant with the requirements of this clause.

Clause 10 Access to premises and records	
<p>The SRTO gave the department access to its premises:</p> <p>YN</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> to inspect and copy information and material related to the Agreement or kept by the Supplier under clause 9.1; and</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> to monitor the provision of training and assessment and other VET Services and performance of the SRTO's obligations under the Agreement.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> employees and contractors provided full and accurate answers to questions asked by the department in connection with training and assessment, other VET Services and Supplier obligations under the Agreement.</p>	<p>At time of audit:</p> <p><input checked="" type="checkbox"/> Compliant</p> <p><input type="checkbox"/> Not Compliant</p>

Clause 11 Publicity	
<p>In making any public statements in relation to the training and assessment funded under this agreement the SRTO :</p> <p>Y N N/A</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> has referenced the department as the funding source within any public statement</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> has not made any misleading public statements including statements to students, employers or other organisations relating to the Agreement or the department</p>	<p>At time of audit:</p> <p><input checked="" type="checkbox"/> Compliant</p> <p><input type="checkbox"/> Not Compliant</p> <p><input type="checkbox"/> Not Applicable</p>

Clause 13 Insurance	
<p>The organisation provided evidence that for the term of its agreement with the department it:</p> <p>Y N</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> maintained public liability insurance for a minimum of \$10 million arising out of any one event in respect of death, injury, loss, or damage howsoever sustained to or by any person or property;</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> maintained professional indemnity insurance and</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> maintained workers compensation insurance.</p>	<p>At time of audit:</p> <p><input checked="" type="checkbox"/> Compliant</p> <p><input type="checkbox"/> Not Compliant</p>

User Choice 2010 – 2015 Policy

Clause 2.4.3 AVETMISS Reporting Requirements.	
<p>The SRTO has:</p> <p>Y N NA</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> correctly reported the delivery identifier code specified in AVETMISS for the relevant mode of delivery Clause 2.4.3.c</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> gathered sufficient evidence that competency has been achieved, as expressed by the relevant endorsed industry/enterprise competency standards of a training package or by the learning outcome of an accredited course AND confirmed with the employer that the student has consistently demonstrated competent performance in workplace tasks relevant to the unit of competency/module to support the outcome of the assessment (AVETMISS Outcome Identifier Code 20); Clause 2.4.3.d</p> <p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support that students have attempted all</p>	<p>At time of audit:</p> <p><input checked="" type="checkbox"/> Compliant</p> <p><input type="checkbox"/> Not Compliant</p>

<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> assessments and failed in at least one method (AVETMISS Outcome Identifier Code 30); Clause 2.4.3.d	
<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> retained sufficient evidence to support the student's participation in the learning activity prior to withdrawing (AVETMISS Outcome Identifier Code 40); Clause 2.4.3.d	
<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> retained sufficient evidence to support recognition of prior learning (AVETMISS Outcome Identifier Code 51); Clause 2.4.3.d	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support that an application for recognition of prior learning was assessed and not approved (AVETMISS Outcome Identifier Code 52); Clause 2.4.3.d	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support recognition of current competencies (AVETMISS Outcome Identifier Code 53); Clause 2.4.3.d	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support that an application for recognition of current competencies was assessed and not approved (AVETMISS Outcome Identifier Code 54); Clause 2.4.3.d	
<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> retained sufficient evidence to support credit transfers (AVETMISS Outcome Identifier Code 60); Clause 2.4.3.d	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence that an induction was conducted and training plan developed prior to the student's training contract being cancelled or the student changing SRTOs (SRTO1 Administration Payment); Clause 2.4.3.d and	
<input checked="" type="checkbox"/> <input type="checkbox"/> submitted AVETMISS postcodes that accurately reflect the location in which the majority of training has been undertaken. Clause 2.4.3.e	

Table 4 – Service provision not funded	
The SRTO has: Y N <input checked="" type="checkbox"/> <input type="checkbox"/> not been funded for delivery of a unit of competency or module through RPL in any instances where this leads to the entire qualification has been achieved through RPL;	At time of audit: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
<input checked="" type="checkbox"/> <input type="checkbox"/> complied with all requirements of the Agreement;	
<input checked="" type="checkbox"/> <input type="checkbox"/> not submitted claims for payment for units in excess of the competency count for the qualification;	
<input checked="" type="checkbox"/> <input type="checkbox"/> not submitted claims for payment for units of competency previously assessed as competent.	

Clause 2.5 Fees and Charges	
2.5.1 Student Contribution Fees	At time of audit: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
(b) The Supplier provided the participant details of its fees and charges policy, including the student contribution fees and any additional charges as identified in section 2.5.8, its method of collection, refunds, and exemptions and provide access to this written policy to participants prior to their enrolment.	
(c) The SRTO has retained evidence of fees collected as well as evidence of participants who have been deemed totally or partially exempt from the payment of student contribution fees.	
(e) The Supplier has not charged participants more than the student contribution fee contained in the User Choice 2010 - 2015 Policy except as required periodically by the department.	
2.5.2 Partial Exemption—Tuition Fees	
The SRTO must not charge more than 40 per cent of the student contribution fee where the participant falls into one or more of the following exemption categories:	
(a) The participant was or will be under 17 at the end of February in the year in which the	

Supplier provides training, and the participant is not at school and has not completed year 12;

- (b) The participant holds a health care card or pensioner card issued under Commonwealth law, or is the partner or a dependant of a person who holds a health care card or pensioner concession card, and is named on the card;
- (c) The participant issues the SRTO with an official form under Commonwealth law confirming that the participant, his or her partner or the person of whom the participant is a dependant, is entitled to concessions under a health care card or pensioner concession card; or
- (d) The participant is an Aboriginal or Torres Strait Islander person. Acceptable evidence is as stated on the Training Contract and AVETMISS VET enrolment form.

2.5.3 Student services for Participants

The Supplier must not charge the participant a separate student services fee as this provision has already been captured in section 2.5.1(a) *Student Contribution Fee* of the User Choice 2010-2015 Policy.

2.5.4 Fee exemption on grounds of extreme hardship or other special circumstances

- (d) Where the participant is a school-based apprentice or trainee, the SRTO must exempt the participant from these fees.

2.5.7 Refund Policy

The Supplier must have a refund policy that meets the requirements of the AQTF. This policy must also include provision for:

- (a) full refunds to participants for student contribution fees charged for training delivery that has not commenced at the time of the cancellation of enrolment;
- (b) proportionate refunds where the participant has withdrawn from a unit of competency/module; and
- (c) refunds to employers/industry for additional charges paid beyond the participant and government contributions.

2.5.8 Additional charges

Student: The SRTO may apply additional charges beyond the student contribution fee only if those additional charges are in accordance with the *Vocational Education, Training and Employment Regulation 2000* (Regulations).

Employer/Industry: The Supplier may seek additional charges from the employer/industry. Any additional charges must be negotiated up-front and disclosed to the employer/industry prior to the participant's enrolment.

Induction information contains User Choice specific information regarding:

Y N NA

- rate of student contribution fees (*currently \$1.55*);
- partial tuition fee exemption categories (*must not charge more than 40%*);
- full refunds for units not commenced and proportionate refunds for units commenced but not completed;
- any additional fees (i.e. Schedule 1 of the VETE Regulations) to be charged to the participant; and
- any additional fees to be charged to the employer/industry.

The SRTO has:

Y N NA

- charged student contribution fees for all students (excluding SATs and appropriately approved exemptees),
- retained sufficient evidence to support the granting of student contribution tuition fee exemptions;
- not charged any SATs student contribution fees;
- calculated student contribution fees based on the correct number of nominal hours;

- calculated student contribution fees at the correct rates;
- ensured any additional fees charged are in accordance with Schedule 1 of the *Vocational Education, Training and Employment Regulations 2000*;
- calculated partial student contribution fee exemptions at the correct rate;
- retained sufficient evidence to support the provision of full and partial refunds to all parties;
- retained sufficient evidence that additional charges to the participant have been charged in accordance with Schedule 1 of the *Vocational Education, Training and Employment Regulation 2000*; and
- retained sufficient evidence that additional charges to the employer have been negotiated.