

**VRQA Guidelines for VET Providers**  
**AUDIT REPORT**

**RTO: FYI Training Pty. Ltd**

**Audit Date: 23–24 April 2012**

<b>RTO DETAILS</b>																																																																								
RTO Name	FYI Training Pty. Ltd	NTIS Number	21976																																																																					
Address	Suite 5, 769 High Street EPPING VIC 3076 – Head Office and location of one training room Suite 2–4A, 494 High Street EPPING VIC 3076 – Location of 2 additional training rooms																																																																							
		Website	<a href="http://www.fyitraining.com.au">http://www.fyitraining.com.au</a>																																																																					
Registration Contact	CEO : Ms Renee Jakimowicz		Registration Enquires : Mr Ned Grubisic																																																																					
Phone Number	1300 884 133	Email	<a href="mailto:rjakimowicz@fyitraining.com.au">rjakimowicz@fyitraining.com.au</a>																																																																					
Student Numbers	<table border="1"> <thead> <tr> <th>Code</th> <th>Qualification name or unit name</th> <th>2010</th> <th>2011</th> </tr> </thead> <tbody> <tr> <td>BSB40507</td> <td>Certificate IV in Business Administration</td> <td></td> <td></td> </tr> <tr> <td>BSB51107</td> <td>Diploma of Management</td> <td></td> <td></td> </tr> <tr> <td>CHC30208</td> <td>Certificate III in Aged Care</td> <td></td> <td></td> </tr> <tr> <td>CHC30308</td> <td>Certificate III in Home and Community Care</td> <td></td> <td></td> </tr> <tr> <td>CHC30408</td> <td>Certificate III in Disability</td> <td></td> <td></td> </tr> <tr> <td>CHC30708</td> <td>Certificate III in Children's Services</td> <td></td> <td></td> </tr> <tr> <td>CHC40108</td> <td>Certificate IV in Aged Care</td> <td></td> <td></td> </tr> <tr> <td>CHC40308</td> <td>Certificate IV in Disability</td> <td></td> <td></td> </tr> <tr> <td>CHC40608</td> <td>Certificate IV in Leisure and Health</td> <td></td> <td></td> </tr> <tr> <td>CHC50908</td> <td>Diploma of Children's Services (Early childhood education and care)</td> <td></td> <td></td> </tr> <tr> <td>CHC52008</td> <td>Diploma of Community Services (Case management)</td> <td></td> <td></td> </tr> <tr> <td>HLT32507</td> <td>Certificate III in Health Services Assistance</td> <td></td> <td></td> </tr> <tr> <td>HLT32807</td> <td>Certificate III in Health Support Services</td> <td></td> <td></td> </tr> <tr> <td>HLT32907</td> <td>Certificate III in Health Administration</td> <td></td> <td></td> </tr> <tr> <td>TAE40110</td> <td>Certificate IV in Training and Assessment</td> <td></td> <td></td> </tr> <tr> <td>HLTCPR201B</td> <td>Perform CPR</td> <td></td> <td></td> </tr> </tbody> </table>				Code	Qualification name or unit name	2010	2011	BSB40507	Certificate IV in Business Administration			BSB51107	Diploma of Management			CHC30208	Certificate III in Aged Care			CHC30308	Certificate III in Home and Community Care			CHC30408	Certificate III in Disability			CHC30708	Certificate III in Children's Services			CHC40108	Certificate IV in Aged Care			CHC40308	Certificate IV in Disability			CHC40608	Certificate IV in Leisure and Health			CHC50908	Diploma of Children's Services (Early childhood education and care)			CHC52008	Diploma of Community Services (Case management)			HLT32507	Certificate III in Health Services Assistance			HLT32807	Certificate III in Health Support Services			HLT32907	Certificate III in Health Administration			TAE40110	Certificate IV in Training and Assessment			HLTCPR201B	Perform CPR		
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	HLTFA201A	Provide basic emergency life support			
	HLTFA301C	Apply first aid			
<b>AUDIT TEAM</b>					
Lead Auditor	Jacqui Hodge	Auditor/s	NA		
Technical Advisor/s	NA	Observer/s	NA		
<b>REGISTERING BODY DETAILS</b>					
Contact Person	Katherine Papastathopoulos				
Phone Number	9651 3225	Email	vet.audit@edumail.vic.gov.au		
<b>AUDIT DETAILS</b>					
Type of Audit	Re-registration				
Guidelines audited	1.2.3, 1.3.3, 1.3.4, 1.4.1, 1.5	2.1.2, 2.2, 2.3	3.4	4.1, 4.2, 4.4	5.1
Audit Date/s	23–24 April 2012 The audit was originally scheduled for 13–14 March, but was moved to April as the CEO was on leave in March. The auditor moved the date from 10 April to 23 April.				
Other audit notes	<p>This audit was scheduled as both a re-registration audit and an extension to scope audit. On the second day of the audit, the CEO stated that she wished to withdraw her application for an extension to scope application and that she did not want the auditor to review the material prepared for the audit.</p> <p>The qualification CHC52008 Diploma of Community Services (Case management) was listed as part of the audit sample, however on the second day of audit the CEO also stated that she did not want the materials for this qualification reviewed and that she would request the VRQA to remove this qualification from the scope of registration.</p> <p>As a result of this statement from the CEO, the auditor added the CHC30208 Certificate III in Aged Care to the audit scope.</p> <p>Face-to-face training is delivered at the RTO's two training facilities in Epping, as well as through traineeship and by distance.</p>				
<b>ACCOMPANYING REPORTS</b>			Yes	No	
Continuing Registration – Standards & Conditions			Yes		
VRQA Guidelines – Re-registration Checklist			Yes		

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FOCUS OF AUDIT		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
NTIS Code	Qualification/Unit of Competence/Accredited Course (as per NTIS)	Delivery Site
QUALIFICATIONS		
TAE40110	Certificate IV in Training and Assessment	At the RTO's training rooms in Epping
CHC52008	Diploma of Community Services (Case management) Not audited at the request of the CEO, who stated she wished to remove this qualification from scope	At the RTO's training rooms in Epping Distance
CHC50908	Diploma of Children's Services (Early childhood education and care)	At the RTO's training rooms in Epping Distance
CHC30208	Certificate III in Aged Care	At the RTO's training rooms in Epping Distance
UNITS		
TAEDEL402A	Plan, organise and facilitate learning in the workplace	As above
TAEASS402B	Assess competence	As above
CHCLD515A	Analyse client information for service planning and delivery Not audited at the request of the CEO, who stated she wished to remove this unit from scope	As above
CHCORG428A	Reflect on and improve own professional practice Not audited at the request of the CEO, who stated she wished to remove this unit from scope	As above
CHCIC501A	Manage children's services workplace practice to address regulations and quality assurance	As above

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CHCRF511A	Work in partnership with families to provide appropriate care for children	As above
CHCAC318B	Work Effectively in Aged Care Sector	As above
CHCAC317A	Support the Older person to maintain their independence	As above
<b>Extension to scope</b>		
Not at the request of the CEO, who stated she wished to withdraw the application to add these units to scope		
CHCCS305B	Assist clients with medication	
HLTAP301B	Recognise healthy body systems in a health care context	

<b>INTERVIEWEE/S:</b> Staff name and position; employer name and position; students by program (do not list by name)	
Ms Renee Jakimowicz	CEO and TAE Trainer
Mr Ned Grubisic	Finances and Co-director
██████████	Diploma Children's Services Trainer
XXXXXX	Admin Staff Member

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**AUDITOR DECLARATION**

I have examined the application from the above named organisation against the *VRQA Guidelines for VET Providers* for the purpose of re-registration. It is my opinion that the organisation *does not meet* the requirements in the VRQA Guidelines for the training identified in their application.

Name of Auditor: Jacqui Hodge

Signed



Date: 14 May 2012

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**AUDIT SUMMARY**

<b>Guideline 1: Governance, Probity and Compliance with Statutory Requirements</b>		
<b>Audit conclusion</b>	<b>Result</b>	<b>✓</b>
<p><b><u>Guideline 1.2.3 – Not Compliant</u></b></p> <p>FYI has not provided evidence that no person involved in the management or provision of courses by the provider meets any of the descriptions listed in section 4.3.11(2) of the <i>Education &amp; Training Reform Act 2006</i>.</p> <p>A police check was sighted for Jodi Robinson, Training Manager, however there was no statutory declaration or other process used to provide evidence as to whether she had not met any of the descriptions in section 4.3.11(2) of the <i>Education &amp; Training Reform Act 2006</i>.</p> <p>A Federal security check was supplied for Ned Grubisic as he has been in the security industry; however, there was no statutory declaration or other process used to provide evidence as to whether he had not met any of the descriptions in section 4.3.11(2) of the <i>Education &amp; Training Reform Act 2006</i>.</p> <p>There was no evidence presented of any police checks or other process undertaken to provide evidence that the CEO has not met any of the descriptions in section 4.3.11(2) of the <i>Education &amp; Training Reform Act 2006</i>.</p> <p><b><u>Rectification</u></b></p> <p>FYI needs to provide evidence that it has ensured that no person involved in the management or provision of courses by the provider meets any of the descriptions listed in section 4.3.11(2) of the <i>Education &amp; Training Reform Act 2006</i>.</p> <p><b><u>Guideline 1.3.3 – Compliant</u></b></p> <p>Sighted use of VETTrak, which meets this requirement</p> <p><b><u>Guideline 1.3.4 – Not Compliant</u></b></p> <p>FYI does not have records management system in place to ensure that for each training and assessment staff member that information required by this guideline is available.</p>	Compliant	
	Non-compliant	✓
	Not audited	

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In relation to [REDACTED], trainer for CHC50908 Diploma of Children's Services:

- [REDACTED] does not professional development records
- Her CV is not signed or complete – employment history last updated in 2001
- Her qualifications are not verified
- Her skills matrix is not complete, sufficient or signed
- Her file did not contain a Position description or Employment contract/ agreement. No letter of offer sighted

In relation to Renee Jakimowicz, trainer for TAE40110 Certificate IV in Training and Assessment:

- Renee did not provide a position description or employment contracts. It is noted that she is the CEO and owner as well.

In relation to [REDACTED], trainer for Certificate III in Aged Care

- [REDACTED] CV is not signed
- Her qualifications are not verified
- Her skills matrix is not complete, sufficient or signed
- Her file did not contain a Position description or Employment contract / agreement. A letter of offer was sighted dated Nov 2011

In relation to [REDACTED], trainer for CHC50908 Diploma of Children's Services

- [REDACTED] professional development records are not signed
- Her CV is not signed
- Her qualifications are not verified
- Her skills matrix is not complete sufficient or signed
- Her file did not contain a Position description. A letter of offer and an Employment contract dated Nov 2011 was sighted

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Rectification

FYI needs to provide evidence that it has a records management system in place to ensure that for each training and assessment staff member that information required by this guideline is available.

It must also provide evidence that the non-compliances listed for each trainer/assessor has been addressed.

**Guideline 1.4 – Compliant**

FYI has Governance arrangements that demonstrate that collectively the CEO/PEO and senior management have academic, industry and educational experience relevant to leading, managing and operating an RTO.

**Guideline 1.5 – Not Compliant**

FYI's CEO stated that this role will be undertaken by FYI's external consultant. The CEO stated that she would provide details of the arrangements with the consultant (including his CV), however this was not provided.

It is noted on the continuous improvement register that the consultant will be providing training for all FYI assessors on the development, review of assessment tools and mapping and conducting RPL. This is to be conducted by June 2012.

Rectification

FYI must provide suitable evidence of the arrangements it has in place for academic/education governance that includes the involvement of suitable external expertise so as to ensure the integrity of the educational process, and that standards are consistent with industry and education expectations. The planned schedule of meetings should be provided along with records of meetings undertaken.

**Strengths**

NA

**Opportunities for Improvement**

NA



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<b>Guideline 2: Quality Assurance, Review and Evaluation Processes</b>		
<b>Audit conclusion</b>	<b>Result</b>	<b>✓</b>
<p><b><u>Guideline 2.1.2 – Not Compliant</u></b></p> <p>FYI provided a validation policy and procedure; however, the external process is shown as a validation process and does not show that this will include moderation of student outcomes.</p> <p>The policy does not show that the process will include use of externally trained assessors, as is required in the advice given by the VRQA on this by the Guideline. There is no schedule in place for external moderation other than a statement in the policy that it will occur twice year.</p> <p>The process and records of validation meetings do not show how recommendations are approved and acted upon.</p> <p>It is highly recommended that FYI asks all attendees to sign the validation records as evidence of the parties' participation.</p> <p><b><u>Rectifications</u></b></p> <p>FYI needs to provide evidence of the manner in which will ensure that its processes will include moderation of student performance with suitable external parties. It needs to provide details of how it will ensure that the external parties include a trained assessor. It must also provide evidence that it has conducted moderation meetings in line with the Guidelines and that a schedule is in place for future meetings. It should also provide evidence of the way in which it will monitor, act on and record the implementation of any recommendations arising from this process.</p> <p><b><u>Guideline 2.2 – Compliant</u></b></p> <p>FYI provided a participant course information booklet that contained a definition of plagiarism and a description of consequences.</p> <p>There are no instructions in FYI's trainer and assessor handbook that provide advice to trainers and assessors about detecting and dealing with occurrences of cheating and plagiarism.</p> <p>The CEO stated that this information is discussed with trainers at induction, using the advice in the participant course information booklet.</p> <p>See opportunity for improvement.</p>	Compliant	
	Non-compliant	✓
	Not audited	

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**Guideline 2.3 – Not Compliant**

FYI did not provide a policy and procedure that guides its records management practices.

The records management practice discussed with the CEO showed that she understood the RTO's obligations in regards to the retention of unit of competency training and assessment information for a minimum period of one year post-completion of the unit, and that FYI has mechanisms for the retention of master copies of student assessments and training resources.

However, there were no mechanisms for the retention of sufficient samples of students' assessment to demonstrate that quality education and training has occurred, such as a copy of assessment marked as Competent C and another as Not Yet Competent NYC, for each discrete assessment task.

**Rectifications**

FYI needs to provide a records management policy that meets the requirements of this Guideline.

**Strengths**

NA

**Opportunities for improvement**

**Guideline 2.2**

It is highly recommended that FYI updates its trainer and assessor handbook to include information on detecting and dealing appropriately with cheating and plagiarism. It should also keep records of staff induction that show trainers have been through this information and understand their role in this process.

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<b>Guideline 3: Student Enrolment Records and Certification</b>		
<b>Audit conclusion</b>	<b>Result</b>	<b>✓</b>
<b><u>Guideline 3.1 – Not audited</u></b>	Compliant	
<b><u>Guideline 3.2 – Not audited</u></b>	Non-compliant	
<b><u>Guideline 3.3 – Not audited</u></b>	Not audited	✓
<b><u>Guideline 3.4 – Not audited</u></b>		
<b><u>Guideline 3.5 – Not audited</u></b>		
<b>Strengths</b>		
Not applicable		
<b>Opportunities for Improvement</b>		
Not applicable		

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<b>Guideline 4: Student Learning Outcomes and Welfare Services</b>		
<b>Audit conclusion</b>	<b>Result</b>	<b>✓</b>
<p><b><u>Guideline 4.1 – Compliant</u></b> FYI students who attend classes are not required to attend scheduled classes for more than 8 hours in any one day</p>	Compliant	
	Non-compliant	✓
	Not audited	
<p><b><u>Guideline 4.2 – Compliant</u></b> FYI students who attend classes are not required to attend scheduled classes outside of 0800hrs to 2200hrs on any one day.</p>		
<p><b><u>Guideline 4.3 – Not audited</u></b></p>		
<p><b><u>Guideline 4.4 – Not Compliant</u></b> FYI has not detailed the security/safety measures to be taken to maximise student security and safety in attending and travelling to/from their premises. The CEO stated that security guards are on site in the evenings, and she would provide evidence of this – no evidence was provided, however. Students are not provided with sufficient information about their safety prior to or after enrolment. The participant information provides a very short paragraph, but no details about the mechanisms FYI will use in maximising the safety of students (either in the classroom or while on placement). There are no forms provided for reporting accidents. There is no evidence of FYI conducting any risk assessments regarding student safety. There are no instructions to staff about their role in maximising safety for students.</p> <p><b><u>Rectification</u></b> FYI needs to provide evidence of the processes it will use to ensure students are adequately protected (prior to and after enrolment). This must include evidence of the manner in which it will communicate these measures to its students, its staff and host workplaces.</p>		

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<b>Strengths</b>
NA
<b>Opportunities for Improvement</b>
NA

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<b>Guideline 5: Teaching, Learning and Assessment</b>																											
<b>Audit conclusion</b>	<b>Result</b>																										
<b><u>Guideline 5 – Not compliant</u></b>	Compliant	✓																									
	Non-compliant	✓																									
	Not audited																										
<p>Not Compliant.</p> <p>FYI has not provided evidence from appropriate authorities that all educational facilities meet the appropriate building, fire safety, OH&amp;S and other codes for educational premises, including relevant Class 9B certificates.</p> <p>The table below lists other non-compliances noted for this Guideline.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 50%; padding: 5px;">Item</th> <th colspan="3" style="width: 50%; padding: 5px;">Re-registration</th> </tr> <tr> <th style="padding: 5px;"></th> <th style="width: 16.6%; padding: 5px;">TAE40110</th> <th style="width: 16.6%; padding: 5px;">CHC50908</th> <th style="width: 16.6%; padding: 5px;">CHC30208</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">A comprehensive delivery and assessment plan that indicates the modes of delivery and specifies the extent of work based or self-paced training and assessment</td> <td style="padding: 5px; text-align: center;">Yes</td> <td style="padding: 5px;">No, see AQTF 1.2</td> <td style="padding: 5px;">No, see AQTF 1.2 No, see AQTF 1.2</td> </tr> <tr> <td style="padding: 5px;">Training and assessment materials, resources and equipment for all units of competence</td> <td style="padding: 5px; text-align: center;">Yes</td> <td style="padding: 5px; text-align: center;">Yes</td> <td style="padding: 5px;">Yes; however, note NC raised at 1.3–1.5</td> </tr> <tr> <td style="padding: 5px;">Identification of any units that require assessment in the workplace</td> <td style="padding: 5px; text-align: center;">Yes</td> <td style="padding: 5px; text-align: center;">No</td> <td style="padding: 5px; text-align: center;">No</td> </tr> <tr> <td style="padding: 5px;">Structured and relevant delivery and assessment materials for all units identified to be delivered and assessed in the workplace</td> <td style="padding: 5px;">No, see AQTF 1.3 and 1.5</td> <td style="padding: 5px; text-align: center;">No</td> <td style="padding: 5px;">No, see AQTF 1.3 and 1.5</td> </tr> </tbody> </table>				Item	Re-registration				TAE40110	CHC50908	CHC30208	A comprehensive delivery and assessment plan that indicates the modes of delivery and specifies the extent of work based or self-paced training and assessment	Yes	No, see AQTF 1.2	No, see AQTF 1.2 No, see AQTF 1.2	Training and assessment materials, resources and equipment for all units of competence	Yes	Yes	Yes; however, note NC raised at 1.3–1.5	Identification of any units that require assessment in the workplace	Yes	No	No	Structured and relevant delivery and assessment materials for all units identified to be delivered and assessed in the workplace	No, see AQTF 1.3 and 1.5	No	No, see AQTF 1.3 and 1.5
Item	Re-registration																										
	TAE40110	CHC50908	CHC30208																								
A comprehensive delivery and assessment plan that indicates the modes of delivery and specifies the extent of work based or self-paced training and assessment	Yes	No, see AQTF 1.2	No, see AQTF 1.2 No, see AQTF 1.2																								
Training and assessment materials, resources and equipment for all units of competence	Yes	Yes	Yes; however, note NC raised at 1.3–1.5																								
Identification of any units that require assessment in the workplace	Yes	No	No																								
Structured and relevant delivery and assessment materials for all units identified to be delivered and assessed in the workplace	No, see AQTF 1.3 and 1.5	No	No, see AQTF 1.3 and 1.5																								

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		See AQTF 1.3 and 1.5	No, see AQTF 1.3 and 1.5
Identification of any units that are intended to be delivered and assessed by a self-paced approach	No, but none identified at audit	No, see AQTF 1.2	No see AQTF 1.2
Structured and relevant delivery and assessment materials, including specifying nominal hours, for all units identified to be delivered and assessed by self-paced approaches; demonstrating particularly how the assessment requirements of the units are being met and assessments are being authenticated	Yes – NA	Yes – NA	Yes – NA Yes – NA
Offers and acceptance of employment to a sufficient number of training and assessing staff to undertake delivery and assessment of the requested number of students in each qualification (offers and acceptances of employment can be subject to VRQA approval of RTO registration) including a statement as to why the number of staff proposed is deemed to be sufficient	Yes	Yes	Yes
Verified evidence that all proposed training and assessing staff meet NQC requirements	Yes	No	No

**Assessment requirements**

Item	TAE40110	CHC50908	CHC30208
Delivery and assessment plan for each qualification that includes a matrix (or other presentation technique) that clearly shows the specific assessment requirements/tools for each unit of competency (or cluster of units of competency) consistent with the requirements of the training package	No, see AQTF 1.2	No, see AQTF 1.2	No, see AQTF 1.2
An indication of how industry has been involved in the development of the assessment approaches	No, CEO was to provide	No, CEO was to provide	No, CEO was to provide

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Clear advice to students as to how each unit will be assessed	Yes	No	No
Assessment tasks for all units that meet the requirements of the units of competency	Yes	No for CHCIC501A	No for both units
A mapping of skills and knowledge and critical aspects of evidence against assessment tasks	Yes	mapping provided is to PC and element only	No, includes skills and knowledge but not critical aspects of evidence
A mapping of employability skills against assessment tasks.	No	Yes, but mapping is generic – all areas are marked against all tasks  Is not accurate or detailed – i.e. does not include which task covers which area  Areas are listed by heading only, not the statements made in the qualification summary	Not included in the mapping
A clear set of assessment criteria/model answers for each assessment task	Yes	Yes	Not provided
An assessment record sheet for each assessment task	Yes	Yes	Yes



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An overall assessment record sheet for the unit(s) of competence to show achievement of the participant against each of the specified assessment tasks, signed by both assessor and student	Tool provided is generic does not show details of specified assessments that the student must complete for each unit.		
A documented assessment validation approach	Yes, but see 1.5 and 1.2		
An information guide for assessors on the process of assessment used by the RTO	Yes, however evidence was presented that this was not sufficient to guide the replacement assessor in 2011. Probably due to lack of detail in the assessment matrix.	No	No
A rigorous process to ensure that no student can be recorded as competent without clear evidence that they have successfully completed all specified assessment requirements including ensuring that assessment record sheets include reference to all required assessments consistent with the matrix developed above.	No See comments about students enrolled and completed in 2011	No	No

**Rectification**

FYI needs to provide a Class 9B Certificate for its training premises.

FYI must also provide evidence that it has addressed the non-compliances listed above.

**Strengths**

NA

**Opportunities for Improvement**

NA

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