

VRQA2020-212  
RTO 5604  
Application Number: 17398  
Ref: 96/02948

Ms Helen Powers  
Chief Executive Officer  
Laurels Education and Training Inc  
PO Box 309  
BACCHUS MARSH VIC 3340

Dear Ms Powers

**Re: Laurels Education and Training Inc | Renewal of RTO Registration**

I am writing in relation to the renewal of registration audit of Laurels Education and Training Inc's (LET) registered training organisation (RTO), conducted by the Victorian Registration and Qualifications Authority (VRQA) in May 2020.

Thank you for your submission of 10 August 2020 evidencing rectification of non-compliances identified in the audit report. This material has been assessed and the VRQA is now satisfied that LET is compliant with the *Australian Quality Training Framework Essential Conditions and Standards for Continuing Registration* and the *VRQA Guidelines for VET Providers*.

I note that your organisation had a satisfactory financial capability audit outcome and that you have been provided with a copy of the financial audit report.

Accordingly, I have renewed the registration of Laurels Education and Training Inc for a period of five years to 28 February 2026.

If you have any further questions in relation to this application, please email [vrqa.vet@education.vic.gov.au](mailto:vrqa.vet@education.vic.gov.au).

Your sincerely



**Stefanie Veal**  
A/Executive Manager, Skills and Training.

23/9/2020

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

<b>Applicant Details</b>			
Applicant Name	Laurels Education and Training Inc.	TOID	5064
Address	229 Main Street, Bacchus Marsh VIC 3340		
	Website	www.thelaurels.org.au	
Registration Contact	Ms Helen Powers		
Phone Number	(03) 5367 1061	Email	hpowers@thelaurels.org.au
<b>Audit Team</b>			
Audit Firm	ShineWing Australia	Lead Auditor	John Molenaar
Auditor/s		Other Attendees	Helen Powers, CEO Ollie Gladwell, Chairperson Helen Love, Administration and Compliance Kylie Reeve, ACFE Coordinator/Trainer
<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>Re-registration Audit Desk Audit</b>		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.4
2016 VRQA Guidelines Audited	3.1, 3.2	4.1, 4.2	
Audit Date/s	May 2020		
<b>RTO Background</b>			
<b>Organisation Background</b>			
<p>Laurels Education and Training (LET) is a community managed, not-for-profit provider of quality adult education and community-based opportunities for lifelong learning. Previously known as the Bacchus Marsh Community College, the centre has been operating in Bacchus Marsh for over 30 years and has provided a community hub.</p> <p>Located in the historic homestead, The Laurels, facilities and resources have been developed over the years, with the support of local groups, Government agencies and funding from the Bacchus Marsh Community Bank, Bendigo Bank and Moorabool Shire Council.</p> <p>LET manages and delivers a range of Nationally Accredited training programs funded by Skills Victoria. LET also receives government funding for Pre-Accredited Training and Neighbourhood House activities. LET delivers a range of training opportunities to the community and local industry on a fee for service basis.</p>			

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A voluntary Board of eight members, oversees the governance and management of the College and are elected annually at a public meeting in March.

LET is managed by a CEO (the current CEO having been with the organisation for over 10 years and has worked in the training industry for over 35 years). The CEO is supported by an Administration/Compliance Manager and the ACFE Coordinator.

LET delivers six accredited courses funded through the Skills First Program and a range of pre-accredited training, funded by Adult Community and Further Education (ACFE), to people in the community with limited education, enabling them to access a range of entry level pathway courses at affordable prices.

In 2019 more than 200 community members participated in the pre-accredited courses funded by Adult Community and Further Education (ACFE):

- Introduction to Floristry
- Basic Office and Administration Skills
- Computer Courses – Introduction to Digital Literacy and Computers Next Step
- Basic English and Numeracy
- Resumes
- Return to Study

LET has continued the delivery of short fee for service accredited courses to approximately 280 members of the community.

Continued funding from the Department of Health and Human Services for Neighbourhood House Activities allows LET to provide low cost one-on-one tuition/mentoring and subsidises a range of community and interest groups who use the venue including:

- The Men's Shed
- The Embroiders' Guild
- The Bacchus Marsh Friendship Quilters
- The Woolcraft Group
- The Garden Club
- Weight Watchers

LET continues a partnership with The Australian College of Higher Education, a division of Albury Wodonga Community College, to lease the new fresh building and deliver VCAL and CGEA qualifications to vulnerable youth and community members in Bacchus Marsh and the surrounding areas.

### **RTO background**

LET was registered as a Registered Training Organisation in 1997, in response to community interest in attending accredited training courses, the closest other RTO being 60 kilometres away.

Funding under the 2018-2019 and the 2020 VET Funding Contract, through the Department of Education and Training's Skills First Program, enables the delivery of accredited training:

- 2019: 87 enrolments in qualifications and 380 in units
- 2020: 48 enrolments in qualifications and 32 in units, to date

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including a number of trainees in the workplace completing Early Childhood Education and Care qualifications.

Qualifications delivered include:

- Diploma of Early Childhood Education and Care
- Certificate III in Early Childhood Education and Care
- Certificate III in Individual Support
- Certificate II in Community Services
- Certificate II in Floristry (Assistant)
- Certificate II in Horticulture

Sessional trainers are employed to deliver training in the workplace at client premises and at LET.

### Summary of audit findings

LET had prepared thoroughly for the Desk Audit, completing the Desk Audit Evidence Table, provided by the auditor, in detail. This enabled the auditor to readily assess the evidence files related to each Condition, Standard and Guideline.

The RTO was able to demonstrate effective delivery and assessment to its client group. The organisation had established sound relationships with local employers, to support the training of trainees and learners on practical placement and individual learners employed by the workplaces.

LET had developed comprehensive arrangements, including policies, procedures and resources, to support the management of the training operations and trainers/assessors in the conduct of classroom and work-based training.

For a small rural RTO, and community provider, LET had invested in considerable resources to ensure that individual employer skill development needs were understood and that relevant programs were developed.

One area of concern was identified which related to the completion of assessment observation records, by assessors when assessing students in the workplace. This inconsistency had been identified by the RTO during 2019 and strategies were implemented to ensure that trainers/assessors were aware of their responsibilities for observing and assessing learners in the workplace and to ensure that assessment records were consistently and thoroughly completed to confirm learner competence. As a result of these strategies, and ability/inability of trainers/assessors to meet the organisation's requirements, the employment of one trainer/assessor had ceased in late 2019.

LET had developed comfortable training facilities, which were not sited at audit, however, photographs of training facilities and learning and assessment resources were provided.

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Qualifications/Units Audited <sup>1</sup>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
HLTAID003	<b>Provide first aid</b>	229 Main Street, Bacchus Marsh VIC 3340
<b>CHC50113</b>	<b>Diploma of Early Childhood Education and Care</b> CHCECE016 Establish and maintain a safe and healthy environment for children  CHCECE024 Design and implement the curriculum to foster children's learning and development  CHCECE005 Provide care for babies and toddlers	229 Main Street, Bacchus Marsh VIC 3340

Interviewee(s) – Staff name and position; employer name and position	
Helen Powers	Chief Executive Officer
Helen Love	Administration and Compliance:
Kylie Reeve	ACFE Coordinator/Trainer:
Renee Jones	Trainer/Assessor Diploma of Early Childhood Education and Care

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
All training is delivered at: 229 Main Street, Bacchus Marsh VIC 3340 and at the sites of specific workplaces, e.g. Beis Efraim Child Care facility - Diploma of Early Childhood Education and Care.		

Third party Arrangements –	Yes	No
Do the RTO's third party arrangements match the information provided by the VRQA?	X	
No third party or auspice arrangements had been entered into for the delivery and assessment of units.		

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

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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		

**Audit Summary - AQTF Standards**

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<b>Standard 1</b>	<b>X</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>	<b>X</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>	<b>X</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>2</sup></b>			
<p><b>SF.1.5.1</b> Assessments, including Recognition of Prior Learning (RPL), met the requirements of the relevant accredited course and were conducted in accordance with the principles of assessment and the rules of evidence, met the workplace regulatory requirements and were systematically validated.</p> <p><b>CHC50113 Diploma of Early Childhood Education and Care</b> The unit assessment requirements identified that assessment must ensure use of:</p> <ul style="list-style-type: none"> <li>National Quality Framework for Early Childhood Education and Care</li> <li>The relevant approved learning framework under the National Quality Framework for Early Childhood Education and Care.</li> </ul> <p>Student assessment information did not inform them of the requirement to access these documents when completing assessments.</p> <p>The identification of assessment tasks varied in assessment documentation, for example:</p> <ul style="list-style-type: none"> <li>Assessment Booklet identified written assessments and workplace observation</li> </ul>			

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

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- The Assessment Matrix identified assessments as Portfolio and Assignment
- The Student Checklist identified assessments as Portfolio/Class task

Logbook records were not consistently maintained and completed by all assessors. Though the trainer interviewed stated that the Laurels Education and Training team reviewed documentation and requested trainers/assessors to complete all sections of documentation where they had been submitted with omissions, the completed Trainer/assessor Logbooks sighted at audit, which included assessor workplace observations to be conducted, identified that assessors had not completed confirmation of observation of all criteria, or on the required number of occasions.

#### **SF.1.5.2**

##### **HLTAID003 Provide First Aid**

In April 2019, ASQA had posted an important notice for all RTOs delivering first aid related units of competency:

1. If your RTO is delivering or planning to deliver *HLTAID003 Provide First Aid* or other first aid-related units, you should review the content of your training on providing first aid for hyperthermia. *HLTAID003 Provide First Aid* requires RTOs to assess learners' knowledge of the 'principles and procedures for first aid management of ... [scenarios including] ... environmental impact, including hypothermia, hyperthermia, dehydration and heat stroke'.

Though assessment tasks included a question about managing a potential heat stroke, the learner's knowledge of the 'principles and procedures for first aid management of potential incidents in relation to an environmental impact, including hypothermia, hyperthermia, dehydration' was not assessed.

*It is noted that Laurels Education and Training had modified the assessment tasks following the completion of the report, which addresses this requirement.*



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**Audit Summary – 2016 VRQA Guidelines for VET Providers**

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
<b>1. Governance, Financial viability and Management systems</b>			<b>X</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>			<b>X</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>	<b>X</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>		<b>X</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>			<b>X</b>
5.1 – Annual Declaration of Compliance			X

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### Summary of Non-Compliance<sup>3</sup>

#### GF.4.2.1

Laurels Education and Training Inc. had not provided a rationale for the amount of training it provided to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery. The cohort for each program, the number of learners and selection criteria for each program was identical. The program required the completion of a Workbook. Consideration of the reading and comprehension skills required to read and complete the workbook was not identified.

It is noted that Laurels Education and Training had attempted to address this issue following the completion of this report. The Training and assessment Strategy had been modified to reduce the number of learners to 10 – 15 students and the cohort of learners had been re-defined. A learner selection criterion had not been included.

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

**Detailed Findings - AQTF Conditions of Registration**

<b>CONDITION 1 - Governance</b>		<b>Not audited in Phase 2 audit</b>
<b>Evidence/Documentation Reviewed</b>		
Not audited as part of this Re-registration Audit.		
<b>CF.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Not audited as part of this Re-registration Audit.	N/A

<b>CONDITION 2 - Interactions with the Registering Body</b>		<b>Not audited in Phase 2 audit</b>
<b>Evidence/Documentation Reviewed</b>		
Not audited as part of this Re-registration Audit.		
<b>CF. 2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Not audited as part of this Re-registration Audit.	N/A

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CONDITION 3 - Compliance with Legislation		Compliant
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Staff Induction Checklist – Legislation Compliance</li> <li>• Trainers/staff Handbook – Important websites and links</li> <li>• MAN016 Quality Management Policy</li> <li>• MAN017 Compliance with AQF Standards</li> <li>• STAF001 Staff Recruitment Policy</li> <li>• Student Information 2020</li> <li>• LET Planning Session</li> <li>• 2020 Contract and PD Session Notification 210220</li> <li>• 2020 Contract and PD Session Notification 040320</li> <li>• Staff Induction Sample R Jones</li> <li>• Staff Induction Sample M Cartledge</li> </ul>		
CF.3.1	Finding	Required Rectification(s)
	<p>Laurels Education and Training Inc. had identified and implemented relevant Commonwealth, State or Territory legislation and regulatory requirements that were relevant to its operations and its scope of registration. It ensured that its staff and clients were fully informed of these requirements that affected their duties or participation in vocational education and training through Student Information 2020.</p>	N/A
<b>Improvement Opportunities</b>		
<p>Though the Laurels Education and Training Inc. had identified the AQTF and related legislation in staff information, references to the Education Training Reform Act 2006 and the Education and Training Reform Act Amendment 2010 were not identified.</p>		

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Laurels Education and Training Inc would benefit by including the Education Training Reform Act 2006 and the Education and Training Reform Act Amendment 2010 in the Compliance with AQTF Standards document and the Trainers/Staff Handbook.

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

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

<b>CONDITION 6 - Certification &amp; Issuing of Qualifications &amp; Statements of Attainment</b>	<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>• Policy – PROG015 Issuing of AQF Qualifications. Laurels Education and Training followed the procedures listed in the Policy PROG015 Issuing AQF Qualifications.</li> <li>• Policy – AQTF Risk Management</li> <li>• Register of Certificates and Statements of Attainment issued 2019 – 20 units.</li> <li>• Register of Certificates and Statements of Attainment issued 2019 – 13 units and 8 qualifications.</li> <li>• Sample of Certificate issued – Jennifer Stone, Certificate III in Early Childhood Education and Care (CHC30113)</li> <li>• Sample Statement of Results – Jennifer Stone, Certificate III in Early Childhood Education and Care (CHC30113) - 18 units.</li> <li>• Sample Statement of Attainment, Laura Gibbons CHC50113 Diploma of Early Childhood Education and Care - 19 units</li> <li>• Certificates and Statement of Attainments were issued once results had been finalised by the Trainer and inputted into the SMS. Qualifications were awarded through the SMS and printed directly from that program.</li> <li>• In accordance with PROG015 Certificates and Statement of Attainments the following were included: <ul style="list-style-type: none"> <li>• Name of the student entitled to receive the qualification</li> <li>• Student Number</li> <li>• Certificate Number</li> <li>• Full title and code of AQF qualification awarded</li> <li>• Date of issue</li> <li>• Person authorised to issue qualification</li> <li>• Signature of authorised person</li> <li>• Certificate Number</li> <li>• NRT logo</li> <li>• LET watermark</li> <li>• Statement of Results – Certificate</li> <li>• Completed Units List – Statement of Attainment</li> </ul> </li> <li>• All Certificates and Statement of Attainments were recorded in the Certificate Register.</li> <li>• Records Management Policy V 4</li> <li>• Issuing AQF Qualifications Policy V5</li> </ul>	

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- Archiving Policy
- Screenshot of Monthly Diary – ACM
- Screenshot of Weekly Diary – ACM
- Laurels Education and Training Screenshot of AVETMISS compliant SMS - VETtrak
- AVETMISS reporting changes in VIC and TAS for 2020
- Enrolment Form
- Student Record Management System - VETtrak
- Records Management Policy. Provision of student records to regulator. Transfer of records will be consistent with contractual and legal requirements and the requirements of the Victorian VET Regulator. This may include regular reporting of various data (i.e. Quality Indicators) relating to the training and assessment services provided by the RTO.
- Reporting of Learner Engagement and Employer Satisfaction Quality Indicators, date: 28/6/2019.
- PROG020 Quality Indicators Policy and Procedures.
- Evidence of last submission to VRQA BMCC vetregQualsIndicators Report.
- Evidence of final 2019 training data providing client records of qualifications and attainment of units to Skills Victoria Training System. Uploads completed monthly.
- Permission Form – Personal details and Privacy Notice and USI online application process.
- Sample USI Verification – screenshot of SMS Information for issuing of qualification.
- Policy – PROG012 Student Enrolment.
- Policy - MAN015 Records Management Policy.
- Policy – PROG015 Issuing AQF Qualification.
- Samples of student Certificates/Statements of Attainment.
- USI Handout given to students.

CF.6.1	Finding	Required Rectification(s)
	Laurels Education and Training Inc. had issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF). The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.	N/A



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<b>CF.6.2.</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years, as identified in the Records Management Policy and Issuing AQF Qualifications Policy and confirmed through VETtrak records maintained.	N/A
<b>CF.6.3.</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. had a student records management system in place that had the capacity to provide the registering body with AVETMISS compliant data. VETtrak was currently used and met this requirement.	N/A
<b>CF.6.4.</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2019 and 2020, through monthly SVTS reporting.	N/A
<b>CF.6.5.</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. met the requirements for implementation of a national unique student identifier.	N/A

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CONDITION 7 - Recognition of Qualifications Issued by other RTOs		Compliant
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Template Qualifications Authentication Release Form</li> <li>• PROG010 Credit Transfer and National Recognition</li> <li>• PROG012 Student Enrolment Policy</li> <li>• 2020 Pre-Training Review               <ul style="list-style-type: none"> <li>– Credit Transfer Request</li> <li>– Exemption (Similar Studies) Request</li> <li>– RPL Application Form</li> <li>– Qualification Verification form</li> </ul> </li> <li>• Three example applications including credit transfer request, Chaya Reicher, Diploma of Early Childhood Education and Care 5/11/2018 One World for Children Pty Ltd               <ul style="list-style-type: none"> <li>– Certificate III in Early Childhood Education and Care</li> </ul> </li> <li>• CEO Position Description</li> <li>• Student Information</li> </ul>		
CF.7.1	Finding	Required Rectification(s)
	Laurels Education and Training Inc. had procedures in place for the recognition of AQF Qualifications and Statements of Attainment issued by any other RTO. Students were informed in the Student Information 2020. Examples of credit transfer provided were reviewed.	N/A

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<b>CONDITION 8 - Accuracy and Integrity of Marketing</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Webpage – Laurels Education and Training – featured courses</li> <li>• Facebook screenshot - Laurels Education and Training</li> <li>• Course Guide – Term 1 2020, Accredited and Non-accredited courses</li> <li>• Brochure - CHC50113 - Diploma of Early Childhood Education and Care</li> <li>• Brochure - FIRST AID TRAINING. Included CPR – Cardiopulmonary Resuscitation, Early Childhood Education – First Aid</li> <li>• CHC33015 - Certificate III in Individual Support – Ageing, Home and Community</li> <li>• Student Release Form - in accordance with Laurels Education and Training Policy, photographic images would not be released without prior consent of the person involved.</li> </ul>		
<b>CF.8.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Following rectification at the time of audit, by removing the NRT Logo off the footer of the Course Guide – Term 1 2020 Accredited and Non-accredited courses, Laurels Education and Training Inc. had ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration.</p>	N/A

<b>Improvement Opportunities</b>
<p>Student Release Form identified that, in accordance with Laurels Education and Training Policy, photographic images would not be released without prior consent of the person involved. Students signed the statement 'I give consent for Laurels Education and Training to use photographic images taken of me during my time at Laurels Education and Training for publicity (including brochures, media and social media)'.</p> <p>Laurels Education and Training Inc would benefit by ensuring that learners gave permission to use images when the specific use of the image and the length of time of use was identified.</p>

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<b>CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Maintaining Scope of Registration Policy</li> <li>• Sample Training and Assessment Strategy CHC50113 Diploma of Early Childhood Education and Care, delivery period 6 November 2019 to 9 December 2021</li> <li>• Sample Training Plan - Diploma of Early Childhood Education and Care, commencement date 6 November 2019, completion date 9 December 2021</li> <li>• Mapping document CHC50108 to CHC50113</li> <li>• Logbook mapping document CHC50108 to CHC50113</li> <li>• Mapping assessment CHCCN301C to CHCECE002</li> <li>• Mapping assessment CHCCN302A to CHCECE003 MAN014 Maintaining Scope of Registration</li> <li>• MAN007 Version Control</li> <li>• PROG021 Creation of Training Program and Plan</li> <li>• Sample Training and Assessment Strategy incorporating mapping units</li> <li>• Sample Mapping Assessments for Diploma units – where the student had a superseded unit</li> </ul>		
<b>CF.9.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. had provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA. Evidence of transition arrangements implemented including mapping document for transition of CHC50108 to CHC50113.	N/A

**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>	
<p>Continuous Improvement Policy V5</p> <ul style="list-style-type: none"> <li>• Internal audit</li> <li>• Student surveys</li> <li>• Industry surveys</li> <li>• Review of policies and procedures</li> <li>• Staff meetings</li> </ul> <p>Quality Management Policy</p> <ul style="list-style-type: none"> <li>• Management meetings</li> <li>• RTO staff meetings</li> <li>• Validation meeting</li> <li>• Trainer's meetings</li> <li>• Student feedback</li> <li>• Midpoint feedback</li> <li>• Completion feedback</li> <li>• Employer feedback</li> <li>• Staff feedback</li> <li>• Internal Skills First audit</li> <li>• External audits</li> <li>• RTO quarterly review</li> <li>• External consultation</li> <li>• Validation of training and assessment materials</li> <li>• Continuous Improvement Rectification Plan</li> <li>• Risk Management Plan</li> </ul>	

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<ul style="list-style-type: none"> <li>• Laurels Education and Training Improvement Register Jan – Jun 2019 - administration related issues</li> <li>• Course evaluations 2014 – 2019 – Evaluation Analysis</li> <li>• Template Mid-course Evaluation Form</li> <li>• Template General Course Evaluation Form</li> <li>• Template Evaluation Analysis Form</li> <li>• Evaluation Analysis Form - Provide First Aid 7/9/2019</li> <li>• Evaluation Analysis Form - Certificate II in Floristry (Assistant) 21/5/2018</li> </ul>	
<b>SF.1.1.1 Finding</b>	<b>Required Rectification(s)</b>
<p>Laurels Education and Training Inc. collected, analysed and acted on relevant data for continuous improvement of training and assessment. Records were maintained in meeting minutes, survey analysis reports and collated in the Training Improvement Register. Though the review of the effectiveness of improvement actions was discussed at staff meetings, no records were maintained to confirm that actions were or were not effective.</p>	<p>N/A</p>
<b>Improvement Opportunities</b>	
<p>Laurels Education and Training Inc. would benefit from identifying, for all improvement actions, a date that the action would be reviewed to confirm its effective implementation. This could be included in the Improvement Register, for each action item.</p>	

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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>		
<p>Policy - PROG021 Creation of Training Program and Plan  Policy – PROG011 Learning and Assessment  Learning and assessment strategies - <b>HLTAID003 Provide first aid</b></p> <ul style="list-style-type: none"> <li>• Training and Assessment Strategy version 5.1 2020 delivery - two day face to face program</li> <li>• Training and Assessment Strategy version 5.1 2020 delivery - one day face to face and pre-reading program</li> <li>• Session Plan day 1 and day 2 - Time, Element, Content, Resources, Assessment Tasks (15-18 participants)</li> <li>• Session Plan day 1 - Time, Element, Content, Resources, Assessment Tasks (15-18 participants)</li> </ul> <p>Learning and assessment strategies <b>CHC50113 - Diploma of Early Childhood Education and Care</b></p> <ul style="list-style-type: none"> <li>• Training and Assessment Strategy Version 4 Classroom based delivery Jun 2018 – May 2020</li> <li>• Training and Assessment Strategy Version 4 Work based delivery Jun 2018 – May 2020</li> <li>• Training and Assessment Strategy Version 4 Traineeship delivery Apr 2018 – Nov 2020</li> <li>• Training and Assessment Strategy Version 4 Work Traineeship delivery, Beis Efraim Early Childhood Education and Care Centre Apr 2018 – Nov 2020</li> </ul>		
<b>SF.1.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Strategies for training and assessment met the requirements of the relevant Training Package or accredited course and were developed in consultation with industry.</p> <p><b>CHC50113 - Diploma of Early Childhood Education and Care</b>  Training and assessment strategies had been developed for individual learners in a workplace and for individual employer clients, customised to the needs of individual learners and workplaces. The amount of training was relevant for the individuals and groups of learners taking into account the number of learners, the individual support provided and the student support available to learners.</p>	N/A

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**HLTAID003 Provide first aid**

Two training and assessment strategies had been developed for two programs of different duration – a two day program and a one day program plus completion of a pre-course workbook. A rationale for the amount of training had not been included to identify the suitability of each program for learners based on learner experience, delivery method and size of group (See Guideline 4.2)

**Improvement Opportunities**

Laurels Education and Training Inc. would benefit by reviewing the delivery arrangements for the one-day program of the HLTAID003 Provide first aid course and ensure that the completion of the pre-course workbook included the completion of tasks to confirm that learners had completed the pre-course workbook requirements.



<p><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></p>	<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<p>Staff, facilities, equipment and training and assessment materials for the following qualifications:</p> <ul style="list-style-type: none"> <li>• HLTAID003 Provide first aid</li> <li>• CHC50113 - Diploma of Early Childhood Education and Care <ul style="list-style-type: none"> <li>• STAF001 Staff Recruitment and Induction</li> <li>• PROG011 Learning and Assessment</li> <li>• STAF001 Staff Recruitment and Induction Policy</li> <li>• PROG011 Learning and Assessment Policy</li> <li>• Photos of facilities and resources</li> </ul> </li> </ul> <p><b>HLTAID003 Provide first aid</b> Resource list – classroom Photographs - classroom and resources (eight photographs – classroom, defibrillator, manikins (11 adult, 2 baby) Statutory Declaration completed by CEO and dated 27-5-2020, that confirms that photographic evidence provided on 28 and 29 April 2020 were taken on site at Laurels Education and Training, Bacchus Marsh. Classroom facilities – photographs provided Learning and Assessment Resources Trainers/assessors: (See Standard 4.1)</p> <ul style="list-style-type: none"> <li>• Jason Evans trainer/assessor</li> <li>• Marylou Cartledge, Senior Trainer</li> <li>• Kylie Reeve, oversight</li> </ul> <p><b>CHC50113 - Diploma of Early Childhood Education and Care</b></p> <ul style="list-style-type: none"> <li>• Training and Assessment Strategies - classroom face to face, e-learning, practical placement</li> <li>• Workbased - Tarnee Shelley, an employee at United Children, Grovedale</li> <li>• Trainee - Rhiannon Dermott, a trainee, employed at Eclipse Early Education, Eynesbury, an Early Childhood Education and Care Service</li> </ul>	

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- Trainee - trainees, employed at Beis Efraim Early Childhood Education and Care Centre, an Orthodox Jewish Childcare Service Provider.
- Resource List – classroom
- Photographs - classroom and resources (seven photographs – classroom, childcare environment resources)
- Classroom environment - access to a range of written resources as well as access to computers, printers and internet facilities. 'Laurels Education and Training will provide a suitably equipped classroom'.
- Learning and Assessment Resources
- The Early Childhood Educator for Diploma by Lorraine Walker, Shelagh Miller and Sonja Tansey, published by Mc-Graw-Hill Education – all students will have a copy
- The Early Childhood Educator for Certificate III by Lorraine Walker and Shelagh Miller, published by McGraw-Hill Education – all students will have a copy
- Aspire Resources – CHC Children’s Services Training Package Streamline – Learning Guides and Trainer and Assessor Guide for each unit
- Reference books, supporting texts and videos
- Training handouts and resources for each unit
- WHS legislation and guidelines, Children Service’s Regulations, Children Service Act, National Quality Framework, Early Years Learning Framework, Victorian Early Years Development Framework, and WorkSafe publications
- Computer and internet access
- Enterprise based policies and procedures
- Early Childhood Education and Care Resources:

Trainers/assessors (See Standard 1.4)

- Jenn Dodds, the Senior Trainer
- Renee Jones, Trainer and Assessor
- Kylie Reeve will deliver the HLTAID004 Provide an emergency first aid response in an education and care setting.

SF.1.3.1	Finding	Required Rectification(s)
	<p>Staff, facilities, equipment and training and assessment materials used by the RTO were consistent with the requirements of the Training Package or accredited course and the RTO’s own training and assessment strategies.</p> <p>Photographs of training facilities and resources for the delivery and assessment HLTAID003 Provide first aid and CHC50113 Diploma of Early Childhood Education and Care were provided. CHC50113 - Diploma of Early</p>	N/A

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Childhood Education and Care. A Statutory Declaration completed by CEO and dated 27-5-2020, confirms that photographic evidence provided on 28 and 29 April 2020 were taken on site at Laurels Education and Training, Bacchus Marsh.	
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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>		<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>		
<p>STAF001 Staff recruitment and induction.</p> <p>Trainer/assessor information of all trainers/assessors employed at The Laurels Education and Training, for the following sampled qualifications and units:</p> <p><b>HLTAID003 Provide first aid</b> Kylie Reeve – Community Services and First Aid Trainer Jason Evans – First Aid Trainer</p> <p><b>CHC50113 - Diploma of Early Childhood Education and Care</b> Jen Dobbs – ECEC Coordinator/Trainer Renee Jones – ECEC Trainer Marylou Cartledge – Individual Support and First Aid Trainer Liz Powell – ECEC Trainer (resigned 2019)</p>		
<p><b>SF.1.4.1</b></p>	<p><b>Finding</b></p>	<p><b>Required Rectification(s)</b></p>
<p>Trainer/assessor information for all trainers/assessors employed at The Laurels Education and Training, for the sampled qualifications and units, confirmed that 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. The trainers and assessors demonstrated current industry skills directly relevant to the training/assessment being undertaken, as identified in resumes, and continued to develop their</p>		<p>N/A</p>

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Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence as confirmed by records of professional development activities attended.	
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<p><b>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):</b>  a) meets the requirements of the relevant Training Package or accredited course  b) is conducted in accordance with the principles of assessment and the rules of evidence  c) meets workplace and, where relevant, regulatory requirements  d) is systematically validated.</p>	<p><b>Non-Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<p>PROG010 RPL, Credit Transfer and National Recognition  PROG011 Learning and Assessment  PROG018 Validation and Moderation</p> <p>Assessment strategies and resources for the following qualifications:  <b>CHC50113 Diploma of Early Childhood Education and Care</b></p> <ul style="list-style-type: none"> <li>• <i>CHCECE016 Establish and maintain a safe and healthy environment for children</i></li> <li>• <i>CHCECE024 Design and implement the curriculum to foster children's learning and development</i></li> <li>• <i>CHCECE005 Provide care for babies and toddlers</i></li> </ul> <p><b>HLTAID003 Provide First Aid</b></p> <p>Qualifications and units  <b>CHC50113 Diploma of Early Childhood Education and Care</b>  Unit:  <b><i>CHCECE016 Establish and maintain a safe and healthy environment for children</i></b>  Assignment tasks:</p> <ul style="list-style-type: none"> <li>• Task 1 – Support each child's health needs - 23 questions</li> <li>• Task 2 – Provide for each child's comfort - 5 tasks</li> <li>• Task 3 – Promote and implement effective hygiene practices - 2 tasks</li> <li>• Task 4 – Take steps to control the spread of infectious diseases – questions</li> <li>• Task 5 – Ensure adequate supervision of children – tasks and scenarios</li> </ul>	

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- Task 6 - Take precaution to protect children from harm – tasks in the workplace and case study
- Task 7 – Developing plans to effectively manage incidents and emergencies - questions

Completed student assessments for the following students:

- Alexandria Costa 3/9/2019, Assessor: Renee Jones
- B. Skurrie 19/9/2019, Assessor: Renee Jones
- David Landau 3/12/2019, Assessor: Liz Powell
- Jacqui Sheen 2/10/2019, Assessor: Renee Jones
- Laura Hanneysee 16/9/2019, Assessor: Renee Jones

Unit:

**CHCECE024 Design and implement the curriculum to foster children’s learning and development**

Assessment tasks:

- Written assessments:
- Assessment Task 1 Written assessment – Develop appropriate settings and environments
- Assessment Task 2 Written assessment – Design and implement curriculum in consultation with others
- Assessment Task 3 Written assessment – Design learning experiences to foster children’s learning and development
- Observation: Trainer/assessor Workplace Logbook
- Portfolio of evidence.

**Area 1**

Design and implement five experiences.

**Area 2**

Implement the five experiences.

**Area 3**

Evaluate each of the five experiences implemented.

Unit Outcome Report (Trainer Guide)

Completed student assessment files

- Patricia Hose 14/10/2019 – C, Assessor: Liz Powell
- R. Lotzman 14/10/2019 – C, Assessor: Liz Powell

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- S. Willis 8/3/2019, Assessor Liz Powell
- T. Shelley 26/11/2019, Assessor: Liz Powell
- T. Ward 20/10/2019, Assessor: Liz Powell

Unit:

**CHCECE005 Provide care for babies and toddlers**

Assessment tasks:

- Task 1 – Research project – Safe sleep practices - four questions
- Task 2 – Questions – Personal care - three questions
- Task 3 – Research project – Feeding - eight questions
- Task 4 – Questions – Immunisations - three questions
- Task 5 – Questions – Personal routines - two questions
- Task 6 – Research and document 15 questions – 15 questions

Completed student assessment files:

- A. Costa 30/4/2019, Assessor: J. Dodds
- B. Flannery 30/4/2019, Assessor: J. Dodds
- E. Carson Haunga 30/4/2019, Assessor: J. Dodds
- H. Findley 30/4/2019, Assessor: J. Dodds
- J. Johnson 30/4/2019, Assessor: J. Dodds

**HLTAID003 Provide First Aid**

Resources reviewed:

- HLTAID003 Matrix
- HLTAID003 Practical Skills CPR and Scenarios Trainer Checklist
- HLTAID003 Practical Skills First Aid Management Trainer Checklist
- HLTAID003 Provide First Aid assessment V2
- HLTAID003 Provide First Aid Trainer Guide – Assessment Marking Guide
- HLTAID003 Validation 2019
- HLTAID003 Validation December 2019



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Assessment tasks:

- Task 1 –CPR/AED Demonstration
- Task 2 – Practical assessment of First Aid Management
- Task 3 –Short Answer Written Questions
- Task 4 - Multiple Choice Questions
- Task 5 – Case Study – Injury/Illness Report Form
- Completed student assessments:
- Jess Newman C, 19/9/2019 Assessor: Kylie Reeve
- Leah Baker C, 19/9/2019 Assessor: Kylie Reeve
- Michelle Cooper C, 23/1/2020 Assessor: Marylou Cartledge
- Robert Russell C, 15/6/2019 Assessor: Marylou Cartledge
- Sarah Elander C, 7/9/2019 Assessor: Marylou Cartledge

<b>SF.1.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Assessments, including Recognition of Prior Learning (RPL), met the requirements of the relevant accredited course and were conducted in accordance with the principles of assessment and the rules of evidence, met the workplace regulatory requirements and were systematically validated.</p> <p><b>CHC50113 Diploma of Early Childhood Education and Care</b></p> <p>The unit assessment requirements identified that assessment must ensure use of:</p> <ul style="list-style-type: none"> <li>• National Quality Framework for Early Childhood Education and Care</li> <li>• The relevant approved learning framework under the National Quality Framework for Early Childhood Education and Care.</li> </ul> <p>Student assessment information did not inform them of the requirement to access these documents when completing assessments.</p> <p>The identification of assessment tasks varied in assessment documentation, for example:</p> <ul style="list-style-type: none"> <li>• Assessment Booklet identified written assessments and workplace observation</li> </ul>	<p><b>CHC50113 Diploma of Early Childhood Education and Care</b></p> <p>Laurels Education and Training Inc.is required to ensure that assessment information for candidates informs them of the requirement to access the following when completing assessment tasks:</p> <ul style="list-style-type: none"> <li>• National Quality Framework for Early Childhood Education and Care.</li> <li>• The relevant approved learning framework under the National Quality Framework for Early Childhood Education and Care.</li> </ul> <p>Laurels Education and Training Inc. is required to review the identification of assessment tasks in all</p>

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<ul style="list-style-type: none"> <li>• The Assessment Matrix identified assessments as Portfolio and Assignment</li> <li>• The Student Checklist identified assessments as Portfolio/Class task</li> </ul> <p>Logbook records were not consistently maintained and completed by all assessors. Though the trainer interviewed stated that the Laurels Education and Training team reviewed documentation and requested trainers/assessors to complete all sections of documentation where they had been submitted with omissions, the completed Trainer/assessor Logbooks sighted at audit, which included assessor workplace observations to be conducted, identified that assessors had not completed confirmation of observation of all criteria, or on the required number of occasions.</p>	<p>assessment documentation and records, for each unit, and ensure that the assessment tasks are consistently maintained.</p> <p>Laurels Education and Training Inc. is required to review its quality assurance procedures for the review of assessment documentation for completeness, including the Logbook Records, and ensure that assessors thoroughly complete them and, where they have not been completed, that assessors are required to address this, including dates and signatures for all workplace observations conducted.</p> <p>Laurels Education and Training Inc. is required to ensure that all workplace observations, as identified in the Trainer/assessor Workplace Logbook, are conducted by the assessors, and confirmed by the dates on which these are conducted, to ensure that a candidate's competence is adequately assessed.</p>
<p><b>SF.1.5.2 Finding</b></p>	<p><b>Required Rectification(s)</b></p>
<p><b>HLTAID003 Provide First Aid</b> In April 2019, ASQA had posted an important notice for all RTOs delivering first aid related units of competency:</p> <ol style="list-style-type: none"> <li>1. If your RTO is delivering or planning to deliver <i>HLTAID003 Provide First Aid</i> or other first aid-related units, you should review the content of your training on providing first aid for hyperthermia. <i>HLTAID003 Provide First Aid</i> requires RTOs to assess learners' knowledge of the 'principles and procedures for first aid management of ... [scenarios including] ... environmental impact, including hypothermia, hyperthermia, dehydration and heat stroke'.</li> </ol>	<p><b>HLTAID003 Provide First Aid</b> Laurels Education and Training Inc. is required to review and modify assessment tasks to ensure that candidates are assessed on the 'principles and procedures for first aid management of the environmental impacts of hypothermia, hyperthermia, dehydration and heat stroke'.</p>

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Though assessment tasks included a question about managing a potential heat stroke, the learner's knowledge of the 'principles and procedures for first aid management of potential incidents in relation to an environmental impact, including hypothermia, hyperthermia, dehydration' was not assessed.

It is noted that Laurels Education and Training had modified the assessment tasks following the completion of the report, which addresses this requirement.

<b>2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Policy – PROG014 Student Support and Referral</li> <li>• Policy – PROG012 Student Enrolment</li> <li>• PTR Documentation</li> <li>• Sample student N. Maxwell information collected to identify learner needs and support noted in trainer notes.</li> <li>• Sample student T. Ellul information collected to identify learner needs and support noted in trainer notes. Also a copy of the TAS for T. Ellul.</li> <li>• Sample student P. Urmston information collected to identify learner needs and support noted in trainer notes.</li> <li>• Sample student M. Fuller information collected to identify learner needs and support noted in trainer notes.</li> <li>• Sample of TAS for student A. Goldberg – Trainee.</li> <li>• Sample – individual TAS for Trainees Taylor Ellul, Paige Urmston and Aaron Goldberg.</li> <li>• Sample of completed LLN Test and Student Contact Log (six entries Natasha Maxwell) Michelle Fuller (16 entries).</li> <li>• Sample of completed Pre-training Review Summary Taylor Ellul – detailed records.</li> </ul>		
<b>SF.2.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. had established the needs of clients and delivered services to meet these needs. Notes were maintained of student pre-training interviews and identification of student strengths and areas of support requirements. Student support available was discussed at the orientation sessions, as they were relevant to each learning mode and environment.	N/A

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<b>2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Policy - MAN009 Continuous Improvement</li> <li>• MAN016 Quality Management Policy</li> <li>• 2019 Page of continuous improvement register</li> <li>• Samples of student evaluations</li> <li>• Evaluation Analysis Form Register and associated forms</li> </ul> <p>LET had procedures in place to provide for the collecting and analysing of data relating to client services through the collection of:</p> <ul style="list-style-type: none"> <li>• Student evaluation surveys conducted mid-course and end of course.</li> <li>• General conversation and feedback throughout course.</li> <li>• Employer surveys.</li> </ul>		
<b>SF.2.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. had collected data for the continuous improvement of client services to enable the analysing and acting upon relevant information to ensure that student services met student needs. The CEO regularly attended class to seek feedback on the services provided and accessed and improvements were made as a result of feedback. Examples were provided at audit. Unfortunately, these were not recorded.	N/A
<b>Improvement Opportunities</b>		
<p>Laurels Education and Training Inc would benefit by conducting feedback sessions in a systematic way by periodically conducting focus groups of students to identify:</p> <ul style="list-style-type: none"> <li>• student support services that had been accessed</li> <li>• how effective students found these services to be</li> <li>• how student support services may be improved</li> </ul>		

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- any other support services that may be of value to students.

<p><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></p>	<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<ul style="list-style-type: none"> <li>• PROG012 Student Enrolment</li> <li>• PROG004 Complaints and Appeals Policy</li> <li>• PROG007 Refund Policy</li> <li>• Promotion and Marketing Policy V2</li> </ul> <p>Enrolment Pack Including:</p> <ul style="list-style-type: none"> <li>• Course Flyer,</li> <li>• Statement of Fees/Payment Plan</li> <li>• Student Information 2020</li> <li>• USI information</li> <li>• Pre-training Review (Enrolment)</li> </ul> <ul style="list-style-type: none"> <li>• Course Guide 2020 Term 1</li> <li>• Course Flyer Diploma of Early Childhood Education and Care</li> <li>• Sample Statement of Fees Payment Plan</li> <li>• Course Flyer First Aid</li> <li>• Student Information 2020: <ul style="list-style-type: none"> <li>– Normal operating hours of the RTO</li> <li>– Student Attendance and Code of Conduct</li> <li>– Complaints and Appeals</li> <li>– Workplace Health and Safety</li> <li>– Privacy</li> <li>– Access to Student Records</li> <li>– Academic Misconduct</li> </ul> </li> </ul>	

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<ul style="list-style-type: none"> <li>– Competency-Based Training and Assessment Process (including re-sitting of assessments)</li> <li>– Practical Placement/Work Based Training</li> <li>– Recognition of Prior Learning (RPL) and Credit Transfer</li> <li>– Refund Policy</li> <li>– Course evaluation</li> <li>• USI information and VSN (if applicable)</li> </ul>		
SF.2.3.1	Finding	Required Rectification(s)
	<p>Laurels Education and Training Inc. had provided sufficient information, before students enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations. Information was initially provided through website course information and clarified at pre-training interviews.</p>	<p>N/A</p>

Improvement Opportunities
<p>Laurels Education and Training Inc. would benefit by including in course information, the delivery methods and the assessment methods related to each course.</p>



<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>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Training and Assessment Strategies – industry consultation</li> <li>• Practical placement agreement templates</li> <li>• Practical placement agreement host employer Arnold's Creek Kindergarten – Andrea Salmon 27/4/2020</li> <li>• Practical placement agreement Story House Early Learning - Laura Hanneysee 19/8/2019</li> <li>• Placement document – Trainer/assessor Logbook.</li> </ul>		
<b>SF.2.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The employer contributed significantly to each learner's training and assessment through the provision of practical placement opportunities and the training of learners in their workplace. Employers were engaged in the development, delivery and monitoring of training and assessment. Specific Training and Assessment Strategies had been developed in consultation with the employer, for their employees/trainees.</p> <p>The Practical Placement Agreements identified that, for trainees, the participant would be covered by the Service's public liability and personal accident insurance coverage whilst undertaking work based training as part of their employment. The Practical Placement Agreements for other learners' participation in practical placement identified that the learner was covered by the Laurels Education and Training public liability and personal accident insurance coverage.</p> <p>Laurels Education and Training Insurance Policy identified that students will be covered for personal accidents whilst on Practical Placement and organisation.</p> <p>Laurels Education and Training was not aware of, and had not implemented, the Guidelines issued by the Department of Education and Training Victoria for Registered Training Organisations and Employers in relation to Post-Secondary Students undertaking Practical Placements (Updated Practical Placement Guidelines) as at 10</p>	N/A

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<p>April 2017, to provide information on insurance coverage for post-secondary students undertaking practical placements in Victoria. (<a href="https://www.education.vic.gov.au/Documents/training/providers/rto/practicalplacementguidelines.pdf">https://www.education.vic.gov.au/Documents/training/providers/rto/practicalplacementguidelines.pdf</a>)</p>	
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**Improvement Opportunities**

Laurels Education and Training was not aware of, and had not implemented, the Guidelines issued by the Department of Education and Training Victoria for Registered Training Organisations and Employers in relation to Post-Secondary Students undertaking Practical Placements (Updated Practical Placement Guidelines) as at 10 April 2017, to provide information on insurance coverage for post-secondary students undertaking practical placements in Victoria.  
(<https://www.education.vic.gov.au/Documents/training/providers/rto/practicalplacementguidelines.pdf>)

Laurels Education and Training would benefit by:

- Reviewing its arrangements for practical placement and ensure that Practical Placement Agreements are consistent with the requirements of the current Guidelines issued by the Department of Education and Training Victoria for Registered Training Organisations and Employers in relation to Post-Secondary Students undertaking Practical Placements and identify that students who are injured while undertaking a practical placement may be eligible to make a claim under the workers' compensation insurance policy held by the Department.
- Provide information to students and host employers about how to make an insurance claim through Gallagher Bassett.

<p><b>2.5 - Learners receive training, assessment and support services that meet their individual needs.</b></p>	<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<ul style="list-style-type: none"> <li>• Complete Record of Training and Assessment showed how the information was recorded by the Trainer.</li> </ul>	

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<ul style="list-style-type: none"> <li>• Sample of notes from student records in relation to a student requiring additional support.</li> <li>• Sample Record of Training and Assessment.</li> <li>• Sample Student T. Ellul.</li> <li>• Taylor Ellul, TAS Certificate III Early Childhood Education and Care 2019.</li> <li>• Completed Training and Assessment Records for student files sampled.</li> <li>• Individualised TASs.</li> <li>• Sample of completed Pre-training Review Summary Taylor Ellul.</li> </ul>		
SF.2.5.1	Finding	Required Rectification(s)
	<p>Laurels Education and Training Inc. had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs. Detailed records of support provided to students were maintained in the individual student records.</p>	<p>N/A</p>

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

<b>2.6 - Learners have timely access to current and accurate records of their participation and progress.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• PROG012 Student Enrolment</li> <li>• MAN015 Records Management Policy</li> <li>• Student Record and Assessment Book</li> <li>• Student Information 2020</li> <li>• Staff Trainer Handbook</li> </ul>		
<b>SF.2.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress. Students were referred to the Complaints and Appeals Policy through the Student Information 2020.	N/A

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<b>2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• PROG004 Complaints and Appeals Policy</li> <li>• PROG012 Student Enrolment</li> <li>• MAN015 Records Management Policy</li> <li>• Student Record and Assessment Book</li> <li>• Student Information 2020</li> <li>• Staff Trainer Handbook</li> <li>• Accident and Complaints Register</li> <li>• Incident and Hazard Reporting Form</li> <li>• Complaints and Action Report Form</li> </ul>		
<b>SF.2.7.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. provided appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. The complaints and appeals procedures included procedures for students to appeal a complaints decision and the source for an independent external mediator was identified.	N/A

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

<b>3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• MAN017 Compliance with AQTF Standards, VRQA Guidelines and Legislative Requirements Policy</li> <li>• PROG003 Fees and Charges</li> <li>• PROG006 Protecting Privacy</li> <li>• PROG011 Learning and Assessment Policy</li> <li>• MAN016 Quality Management</li> </ul>		
<b>SF.3.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. management of its operations ensured clients received the services detailed in their agreement with the RTO.	N/A

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

<b>3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Desk Audit Evidence Table</li> <li>• Policy – MAN017 Compliance with AQTFs Standards, VRQA Guidelines and Legislative Requirements</li> <li>• Policy – MAN016 Quality Management</li> <li>• Policy – MAN005 Risk Management</li> <li>• LET Risk Management Plan 2020</li> <li>• Full Staff Planning Meeting Minutes 2019 and 2020</li> <li>• Skills First Internal Audit 2019</li> <li>• Skills First Audit letter</li> <li>• Samples of Feedback Forms and Evaluation Analysis with improvements noted</li> <li>• Pre-training Review 2020</li> <li>• LET Planning Session</li> <li>• BMCC 2019 Internal Audit Checklist</li> <li>• Business Process Audit Outcomes</li> <li>• Sample First Aid Feedback Analysis</li> <li>• Sample Floristry Feedback Analysis</li> <li>• Systematic and Continuous Improvement Folder</li> </ul>		
<b>SF.3.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. used a systematic and continuous improvement approach to the management of operations. The preparation of evidence files for the Desk Audit ensured a thorough review of all management arrangements, supported by the procedural, periodic review of operations.	N/A



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

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**



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RTO: Laurels Education and Training Inc.

<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>
<b>Evidence/Documentation Reviewed</b>		
Laurels Education and Training Inc. does not have third parties delivering training on its behalf.		
<b>SF.3.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. does not have third parties delivering training on its behalf.	N/A

Audit Date: May 2020

RTO: Laurels Education and Training Inc.

<b>3.4 - The RTO manages records to ensure their accuracy and integrity.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Policy – MAN015 Records Management</li> <li>• Policy – MAN007 Version Control for Accredited Courses</li> <li>• Policy – PROG009 Archiving</li> <li>• Policy – PROG012 Student Enrolment</li> <li>• PROG013 – AQTF Risk Management</li> <li>• PROG018 – Validation and Moderation</li> <li>• Pre-training Review 2020</li> <li>• Student File Checklist</li> <li>• Systematic and Continuous Improvement Folder</li> </ul>		
<b>SF.3.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. manages records to ensure their accuracy and integrity	N/A

**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>
<p><b>Evidence/Documentation Reviewed</b></p> <p>Not audited as part of this re-registration audit.</p>		
<b>GF 1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Not audited as part of this re-registration audit.</p>	<p>N/A</p>

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

<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>
<p><b>Evidence/Documentation Reviewed</b></p>		
<p>Not audited as part of this re-registration audit.</p>		
<b>GF 1.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Not audited as part of this re-registration audit.</p>	<p>N/A</p>

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

<p><b>GUIDELINE 1.3 - An RTO ensures that it has management systems that include:</b></p> <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>		<p><b>Not audited in Phase 2 audit</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>		
<p>Not audited as part of this re-registration audit.</p>		
<b>GF 1.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Not audited as part of this re-registration audit.</p>		<p>N/A</p>
<b>SF.1.3.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>

**Audit Date: May 2020**

**RTO: Laurels Education and Training 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>
<p><b>Evidence/Documentation Reviewed</b></p>		
<p>Not audited as part of this re-registration audit.</p>		
<b>GF 1.4</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Not audited as part of this re-registration audit.</p>	<p>N/A</p>

Audit Date: May 2020

RTO: Laurels Education and Training Inc.

<p><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></p> <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>		<p><b>Not audited</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>		
<p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<p><b>GF 2.1.1</b></p>	<p><b>Finding</b></p>	<p><b>Required Rectification(s)</b></p>
<p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		<p>N/A</p>

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

<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>		
<b>Evidence/Documentation Reviewed</b>		
<p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<b>GF 2.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		<p>N/A</p>



**Audit Date: May 2020**

**RTO: Laurels Education and Training 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>		
<b>Evidence/Documentation Reviewed</b>		
<p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<b>GF 2.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		<p>N/A</p>

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

<p><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></p> <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>		<b>Not audited</b>
<p><b>Evidence/Documentation Reviewed</b></p> <p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<b>GF 2.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

<p><b>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO t provides, in print or through referral to an electronic copy, current and accurate information that:</b></p> <ul style="list-style-type: none"> <li>a) enables the student to make informed decisions about undertaking training with the RTO and</li> <li>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</li> </ul>		<p><b>Not audited</b></p>
<p><b>Evidence/Documentation Reviewed</b></p> <p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<b>GF 2.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

Audit Date: May 2020

RTO: Laurels Education and Training Inc.

<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>
<b>Evidence/Documentation Reviewed</b>		
Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
<b>GF 2.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

**Audit Date: May 2020**

**RTO: Laurels Education and Training 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>		
<b>Evidence/Documentation Reviewed</b>		
<p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<b>GF 2.7.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		<p>N/A</p>

Audit Date: May 2020

RTO: Laurels Education and Training Inc.

<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>
<b>Evidence/Documentation Reviewed</b>		
Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
<b>GF 2.8.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

<p><b>GUIDELINE 3.1</b> 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:</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>
<b>Evidence/Documentation Reviewed</b>		
See Standard 1.4		
<b>GF 3.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	A review of trainer/assessor information confirmed that training and assessment was conducted by trainers/assessors who had vocational competencies at least to the level being delivered and assessed, current industry skills directly relevant to the training and assessment being provided, and current knowledge and skills in vocational training and learning that informed their training and assessment.	N/A

Audit Date: May 2020

RTO: Laurels Education and Training 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>
<b>Evidence/Documentation Reviewed</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 appropriately qualified trainers/assessors.	N/A



Audit Date: May 2020

RTO: Laurels Education and Training Inc.

<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>
<b>Evidence/Documentation Reviewed</b>		
Laurels Education and Training Inc. does not provide assessment only services.		
<b>GF 3.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. does not provide assessment only services.	N/A

Audit Date: May 2020

RTO: Laurels Education and Training 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>
<b>Evidence/Documentation Reviewed</b>		
Laurels Education and Training Inc. does not have trainers/assessors working under supervision.		
<b>GF 3.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. does not have trainers/assessors working under supervision.	N/A

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

<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>		
<b>Evidence/Documentation Reviewed</b>		
Laurels Education and Training Inc. does not have trainers/assessors working under supervision.		
<b>GF 3.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. does not have trainers/assessors working under supervision.	N/A

Audit Date: May 2020

RTO: Laurels Education and Training 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>Non-Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
See Standard 1.2		
<b>GF 4.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. 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. However, for the delivery and assessment of the unit HLTAID003 Provide first aid the assessment tasks were not consistent with the unit assessment requirements (see Standards 1.5) and the amount of training it provided to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.	See Standard 1.5 See Guideline 4.2

Audit Date: May 2020

RTO: Laurels Education and Training Inc.

<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>		<b>Compliant</b>
a) the existing skills, knowledge and the experience of the student; b) the mode of delivery; and 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.		
<b>Evidence/Documentation Reviewed</b>		
See Standard 1.2		
<b>GF 4.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p><b>HLTAID003 Provide first aid</b>          Laurels Education and Training Inc. had developed two training programs for the unit <b>HLTAID003 Provide first aid</b> as follows:</p> <ul style="list-style-type: none"> <li>• Two Day face to face program</li> <li>• One Day face to face and pre-reading program</li> </ul> <p>but it had not provided a rationale for the amount of training it provided to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery. The cohort for each program, the number of learners and selection criteria for each program was identical. The program required the completion of a Workbook. Consideration of the reading and comprehension skills required to read and complete the workbook was not identified.</p>		<p><b>HLTAID003 Provide first aid</b>          Laurels Education and Training Inc. training is required to review the arrangements for the delivery and assessment of the unit HLTAID003 Provide first aid and provide a rationale for the amount of training based on the existing skills, knowledge and the experience of the student and the mode of delivery.</p> <p><i>It is noted that Laurels Education and Training had attempted to address this issue following the completion of this report. The Training and assessment Strategy had been modified to reduce the number of learners to 10 – 15 students and the cohort of learners had been re-defined. A learner selection criterion had not been included.</i></p>



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

**Audit Date: May 2020**

**RTO: Laurels Education and Training Inc.**

Audit Date: May 2020

RTO: Laurels Education and Training 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>
<b>Evidence/Documentation Reviewed</b>		
Laurels Education and Training Inc. does not deliver a qualification or assessor skill set from the Training and Education Training Package.		
<b>GF 4.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Laurels Education and Training Inc. does not deliver a qualification or assessor skill set from the Training and Education Training Package.		N/A

<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>
<b>Evidence/Documentation Reviewed</b>		
Laurels Education and Training Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
<b>GF 4.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A



Audit Date: May 2020

RTO: Laurels Education and Training Inc.

<p><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></p> <p>a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.</p>		<p><b>Not audited</b></p>
<p><b>Evidence/Documentation Reviewed</b></p> <p>Laurels Education and Training Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>		
<b>GF 4.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Laurels Education and Training Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>	<p>N/A</p>

Audit Date: May 2020

RTO: Laurels Education and Training Inc.

<b>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>		<b>Not audited</b>
<b>Evidence/Documentation Reviewed</b>		
Laurels Education and Training Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
<b>GF 4.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Laurels Education and Training Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A

Audit Date: May 2020

RTO: Laurels Education and Training 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>		
<b>Evidence/Documentation Reviewed</b>		
Not audited as part of this Re-registration Audit.		
<b>GF 4.7</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Not audited as part of this Re-registration Audit.	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>		
<b>Evidence/Documentation Reviewed</b>		
Not audited as part of this Re-registration Audit.		
<b>GF 5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Not audited as part of this Re-registration Audit.	N/A