



## Audit report – VET Quality Framework

### Continuing registration as a national VET regulator (NVR) registered training organisation

#### ORGANISATION DETAILS

Organisation's legal name	<b>Kath Dickson Family Centre Assn Inc</b>
Trading name/s	Kath Dickson Institute of Early Childhood Studies, Kath Dickson Institute
RTO number	5394
CRICOS number	N/A

#### AUDIT TEAM

Lead auditor	Denise Middleton
Auditor/s	N/A
Technical adviser/s	N/A

#### AUDIT DETAILS

Application number/s	1058211	
Audit number/s	1006054	
Audit reason 1	Application - change	
Audit reason 2	n/a	
Audit reason 3	n/a	
Activity type	Site visit	
Address of site/s visited	2 Lawrence Street, Toowoomba Q 4350	
Date/s of audit	02/07/2014	
Organisation's contact for audit	Chris Mahony cmahony@kdfc.com.au	Institute Director 0746338400
NVR standards audited	Selected Standards for Continuing Registration: 15.2, 15.3, 15.5, 15.5, 16.4 and 17.3	

#### BACKGROUND

- An annual plan is developed as well as a strategic plan and a full business plan which covers a five year period.
- The organisation does not have any partnerships with other organisations.
- The organisation only delivers nationally recognised training.
- The trainers and assessors employed by the Institute are educators working within industry on an ongoing basis.
- Training and assessment is delivered on a fee for service basis and under public funding dollars such as User Choice and the Cert III guarantee.



- The organisation enrolls between 500 and 600 students annually.
- The organisational structure of the organisation consists of Chief Executive Officer, trainers/assessors (six) and two administration staff.
- The organisation is directly linked to childcare centres, family day care, kindergarten, long day care, play group and parent support group centres across metro and regional areas.
- Training and assessment is delivered in Queensland in various centres including Townsville, the Sunshine Coast, Bundaberg, South East Queensland, Gold Coast, Ipswich, Coominya and the Southern Downs.
- As a result of the strategic audit that was conducted on this organisation, all training and assessment staff will be required to undertake 35 hours of vocational placement annually to maintain currency within the Childcare industry.

Total number of current enrolments in RTO as at audit date:

- 600 in superseded qualifications

#### AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
CHC30113	Certificate III in Early Childhood Education and Care	Face to face	N/A
CHC50113	Diploma of Early Childhood Education and Care	Face to face	N/A

#### INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Chris Mahony	Institute Director	CHC30113 Certificate III in Early Childhood Education and Care CHC50113 Diploma of Early Childhood Education and Care

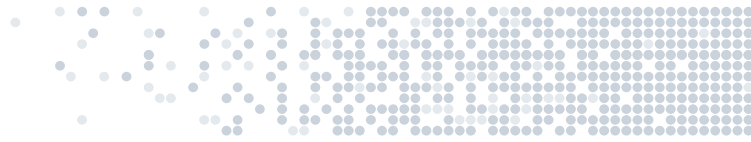
#### ORIGINAL AUDIT FINDING AT TIME OF AUDIT

##### Audit finding as at 02/07/2014: Minor non-compliance

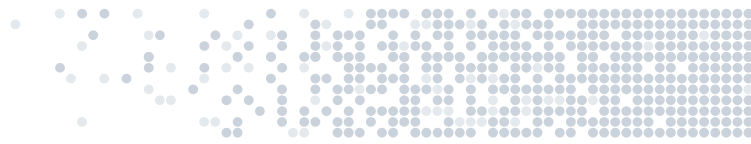
- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

#### AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

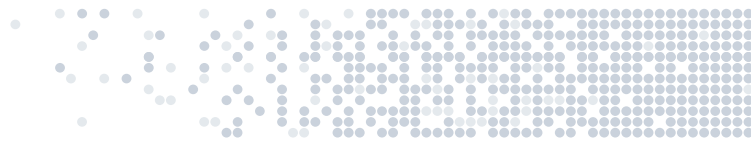
##### Audit finding following analysis of additional evidence provided on 02/07/2014: Compliant



<b>AUDIT FINDING BY STANDARD</b>		
<b>Standard</b>	<b>Original finding</b>	<b>Finding following rectification</b>
SNR 15	Not compliant	Compliant
SNR 16	Compliant	n/a
SNR 17	Compliant	n/a
SNR 18	Not audited	n/a
SNR 19	Not audited	n/a
SNR 20	Not audited	n/a
SNR 21	Not audited	n/a
SNR 22	Not audited	n/a
SNR 23/AQF	Not audited	n/a
SNR 24	Not audited	n/a
SNR 25	Not audited	n/a



<b>SNR 15</b>	<b>The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:</b>
<b>15.1</b>	<b>The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.</b>
<b>Original finding:</b>	Not audited
<b>Following rectification:</b>	n/a
<b>15.2</b>	<b>Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry.</b>
<b>Original finding:</b>	Not compliant
<b>Following rectification:</b>	Compliant
<i>Reasons for finding of non-compliance:</i>	
<ul style="list-style-type: none"><li>The training and assessment strategy for CHC30113 Certificate III in Early Childhood Education and Care contained two incorrectly coded units of competency.</li></ul>	
<b>NOTE:</b> Prior to the conclusion of the audit, the organisation provided evidence that rectified the identified non-compliance. Consequently, no further evidence is required for this specific issue.	
<b>15.3</b>	<b>Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry.</b>
<b>Original finding:</b>	Not compliant
<b>Following rectification:</b>	Compliant
<i>Reasons for finding of non-compliance:</i>	
<ul style="list-style-type: none"><li>As non-compliance was identified in standard 15.2, this standard is deemed non-compliant until the non-compliance in standard in in 15.2 has been rectified.</li></ul>	
<b>NOTE:</b> Prior to the conclusion of the audit, the organisation provided evidence that rectified the identified non-compliance in standard 15.2. Consequently, no further evidence is required for this specific issue.	
<b>15.4</b>	<b>Training and assessment is delivered by trainers and assessors who:</b> <b>(a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and</b> <b>(b) have the relevant vocational competencies at least to the level being delivered or assessed; and</b> <b>(c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and</b> <b>(d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</b>
<b>Original finding:</b>	Compliant
<b>Following rectification:</b>	n/a
<b>15.5</b>	<b>Assessment including Recognition of Prior Learning (RPL):</b> <b>(a) meets the requirements of the relevant Training Package or VET accredited course; and</b> <b>(b) is conducted in accordance with the principles of assessment and the rules of evidence; and</b> <b>(c) meets workplace and, where relevant, regulatory requirements; and</b>



**(d) is systematically validated.**

**Original finding:** Compliant

**Following rectification:** n/a

**SNR 16 The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:**

**16.1 The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.**

**Original finding:** Not audited

**Following rectification:** n/a

**16.2 The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.**

**Original finding:** Not audited

**Following rectification:** n/a

**16.3 Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.**

**Original finding:** Not audited

**Following rectification:** n/a

**16.4 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.**

**Original finding:** Compliant

**Following rectification:** n/a

**16.5 Learners receive training, assessment and support services that meet their individual needs.**

**Original finding:** Not audited

**Following rectification:** n/a

**16.6 Learners have timely access to current and accurate records of their participation and progress.**

**Original finding:** Not audited

**Following rectification:** n/a

**16.7 The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.**

**Original finding:** Not audited

**Following rectification:** n/a

**SNR 17 Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:**

**17.1 The NVR registered training organisation's management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.**



**Original finding:** Not audited

**Following rectification:** n/a

**17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.**

**Original finding:** Not audited

**Following rectification:** n/a

**17.3 The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.**

**Original finding:** Not audited

**Following rectification:** n/a

**17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.**

**Original finding:** Not audited

**Following rectification:** n/a

**SNR 18 The NVR registered training organisation has governance arrangements in place as follows:**

**18.1 The NVR registered training organisation's Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation's scope of registration, as listed on the National Register.**

**Original finding:** Not audited

**Following rectification:** n/a

**18.2 The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.**

**Original finding:** Not audited

**Following rectification:** n/a

**SNR 19 Interactions with the National VET Regulator**

**19.1 The NVR registered training organisation must co-operate with the National VET Regulator:**  
**(a) in the conduct of audits and the monitoring of its operations;**  
**(b) by providing accurate and timely data relevant to measures of its performance;**  
**(c) by providing information about significant changes by its operations;**  
**(d) by providing information about significant changes to its ownership; and**  
**(e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.**

**Original finding:** Not audited

**Following rectification:** n/a

**SNR 20 Compliance with legislation**

**20.1 The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope**



**of registration.**

**Original finding:** Not audited

**Following rectification:** n/a

**20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.**

**Original finding:** Not audited

**Following rectification:** n/a

## **SNR 21 Insurance**

**21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.**

**Original finding:** Not audited

**Following rectification:** n/a

## **SNR 22 Financial management**

**22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.**

**Original finding:** Not audited

**Following rectification:** n/a

**22.2 The NVR registered training organisation must provide the following fee information to each client:**

- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;**
- (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;**
- (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;**
- (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and**
- (e) the organisation's refund policy.**

**Original finding:** Not audited

**Following rectification:** n/a

**22.3 Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:**

- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;**
- (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;**
- (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given**



time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;

(d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or

(e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.

**Original finding:** Not audited

**Following rectification:** n/a

## **SNR 23 Certification, issuing and recognition of qualifications & statements of attainment**

**23.1 The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:**

(a) meets the Australian Qualifications Framework (AQF) requirements;

(b) identifies the NVR registered training organisation by its national provider number from the National Register and

(c) includes the NRT logo in accordance with its current conditions of use.

**Original finding:** Not audited

**Following rectification:** n/a

**23.2 The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.**

**Original finding:** Not audited

**Following rectification:** n/a

**23.3 The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.**

**Original finding:** Not audited

**Following rectification:** n/a

**23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]**

This element was not audited.

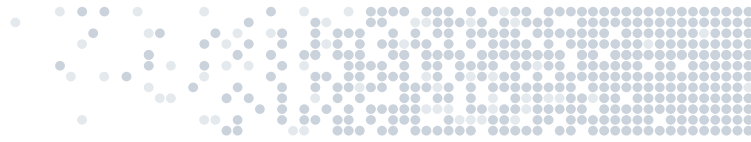
**23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]**

This element was not audited.

## **SNR 24 Accuracy and integrity of marketing**

**24.1 The NVR registered training organisation must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.**





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**Original finding:** Not audited

**Following rectification:** n/a

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**24.2 The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.**

**Original finding:** Not audited

**Following rectification:** n/a

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**SNR 25 Transition to Training Packages/expiry of VET accredited courses**

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**25.1 The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.**

**Original finding:** Not audited

**Following rectification:** n/a

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**25.2 The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.**

**Original finding:** Not audited

**Following rectification:** n/a

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