



Training Accreditation Council
WESTERN AUSTRALIA

Strategic Industry Audit Report

2014 Strategic Industry Audit of delivery of
VET in Schools in Western Australia

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The Training Accreditation Council conducted a Strategic Industry Audit into the delivery of Vocational Education and Training in Schools (VETiS). The outcome of the audit, including key findings and recommendations are contained within this report.

2014 Strategic Industry Audit of delivery of VET in Schools in Western Australia

Executive Summary.....	7
1 Introduction.....	16
1.1 Background.....	16
1.2 Characteristics of the sector.....	17
1.3 Council experiences.....	18
1.4 Stakeholder concerns.....	18
1.5 Anecdotal evidence.....	19
1.6 Attitudes and perceptions.....	20
2 Scope of the Strategic Industry Audit.....	21
2.1 Audit objectives.....	21
2.2 Focus of the audit.....	21
2.3 Additional areas of focus.....	21
3 Audit methodology.....	22
3.1 Audit scope.....	22
3.2 VETiS delivery arrangements reviewed.....	23
3.3 RTO survey and audit sample.....	23
4 Audit outcomes.....	24
4.1 General findings of the sector.....	24
4.2 Reporting approach.....	24
4.3 Overall findings.....	25
4.4 Outcomes for delivery arrangements.....	25
4.5 Compliance with the AQTF Conditions.....	38
4.6 Compliance with the AQTF Standards.....	39
4.7 Outcomes for qualifications.....	39
4.8 Outcomes for industry areas.....	40
4.9 Identified strengths.....	41
5 Rectification action.....	43
5.1 Rectification process.....	43
5.2 VETiS SIA rectification outcomes.....	43
6 Recommendations.....	44
7 Appendices.....	45
Appendix A: Reference Group Terms of Reference.....	46
Appendix B: Audit scope – AQTF Essential Conditions and Standards for Continuing Registration (2010) – selected for reporting.....	49
Appendix C: Detailed methodology.....	51

Appendix D: Audit sample – RTOs, qualifications, units of competency and delivery arrangements.....	59
Appendix E: Detailed findings.....	61
Appendix F: Key Stakeholder summary of responsibilities.....	82
Attachment 1: Extract from AQTF Audit Handbook 2010	83
Attachment 2: Initial survey of RTOs	84
Attachment 3: Pre-audit evidence requested from RTOs	85

List of graphs and tables

GRAPHS

Figure 1: Audit outcomes for RTOs.....	61
Figure 2: Audit outcomes for RTOs by location	61
Figure 3: Audit outcomes by delivery arrangement	69

TABLES

Table 1: Additional characteristics for auspice/partnership arrangements.....	30
Table 2: Level of compliance by qualification.....	40
Table 3: Overall levels of compliance	62
Table 4: Overall characteristics for compliant and non-compliant outcomes.....	65
Table 5: Level of compliance by qualification.....	66
Table 6: Level of compliance by industry area.....	69
Table 7: Level of compliance by delivery arrangement	69
Table 8: Summary of outcomes by VETiS delivery arrangement.....	71
Table 9: Common characteristics for auspice/partnership arrangements.....	74
Table 10: Additional characteristics for auspice arrangements	75
Table 11: Common characteristics for outsourcing arrangements	77
Table 12: Additional characteristics for outsourcing arrangements	77
Table 13: Common characteristics for RTO School arrangements	79
Table 14: Additional characteristics for RTO School arrangements	79
Table 15: Common characteristics for SBTA arrangements	81
Table 16: Additional characteristics for SBTA arrangements	81

Acronyms

AISWA	Association of Independent Schools of Western Australia
AQF	Australian Qualifications Framework
AQTF	Australian Quality Training Framework
ASQA	Australian Skills Quality Authority
CEOWA	Catholic Education Office Western Australia
DOE	Department of Education
DTWD	Department of Training and Workforce Development
RPL	Recognition of Prior Learning
RTO	Registered Training Organisation
SBTA	School-based Traineeship and Apprenticeship
SCSA	School Curriculum and Standards Authority
SIA	Strategic Industry Audit
TAC	Training Accreditation Council (of Western Australia) – the Council
VET	Vocational Education and Training
VETiS	Vocational Education and Training in Schools
WA	Western Australia

Definition

VETiS	<p>“The nationally agreed definition of VETiS is:</p> <p>‘Vocational Education in schools assists all young people to secure their own futures by enhancing their transition to a broad range of post-school options and pathways. It engages students in work related learning built on strategic partnerships between schools, business, industry and the wider community.’ (<i>New Pathways for Vocational Education in Schools, MCEETYA 2000</i>).</p> <p>Vocational Education and Training is considered to be VETiS when:</p> <ul style="list-style-type: none">• it is undertaken as part of the Western Australian Certificate of Education (WACE); and• its completion by a school student provides credit towards a nationally recognised VET qualification within the Australian Qualification Framework (<i>see 2005-2008 Commonwealth-State Agreement for Skilling Australia’s Workforce</i>)”¹. <p>Note: All delivery arrangements in the SIA report fall within this definition regardless of the location of delivery and assessment. The term VETiS should not be interpreted literally as VET provided in a school environment. The term ‘VET for Schools’ is not used, as off-campus and outsourced delivery are included in the definition.</p>
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¹ Department of Education, February 2014, *Vocational Education and Training (VET) in Public Schools Program Funding Practices 2014*, Government of Western Australia, Perth

Acknowledgement

The Training Accreditation Council would like to thank and acknowledge the Reference Group members and the RTOs and Schools for their participation and assistance in the strategic industry audit.

Executive Summary

Background and scope of audit

The Training Accreditation Council (the Council) undertakes strategic industry audits (SIAs) to confirm registered training organisations (RTOs) delivering training and assessment services are meeting the requirements of the *Australian Quality Training Framework (AQTF) Essential Conditions and Standards for Continuing Registration* and to provide an overview of activity and quality of delivery within a specific industry area for key stakeholders.

The purpose of an SIA report is to provide key stakeholders with a 'point in time' snapshot of their specific industry areas. These reports focus on initial audit findings, with any subsequent rectification actions taken by RTOs to demonstrate compliance considered supplementary.

Vocational Education and Training in Schools (VETiS) has been identified as a concern at both national and state levels, particularly in regard to stakeholders' and industries' perceived issues around the quality of training, outcomes of VETiS programs and the role that VET plays in the broader spectrum of Australia's workforce capabilities.

During 2012 and 2013 the Council engaged with a number of Western Australian Training Councils to exchange information on current trends and training issues within their sectors. All industry areas expressed concern about the expansion of VETiS programs, appropriateness of levels and/or the variety of qualifications being undertaken and the quality of training and assessment being delivered within partnership arrangements.

Figures reported by the School Curriculum and Standards Authority (SCSA) in their report on *"Vocational Education and Training in Senior Secondary Education Western Australia 2011"* show that since its inception in 1997, VETiS has grown from 30% of year 11 and 12 enrolments to 39% in 2011. 2012 data were not available but indications are that this growth is continuing and will continue to grow with the introduction of the new Standards for the Western Australian Certification of Education (WACE) in 2016.

The introduction of the new 2016 WACE requirements requires students who are not eligible to receive an ATAR to successfully complete a Certificate II or higher in order to complete the requirements for a WACE. It is likely that in WA there will be a rise in the number of students' engaging in VET above and beyond the increases seen in the past. Furthermore, many schools that have previously either not engaged with VET, or that offered limited programs to their students, may seek to expand their VET offerings.

With no enforceable guidelines on the types of qualifications to be delivered as part of VETiS programs, schools and RTOs are able to choose from any endorsed Training Package or accredited course. This is regardless of the appropriateness or effectiveness of the selected qualification/course in providing students with work ready skills to assist them in the transition from schooling to the workforce.

The scoping and audit process undertaken by the Council to determine the audit approach and sample confirmed the complex nature of VETiS delivery in Western Australia. A number of key bodies are responsible for the governance of the Western Australian education and training sector and this reflects the shared responsibility of VETiS delivery.

SCSA data indicated that in 2012 there were 130 RTOs recorded as delivering VETiS within Western Australia². Of those 130 RTOs, 77 (59%) were registered with the Council and 53 (41%) with the Australian Skills Quality Authority (ASQA). The total audit sample for the VETiS SIA was made up of 31 (40%) Council registered RTOs delivering VETiS programs in Western Australia.

SIA objectives

The objectives of the VETiS SIA were to:

- determine the level of compliance with the AQTF by:
 - overall level of RTO compliance;
 - level of compliance by specific qualification;
 - level of compliance by industry area;
 - level of compliance and trends by delivery arrangement; and
- examine aspects of VETiS partnership arrangements and their contribution to an RTO's level of compliance with the AQTF.

Summary of key findings by delivery arrangement

Overall RTO compliance findings

Of the 31 RTOs included in the SIA:

- 8 RTOs were found to be fully compliant at the time of the audit, and
- 23 RTOs were found to be non-compliant with the following overall levels of non-compliance reported:
 - 10 minor
 - 6 significant
 - 7 critical

Minor, significant and critical levels of non-compliance are determined at RTO level and not in relation to individual qualifications or individual elements of the AQTF. A number of non-compliant RTOs for example, even those with critical levels of non-compliance, had fully compliant qualifications among their audit outcomes. (see **Attachment 1 – Extract from AQTF Audit Handbook 2010**)

Overall delivery arrangement findings

Overall, the audit outcomes revealed varying levels of compliance with the AQTF, with outsourced delivery and RTO Schools demonstrating the highest rates of compliance. The outcomes for auspice/partnership delivery arrangements supported both industry and anecdotal concerns with these arrangements demonstrating the highest levels of non-compliance.

Overall outcomes against the Conditions

Although 31 RTOs were included in the audit sample, only 30 RTOs were audited against Condition 1. Of these 30, 16 were found to be non-compliant. Audit findings indicated all non-compliant RTOs had incurred multiple non-compliances across the Standards; almost half of these RTOs had governance processes in place, yet the processes had not ensured compliance with the Standards.

² Vocational Education and Training in Senior Secondary Education Western Australia 2011
School Curriculum and Standards Authority, Government of Western Australia

Less commonly, there had been inconsistent application of governance processes or lack of implementation.

In contrast, only six of the 30 RTOs audited against Condition 3 were found to be non-compliant with this condition. Audit findings indicated that three of the six non-compliances related to information on legislative requirements not being provided to staff and students, while the remaining three non-compliances related to duty of care requirements not being addressed for minors in relation to work-based learning placements.

Outcomes for auspice/partnership arrangements

Auspice/partnership delivery arrangements for VETiS were found to pose the highest risk. Many of the non-compliances identified through the audit process supported the concerns of both industry and the VET sector.

Compliant RTOs with auspice/partnership arrangements relied heavily on the strength of their agreements to ensure compliance with the AQTF, and also on the commitment of both parties to implement the requirements as agreed.

For compliant RTOs, the following characteristics were present:

- AQTF compliance requirements were clearly articulated in VETiS agreements for both parties
- VETiS inductions were provided by RTOs for staff and students to ensure all parties were aware of and clear on their roles, responsibilities and expectations of service
- Clear roles, responsibilities and processes were contained in agreements advising both parties
- Designated RTO staff were provided for VETiS coordination and support to school based staff
- Designated school VET coordinator/s worked with RTOs to ensure quality and consistency in the delivery of qualifications
- Policies and procedures were developed and used for VETiS, and AQTF compliance to support the roles and responsibilities outlined in VETiS agreements
- Processes for VETiS were deployed as agreed
- There was a schedule or process for monitoring compliance of auspice/partnership agreements with the AQTF

Non-compliances showed recurring themes:

- Auspice/partnership agreements and the systems and processes they identified did not ensure compliance in their deployment
- Processes in the auspice/partnership agreements were not followed by one or both parties
- Quality assurance monitoring by RTOs in relation to meeting the requirements of the AQTF was inadequate and did not ensure compliance
- Delivery of training and assessment was being modified without RTOs being notified and did not occur as agreed – including substitution of approved resources and replacement of competency assessments with knowledge-based curriculum and assessments, reassignment of staff leading to unqualified staff (in terms of AQTF requirements) being timetabled, inadequate facilities, equipment and no access to practical work-like environments (where specified in a Training Package) or a lack of understanding of what constitutes a simulated work environment that replicates real work conditions
- Limited ability for trainer/ assessor to gain vocational competencies, current industry skills and undertake ongoing professional development directly relevant to the training/ assessment delivered.
- Many teachers attain the qualifications they deliver but do not have the opportunity to apply the skills and knowledge in the workplace to build vocational experience and industry currency

Auspice/partnership arrangements key findings

- *Auspice/partnership delivery arrangements were found to pose the highest risk*
- *Limited ability for trainer/ assessor to gain vocational competencies, current industry skills and undertake ongoing professional development directly relevant to the training/ assessment delivered*
- *Clear roles, responsibilities and processes were contained in agreements advising both parties*

Outcomes for RTO Schools

Evidence indicated that most RTO Schools have a good understanding of the requirements of the AQTF and of maintaining registration as an RTO. Principals promote VETiS as a value-added service to students that is a key component of each school's program and part of core business. Senior school timetabling, forward planning and resource allocation for VETiS programs are indicative of the commitment to using only qualified and industry-current staff, developing strong relationships with local employers, facilitating meaningful work placements, and ensuring dedicated VET facilities and equipment are available.

Unique to the RTO School delivery arrangement was the evidence of networking, validation and moderation occurring between RTO Schools and with other RTOs. This may be a key component in the positive outcomes achieved for this delivery arrangement.

Staff development, client (learner) services and RTO management systems were particular strengths for this delivery arrangement.

Where compliance for RTO Schools was demonstrated, the following characteristics were noted:

- Quality management systems were implemented as outlined in supporting policies and procedures
- Systematic processes were used to support the RTO's approach
- There were clear roles, responsibilities and procedures to support RTO business processes
- Regular communication and reporting occurred at all levels of the organisation
- Management meetings were used for monitoring processes and deliverable outcomes as agreed
- Well-documented evidence of compliance with the AQTF was maintained and highlighted by the implementation of clear systems and processes

In relation to services provided to students, the following strengths were identified:

- Comprehensive pre-enrolment information was made available to students and parents through a range of avenues combined with a formal student interview/course selection process to maximise student outcomes and satisfaction
- Processes were used to identify student needs and confirm that they were addressed through their learning careers with the RTO
- Management of work placements included engagement with industry/employers, ensuring all parties were clear on the processes, their roles and responsibilities, and monitoring students and placements to ensure requirements were being met

RTO Schools key findings

- *Demonstrated highest levels of compliance*
- *Comprehensive pre-enrolment information was made available to students and parents through a range of avenues combined with a formal student interview/course selection process to maximise student outcomes and student satisfaction*
- *Good understanding of the requirements of the AQTF and of maintaining registration as an RTO*
- *Staff development, client (learner) services and RTO management systems were particular strengths for this delivery arrangement*

Outcomes for outsourced delivery

Outsourced delivery rated second highest in relation to levels of compliance. As with RTO School results, RTOs who delivered directly to students demonstrated higher levels of compliance. Outsourcing appeared to be the most successful mode of delivery for qualifications in hospitality a high level of compliance was achieved for this industry area.

In relation to facilities, equipment and resources, for those with compliant outcomes, RTOs provided:

- Required facilities and equipment, training and assessment resources to meet Training Package requirements
- Practical industry-like environments to meet Training Package requirements

For RTOs with non-compliant outcomes:

- Delivery and assessment strategies did not take into consideration the VETiS context or student needs
- A vocational/ practical environment was not available for assessment purposes (where specified in the Training Package)

In relation to assessment, for those with compliant outcomes:

- RTOs used validated assessment instruments consisting of both theory and practical and incorporating all required aspects of the Training Package
- A vocational/industry environment was provided to students to assist in demonstrating competency through formal assessment (where specified in the Training Package)
- Structured workplace assessment components were included in delivery and assessment strategies and practices (where specified in the Training Package)
- RTOs had a formal scheduled validation process in place to ensure course content met Training Package and industry requirements

In contrast, for RTOs with non-compliant outcomes:

- No vocational/industry environment was provided for assessment (where specified in the Training Package)
- There was insufficient evidence that assessment addressed (all) the requirements of unit/s of competency
- Performance evidence was not collected or the majority of assessment was knowledge-based
- There was no evidence of validation or input from industry

In relation to employer engagement in work-based learning and assessment, for those with compliant outcomes:

- Processes for VETiS were deployed as agreed and met all AQTF and Training Package requirements
- There was evidence of employer and/or industry engagement throughout the process
- All parties were clear on processes, roles and responsibilities for work placements
- There was evidence of engagement in monitoring students on work placement

For RTOs with non-compliant outcomes:

- Processes for VETiS were not deployed as agreed

Outsourced delivery key findings

- *Demonstrated the second highest levels of compliance*
- *Outsourcing appeared to be the most successful mode of delivery for qualifications in hospitality as a high level of compliance was achieved for this industry area*

Outcomes for school based traineeship/apprenticeship arrangements (SBTA)

Issues for SBTA mirrored those found in the other delivery arrangements. The unique characteristic for this delivery arrangement related to workplace capacity to train. For compliant RTOs both the school and the workplace capacity to deliver was validated by the RTOs, while for non-compliant RTOs there was no workplace check of facilities or capacity to train.

With regard to facilities, equipment and resources, for those with compliant outcomes:

- Practical industry-like environments were provided by RTOs and schools for students to train and demonstrate competency (where specified in the Training Package)
- Required facilities and equipment were provided by RTOs, meeting Training Package requirements (where specified in the Training Package)
- School and workplace capacity to deliver was validated by RTOs prior to the commencement of SBTA
- Learners participated in real work/ events/ activities in the workplace

In contrast, for RTOs with non-compliant outcomes:

- Delivery and/or assessment did not meet the RTO's training and assessment strategies
- There was no workplace check of facilities or capacity to train prior to the commencement of or during the SBTA arrangement

In relation to assessment, for those with compliant outcomes:

- RTOs used validated assessment instruments for both theory and practical assessments to ensure Training Package requirements were met
- There was a structured workplace assessment component to all units of competency undertaken (where specified in the Training Package)
- Assessments were provided by RTOs or developed with their partner schools to ensure assessment tasks reflected workplace requirements and tasks
- A vocational/industry environment was provided to students to assist in demonstrating competency through formal assessment (where specified in the Training Package)
- Structured workplace assessment components were included in delivery and assessment strategies and practices (where specified in the Training Package)
- RTOs had a formal scheduled validation process in place to ensure course content met Training Package and industry requirements

In contrast, for RTOs with non-compliant outcomes:

- There was insufficient evidence that assessment addressed (all) the requirements of unit/s of competency
- Performance evidence was not collected or the majority of assessment was knowledge-based
- Assessment records were compromised – some not marked or missing, or none available
- Although validation was undertaken it failed to identify non-compliances
- Validation was ad hoc rather than systematic

SBTA key findings

- *Practical industry-like environments were provided by RTOs and schools*
- *Learners participated in real work/ events/ activities*
- *A vocational/industry environment was provided for assessment*

Summary of outcomes for qualifications

Of the 21 qualifications audited, the following demonstrated the highest levels of compliance:

- AVI30208 Certificate III in Aviation (Flight Operations)
- SIB20110 Certificate II in Retail Make-Up and Skin Care
- SIB30110 Certificate III in Beauty Services
- SIT30812 Certificate III in Commercial Cookery
- CHC30213 Certificate III in Education Support
- MEM30505 Certificate III in Engineering – Technical

Of the 21 qualifications audited the following demonstrated the highest levels of non-compliance:

- SIS20210 Certificate II in Outdoor Recreation
- CPP20212 Certificate II in Security Operations
- BSB40212 Certificate IV in Business

Summary of outcomes for industry areas

When data was analysed by industry area, the Aviation industry area (one qualification only, through outsourced delivery) and the Beauty industry area demonstrated compliance.

The highest levels of non-compliance were reported for:

- Property Services
- Sport, Fitness and Recreation
- Construction, Plumbing and Services
- Business Services

Recommendations

The following recommendations are proposed to address the key findings of the SIA:

Recommendation: Ongoing compliance

- 1) The Training Accreditation Council to undertake monitoring audits within 12 months of all RTOs continuing to deliver VETiS programs that were found to have significant or critical levels of non-compliance. The audits will focus on non-compliances identified as part of the SIA findings.
- 2) The Training Accreditation Council to consider an ongoing risk strategy in the medium term to continue to monitor the risks associated with VETiS delivery within Western Australia.

Recommendation: School-based delivery arrangements

- 3) The Training Accreditation Council to work collaboratively with the respective bodies that have roles, responsibilities or influence in the delivery of VETiS to strengthen education and support mechanisms for schools.
- 4) The Training Accreditation Council to work collaboratively with SCSA and stakeholder parties to develop support mechanisms for schools and training providers wishing to engage in auspice/partnership arrangements for VETiS delivery.

Recommendation: Assessment

- 5) The Training Accreditation Council to liaise with the key stakeholders to facilitate an increased awareness and understanding of the VET Standards and their application across VETiS delivery arrangements including competency based assessment practices.

Recommendation: Structured work-based learning

- 6) The Training Accreditation Council to work collaboratively with relevant key stakeholders to strengthen information about the roles and responsibilities within existing guidelines for structured work-based learning as identified in an RTOs delivery and assessment strategy.

Recommendation: Training Packages

- 7) The Training Accreditation Council to request the Western Australian Training Councils liaise with national Training Package developers to ensure industry standards and appropriateness are reflected in units and qualifications when applied to VETiS deliver.

1 Introduction

The Training Accreditation Council (the Council) is Western Australia's registering and course accrediting body. The Council is an independent statutory body responsible for the quality assurance and recognition of vocational education and training (VET) services in WA, operating within the National Skills Framework, and under the AQTF. The AQTF is a set of nationally agreed quality assurance arrangements for training and assessment services delivered by training organisations. The AQTF provides a national set of standards that assures nationally consistent, high-quality training and assessment services for the clients of Australia's vocational education and training system.

The Council conducts a range of audits of RTOs to ensure their ongoing compliance with the AQTF. SIAs are conducted to confirm that RTOs' training and assessment services are meeting these requirements for a particular industry or licensing authority area and also to provide an overview of activity and quality of delivery within the specific industry area. Other issues may also be included in response to industry concerns, however the focus is on qualifications in the specific industry area.

1.1 Background

VETiS has been identified as a concern at both national and state level, particularly with regard to concerns raised by stakeholders and industries around the quality of training, the outcomes of VETiS programs and the role that VET plays in the broader spectrum of Australia's workforce capabilities.

Figures reported by SCSA in their report on "*Vocational Education and Training in Senior Secondary Education Western Australia 2011*" show that since its inception in 1997, VETiS has grown from 30% of year 11 and 12 enrolments to 39% in 2011. Current (2012 data) figures are not available but indications are that this growth is continuing and will continue to grow with the introduction of the new Standards for the WACE in 2016.

The introduction of the new 2016 WACE requirements requires students who are not eligible to receive an ATAR to successfully complete a Certificate II or higher in order to complete the requirements for a WACE. It is likely that in WA there will be a rise in the number of students' engaging in VET above and beyond the increases seen in the past. Furthermore, many schools that have previously either not engaged with VET, or that offered limited programs to their students, may seek to expand their VET offerings.

During 2012 and 2013, the Council engaged with a number of Western Australian Training Councils to exchange information on current trends and training issues within their sectors. All industry areas expressed concern about the expansion of VETiS programs, the appropriateness of the Certificate levels and/or the variety of qualifications being undertaken, and the quality of training and assessment being delivered within auspice/partnership arrangements.

These concerns mirrored the outcomes of research published by the National Centre for Vocational Education Research (NCVER) in 2012³. The research report cited the following concerns from VETiS case studies undertaken in Victoria, Queensland, NSW and South Australia:

- A concern that VETiS is still being viewed as an easy option and engagement strategy for under-achieving students, and that this misconception led to misinformation and poor counselling of students into vocational pathways
- Lack of understanding of the mechanisms that ensure quality of training and ongoing development

³ Clarke, K 2012, *Entry to vocations: the efficacy of VET in Schools*, NCVER, Adelaide

- Apparent ongoing confusion about how VETiS operates within, and in relation to, the broader VET system
- Where schools 'leave structured workplace learning off the agenda entirely', students exit school with a Certificate II that includes very little industry exposure.

In response to industry concerns, the Council initiated a SIA in 2013 into the delivery of vocational education and training in schools in Western Australia. The VETiS SIA was unique since the focus would not be on specific qualifications from a single industry, but on multiple qualifications from a range of industry areas delivered to a particular student cohort, namely full-time school students, with various arrangements and strategies for delivery. The Council established a Reference Group to support the conduct of the SIA with membership representation from all key stakeholder groups either directly involved with VETiS delivery or having responsibility for its governance within their respective portfolios. The Reference Group provided invaluable advice to the Council on issues concerning both the VET and education sectors. (see **Appendix A** - Reference Group Membership).

The outcomes of the SIA are contained within this report. The report outlines the scope and methodology of the audit, major findings and recommendations to address key issues identified in the audit.

1.2 Characteristics of the sector

The scoping and audit process undertaken by the Council to determine the audit approach and sample confirmed the complex nature of VETiS delivery in Western Australia. A number of key bodies are responsible for the governance of the Western Australian education and training sector and this reflects the shared responsibility of VETiS delivery.

While the Department of Training and Workforce Development (DTWD) has developed the VET in Schools Qualifications Register to provide schools and registered training organisations with industry advice regarding the suitability of VET qualifications for delivery in a VET in Schools context, the register is purely of an advisory nature and does not allow for regulation of the sector.

This is compounded further by the introduction of the new requirements for the WACE which commences implementation in 2015. The introduction of the 2016 WACE requirements necessitates students who are not eligible to receive an ATAR to successfully complete a Certificate II or higher. This is to ensure that students who do not undertake studies leading to an ATAR can successfully obtain a WACE. These programs may be offered through various delivery arrangements between the RTO and school, and range from auspice/partnership arrangements where the school conducts part or all of the delivery and assessment of a qualification on behalf of an RTO, to arrangements whereby the school outsources the delivery and assessment of a qualification to an RTO. With no enforceable guidelines on the types of qualifications to be delivered as part of VETiS programs, schools and RTOs are able to choose from any endorsed Training Package or accredited course. This is regardless of the appropriateness or effectiveness of the selected qualification/course in providing students with work ready skills to assist them in the transition from schooling to the workforce.

This teamed with other policy and funding changes in the VET sector announced by DTWD to the appropriation funding of state training providers (STPs) is increasing the already existing pressures for these providers to adequately provide quality VETiS programs that are not cost prohibitive for both parties.

Throughout this process it has been apparent to the Council that schools and their staff are committed to ensuring the best outcomes for their students and work tirelessly to ensure these, however are limited by factors outside of their control. Ultimately the overall mainstream school requirements and resources to support these take precedence over any VETiS program, outside of those schools who are RTOs in their own right.

1.3 Council experiences

While relevant stakeholders had an understanding of what constitutes VETiS delivery; this did not always translate to RTOs within the sector. Subsequently initial surveying of RTOs to gauge their current VETiS delivery arrangements and enrolment numbers was met with a general level of confusion. This was further exacerbated by the DTWD requirement of 'Force to Course'.

Force to Course is a reporting requirement whereby any single units of competency undertaken by school students is required to be reported against a specific qualification. An example of a single unit of competency commonly undertaken is 'HLTFA301C Apply first aid' or otherwise known as gaining a Senior First Aid certificate. This resulted in VETiS enrolment data providing an untrue representation of the actual number and variety of qualifications being undertaken. 'Apply first aid' is a unit common as either an elective or core in a wide variety of Training Package qualifications.

As this data was used for the surveying of RTOs, many who were contacted as part of this process expressed confusion as to why they were being included as they were either not scoped for the specific qualification the unit had been forced to or they were not delivering to the identified cohort. Other confusion included schools incorrectly reporting RTOs as part of this data, or where the partnering RTO had changed and this was not reflected at the time of reporting.

Overall the Council found that all parties involved in the SIA were cooperative and accommodating in all stages of the project. The Council wishes to acknowledge the significant efforts of RTOs and schools alike throughout the project and thank all parties for their cooperation and flexibility in accommodating the requirements of the auditors as part of the SIA process.

1.4 Stakeholder concerns

Industry organisations were asked a series of interview questions regarding their perspectives on VETiS delivery and outcomes in their industry/sector and their role, if any, in providing input into the appropriateness of qualifications for VETiS delivery.

Questions related to whether:

- Qualifications currently offered were appropriate for school-based delivery or full-time school students, most of whom would be minors
- VETiS programs provided realistic job tasks or training environments comparable to non-VETiS delivery
- Graduates of VETiS program had the same skill levels as those who completed the same qualifications through non-VETiS arrangements and the nature of any skill gaps
- There were likely to be sufficient job opportunities for graduates of VETiS programs

Industry responses were reviewed to identify common themes that were used to inform both the background information and the recommendations made in the report. Themes common to more than one response included:

- Support for VETiS and a willingness to assist in upskilling teachers and to participate in efforts to improve (or formalise) links/partnerships with industry for the benefit of both teachers and students
- Support for Certificate II qualifications that provide a taster of the 'industry' but not for Certificate III for VETiS delivery
- Negative comparisons between VETiS outcomes and those through non-VETiS delivery eg 'danger of over-qualified students who are under-skilled and under-experienced'
- Work simulations not being realistic or appropriate, work placement issues, and an example where schools were only doing demonstrations and the students were not actually undertaking or participating in the practical tasks
- Duty of care issues in training minors to undertake training, develop and demonstrate skills without being able to actually undertake the work as it includes responsibilities that involve a duty of care that cannot be assumed by a minor
- Inconsistency of delivery, inadequate facilities and equipment in schools and no audits of school facilities and equipment against Training Package/industry requirements

1.5 Anecdotal evidence

Anecdotal evidence gathered throughout the audit process related to the Australian Qualifications Framework (AQF) levels of VET qualifications, delivery of VET to full-time school students, the significance of the AQTF Standards and the consequences of non-compliance and the vocational competency and industry currency of trainers. It is important to note that anecdotal evidence and industry perspectives do not influence auditor judgments which rely on evidence seen at audit for the determination of compliance or non-compliance with the AQTF. However the information provided an added dimension when combined with the audit outcomes and descriptive data.

Comments captured during the audit that were outside the specific requirements of the AQTF included:

- RTOs could learn from the success of RTO Schools in meeting the AQTF. In terms of organisational maturity, this is high for RTO Schools that have clearly come to terms with what the regulatory framework requires.
- Teachers do well with learner needs however need to acknowledge competency-based training requires an additional skill set
- Induction provided by RTOs to schools was very poor regarding the requirements of their auspice/partnership agreement, auditing requirements, AQTF obligations etc; some schools and RTOs thought they had to use the DoE model agreement, but this is just a guideline and has gaps in terms of the AQTF
- Some schools did not appear to understand their role in the auspice/partnership arrangement – RTOs could work hard to put everything in place, provide support and monitoring but their schools could choose to make changes without the RTO's knowledge or regard for the consequences for the RTO, the school and the students
- RTOs and schools in non-metro areas appeared to do better at engaging with local employers where it was reported that work placements are seen as a chance to assess student suitability, not just for students to experience the industry/job. This has led to part-time work for students and often to traineeships and apprenticeships that might have started as SBAs or commenced after school graduation

- In some cases units were being selected based on what teachers could teach rather than what (local) industry needed
- Some VET coordinators in schools appeared to be under pressure in terms of insufficient time allocation to undertake the tasks required in the auspice agreements.
- VET qualifications often appeared secondary to the requirements of reporting for WACE points
- VETiS is extremely important if large amounts of students will rely solely on the VET pathway for secondary graduation

1.6 Attitudes and perceptions

Anecdotal evidence and industry responses provided an insight into attitudes found in schools in relation to qualifications and industry areas, and perceptions held by employers about VETiS. Although not directly within the remit of the AQTF, attitudes are included here as they have contributed to non-compliances against the Standards, and employer perceptions because they have a direct effect on students.

At qualification level an attitude was found to exist, that anyone could deliver Certificate I and II qualifications because of their low AQF levels ('it's not rocket science'; 'it's only a Cert 2') regardless of the industry area. Such an attitude undermines the integrity of vocational qualifications that provide entry to industries, affects outcomes for students and eventually the confidence of employers that students undertaking qualifications while still at school will develop exactly the same knowledge, skills and practical experience as a student completing the same qualification post-school. This attitude combined with the difficulty of upskilling existing teaching staff to meet vocational competency and industry currency requirements could conceivably result in delivery of training and assessment by staff who do not meet Standards 1.4b and 1.4c.

With regard to industry areas, although there were non-compliances for some technical areas, concern was raised about qualifications that were being seen as 'soft options'. This included business, where in one instance it was asserted that a computer lab was perfectly acceptable as a simulated business environment, and in another instance, learning and assessment was being accomplished solely through completion of workbooks. In sport, fitness and recreation participation in physical education classes was seen as sufficient for the award of a VET qualification. Again, these were attitudinal issues that resulted in non-compliant practices. Education regarding the requirements of the AQTF and Training Packages may assist in addressing these issues.

In relation to VETiS delivery arrangements, industry and employer attitudes were illustrated by comments that compared VETiS outcomes with TAFE (STP) outcomes, without realising that auspice/partnership arrangements were often with STPs; outsourcing delivery was provided by the RTO (not the school) with students often attending classes with other mainstream VET students; and SBTA arrangements always involved an employer and an RTO (often a STP).

2 Scope of the Strategic Industry Audit

2.1 Audit objectives

The objectives of the SIA were to:

- determine the level of compliance with the AQTF including:
 - overall level of RTO compliance
 - level of compliance by specific qualification
 - level of compliance by industry area
 - level of compliance and trends/characteristics by delivery arrangement
- examine aspects of VETiS auspice/partnership arrangements and their contribution to an RTO's level of compliance with the AQTF

2.2 Focus of the audit

Five key areas of focus were identified for the SIA:

- Capacity of RTOs and schools to meet the AQTF for different delivery arrangements
- Processes used by RTOs and schools to meet AQTF and Training Package requirements for qualifications delivered across different industry areas
- Level of compliance within school-based delivery particularly for qualifications requiring industry experience and exposure
- Processes used by RTOs and schools to ensure compliance with the requirements for vocational skills and industry currency of teachers delivering VETiS programs, and
- Characteristics of delivery arrangements that demonstrate compliance with the AQTF and in particular, the characteristics of compliant auspice/partnership arrangements between RTOs and schools.

The focus areas were cross-referenced to the AQTF Standards in order to determine the scope of the individual audits of RTOs to be undertaken. This resulted in a subset of the AQTF being selected for detailed reporting, namely Conditions 1 and 3 (RTO governance and legislative compliance) and 15 elements of the Standards – ten from Standard 1 (quality training and assessment), three from Standard 2 (client/student services) and two from Standard 3 (management systems). Details are provided in **Appendix B – Audit scope – AQTF Essential Conditions and Standards for Continuing Registration (2010) – selected for reporting.**

2.3 Additional areas of focus

In addition to compliance with the AQTF, the focus of the SIA included consideration of current delivery arrangements and in particular, delivery through auspice/partnership arrangements.

The SIA focused on outcomes for the four common arrangements for delivery of VETiS in Western Australia, namely:

- Auspice/partnership arrangements between schools and RTOs
- Schools that were registered as RTOs
- Provision of all delivery and assessment services by RTOs through an outsourcing arrangement with schools
- School-based traineeships and apprenticeships

The comparison of compliance outcomes for assessment, including workplace assessment; and resources, both human and physical were also important areas of interest.

3 Audit methodology

To address the requirements of the SIA and due to the complexity of the VETiS environment, a strategy was adopted to include a vertical and horizontal view of the outcomes. This was to ensure that the focus of the SIA remained within the Council's jurisdiction, whilst remaining broad enough to add value to the sector and inform future planning. The Reference Group met on three occasions during the project to provide strategic leadership, input to the draft SIA report and recommendations, and approval of the final report.

The audit methodology included:

- Initial profiling of RTOs
- Scoping and risk assessment of qualifications
- A preliminary survey of RTOs
- Desk analysis of pre-audit evidence
- Site audits of RTOs including visits to partnering schools (where relevant)
- Student interviews
- Stakeholder engagement meetings
- Quantitative data analysis of audit outcomes for both horizontal and vertical views
- Collation and analysis of descriptive data from site audit reports
- Identification of common characteristics and themes for both compliance and non-compliance
- Identification of common themes from industry engagement meetings
- Conclusions, recommendations and preparation of the SIA report.

A common set of requirements was developed to ensure consistent information was included and recorded for each audit to enable a meaningful analysis and comparison of audit findings and descriptive data could be undertaken to achieve the overall objectives of the SIA. These are included in **Appendix C – Detailed methodology**.

Auditors taking part in the SIA were provided with induction workshops for the project to ensure a consistent approach.

Full details of the audit methodology are provided in **Appendix C – Detailed methodology**.

3.1 Audit scope

RTOs were profiled according to the industry areas where delivery occurred and the range of qualifications being delivered through VETiS arrangements was scoped. The criteria used to profile RTOs took into consideration factors such as method of delivery, qualification type and school size.

Data was used from SCSA and this indicated that in 2012 there were 130 RTOs recorded as delivering VETiS within Western Australia⁴. Of the 130 RTOs, 77 (59%) were registered with the Council.

The scoping and profiling information was used to determine the qualifications to be included in the SIA and this was followed by an assessment of the level of risk associated with each qualification's delivery in a VETiS environment.

⁴ Vocational Education and Training in Senior Secondary Education Western Australia 2011
School Curriculum and Standards Authority, Government of Western Australia

Risk assessment was undertaken against:

- Work placement requirements
- Number of student enrolments
- Equipment requirements
- Specialist technical knowledge requirements, and
- Qualification level as per the Australian Qualifications Framework (AQF) levels.

The results of the RTO profiling were used, together with the qualification analysis to inform the selection of RTOs for the audit sample.

3.2 VETiS delivery arrangements reviewed

Auspice Arrangements/Partnerships	In this arrangement all training and assessment is delivered on-site at the school by teachers. It is the RTO's responsibility to ensure the training and assessment undertaken by the school meets the requirements of the AQTF
RTO Schools	The school is the RTO and delivers and assesses within a defined scope
Outsourced delivery	The RTO delivers and assesses all the training and assessment either at the RTO's premises or at the school
School Based Traineeships/Apprenticeships (SBTA)	The student is enrolled as a full time school student and employed as a part-time employee as part of a registered School Based Traineeship or Apprenticeship arrangement

3.3 RTO survey and audit sample

All RTOs identified through the scoping process as delivering one or more VETiS qualifications by the SCSA were requested to confirm the qualifications they were delivering and the number of enrolments in each.

The risk-based approach resulted in the selection of 31 RTOs and 19 different qualifications for the SIA sample, following confirmation of qualifications actually being delivered and current student numbers. Of these RTOs, there were five whose very recent audit history was able to be used in place of a site audit, supplemented by detailed responses to questions about processes and procedures, while the remaining 26 RTOs underwent a site audit.

The sample of 31 RTOs was made up of:

- 10 STPs (TAFE Colleges)
- 12 private RTOs
- 9 RTO Schools

Further information on the RTO survey and audit sample is provided in **Appendix D – Audit sample – RTOs, qualifications, units of competency and delivery arrangements.**

4 Audit outcomes

4.1 General findings of the sector

Overall, the audit findings supported the general belief and attitudes that better results and student outcomes were present when delivery is undertaken by RTO Schools, and secondly where students attend external RTOs via outsourced arrangements. The findings also supported concerns by industry key stakeholders that in most cases auspice/partnership arrangements are not providing training at a level comparable to those delivered by RTO Schools or through outsourced arrangements.

In general, schools have systems in place for student selection into appropriate qualifications and training programs. This includes having students nominate to undertake the course, and using previous grades, attendance, attitude and application to select the best candidates.

Evidence has demonstrated that schools that had a dedicated full-time VET Coordinator assisting in the coordination and delivery of programs had better systems and processes in place to manage VETiS programs. Throughout the audit process it was apparent most VET Coordinator positions are part-time or job-shared, with the incumbent also having an active teaching workload within the school. In many cases, it appeared VET Coordinator roles were inadequately resourced (eg, did not provide adequate time for teachers to organise work placements programs and liaise with RTOs).

4.2 Reporting approach

Minor, significant and critical levels of non-compliance are determined at RTO level and not in relation to individual qualifications or individual elements of the AQTF. A number of non-compliant RTOs for example, even those with critical levels of non-compliance, had fully compliant qualifications among their audit outcomes. Also, some elements of the Standards were not audited for every RTO if they were not applicable to all delivery arrangements.

Conditions, on the other hand apply at RTO level, not qualification level, and compliances and non-compliances have been reported in relation to numbers of RTOs. This also means that outcomes for the Conditions are not reported for individual qualifications, industry areas or delivery arrangements.

4.3 Overall findings

For RTOs, the audit highlighted varying levels of compliance with the AQTF. Of the 31 RTOs included in the SIA:

- 8 RTOs were found to be fully compliant at the time of the audit, and
- 23 RTOs were found to be non-compliant with the following overall levels of non-compliance:
 - 10 minor
 - 6 significant
 - 7 critical
- 16 metropolitan RTOS had the following outcomes:
 - 3 compliant
 - 5 with minor, 3 with significant and 5 with critical levels of non-compliance
- 15 non-metropolitan RTOs had the following outcomes:
 - 5 compliant
 - 5 with minor, 3 with significant and 2 with critical levels of non-compliance.

The categories of non-compliance are those defined in the *AQTF 2010 Audit Handbook*. An extract is provided at **Attachment 1**.

4.4 Outcomes for delivery arrangements

Percentages for compliance and non-compliance have been presented in this report in relation to the number of possible outcomes for each element of the Standards, rather than in relation to the number of RTOs in the audit sample. This is to provide a more meaningful view of the levels of non-compliance for each element of the Standards, and to facilitate reporting by qualification, industry area and delivery arrangement. This means that when data is sorted to provide results for delivery arrangements for example, percentages were calculated based on the total number of elements (of the Standards) that were audited for each arrangement.

For example:

For auspice/partnership delivery arrangements, the ten elements of Standard 1 were audited for all 21 auspice/partnership arrangements, however the five elements from Standards 2 and 3 were not all audited for all arrangements as 2.4 and 3.3 may not have been relevant. This resulted in a total of 295 elements being audited for the auspice/partnership delivery arrangement, and the results show the percentages that were found compliant and non-compliant.

The total number of elements audited and the percentage of these that were compliant or non-compliant are included in the summary tables for each delivery arrangement.

When data was disaggregated by VETiS delivery arrangement, the overall results revealed that for the auspice/partnership delivery arrangement, 58% of possible outcomes were non-compliant. Overall outcomes for the other three delivery arrangements showed that the majority of possible outcomes were compliant – 76% compliant for outsourced delivery, 78% compliant for RTO Schools and 74% compliant for SBTA.

Auspice/partnership delivery arrangements

For the auspice/partnership delivery arrangement, non-compliant outcomes exceeded compliant outcomes for all elements of Standard 1 except 1.4a (the requirement for trainers to have TAE40110 Certificate IV in Training and Assessment). Standard 2.4 (employer engagement) was audited for only one auspice/partnership arrangement (out of 21) and this arrangement was non-compliant.

Summary of outcomes for auspice/partnership delivery arrangements

21 auspice/partnership arrangements; 8 different RTOs; 11 qualifications
295 elements audited; 58% non-compliant; 42% compliant

Compliant qualifications were:

- ✓ ICA20111 Certificate II in Information, Digital Media and Technology (one of three)
- ✓ MEM30505 Certificate III in Engineering – Technical
- ✓ SIB20110 Certificate II in Retail Make-Up and Skin Care (two of two)
- ✓ SIS20310/13 Certificate II in Sport and Recreation (one of three)
- ✓ SIT20312 Certificate II in Hospitality (Kitchen Operations) (one of two)

Non-compliant qualifications were:

- ✓ BSB20112 Certificate II in Business (three of three)
- ✓ CHC20112 Certificate II in Community Services
- ✓ CPC20211 Certificate II in Construction Pathways (two of two)
- ✓ ICA20111 Certificate II in Information, Digital Media and Technology (two of three)
- ✓ MEM20105 Certificate II in Engineering
- ✓ SIS20210/13 Certificate II in Outdoor Recreation (two of two)
- ✓ SIS20310/13 Certificate II in Sport and Recreation (two of three)
- ✓ SIS20513 Certificate II in Sport Coaching
- ✓ SIT20312 Certificate II in Hospitality (Kitchen Operations) (one of two)

Trends/characteristics for auspice/partnership delivery arrangements

Descriptive data from the audits revealed that there were characteristics common to compliant RTOs and to non-compliant RTOs with auspice/partnership arrangements.

Standard 1.2

In relation to the strategies for training and assessment, for those with compliant outcomes:

- There were clear responsibilities identified in relation to strategy development and industry consultation
- Training and assessment strategies were developed for schools by the RTO and/or liaison consultation or negotiation occurred with schools on the training and assessment strategies
- Documented industry consultation informed training and assessment strategies
- RTOs monitored strategy development and implementation

In contrast, for RTOs with non-compliant outcomes:

- There was no quality assurance monitoring by the RTO of auspice/partnership arrangements
- Training and assessment strategies were not deployed or did not reflect actual practice
- There was insufficient evidence or no evidence of industry consultation in development of training and assessment strategies

Standard 1.3

With regard to facilities, equipment and resources, for those with compliant outcomes:

- Practical industry-like environments were provided by schools (where specified in the Training Package)
- RTOs monitored program delivery and/or use of resources as per the auspice/partnership agreement
- School and workplace capacity to deliver was validated by the RTO
- There was regular contact by RTOs with schools and/or learners

In contrast, for those with non-compliant outcomes:

- The requirement for a vocational/ practical environment for assessment was not addressed (where specified in the Training Package)
- There was no monitoring to ensure the requirements of the strategy and/or the agreement were met
- There was insufficient evidence that facilities and equipment or learning resources met Training Package requirements
- Delivery and/or assessment did not reflect the RTO's training and assessment strategies

Standard 1.4

With regard to training and assessment staff, for those with compliant outcomes:

- There was verification of the school's capacity to deliver or formal 'approval to deliver' forms completed for staff in relation to their trainer/assessor qualifications, vocational competencies and industry currency
- Trainer profiles/matrices were used to capture vocational competencies and industry currency
- RTOs implemented a process for verification/ authentication of vocational competencies and industry currency against the units delivered and assessed
- RTOs used a systematic process and maintained evidence for the professional development of the schools' trainers and assessors

In contrast, for those with non-compliant outcomes:

- Processes in the auspice/partnership agreement for confirming staff met the requirements of the standard were not followed by RTOs
- No evidence or insufficient evidence was provided regarding trainer/ assessor qualifications, vocational competencies or current industry skills directly relevant to the training/ assessment undertaken
- There were staff members delivering training without the training and assessment qualification and without evidence of supervision. RTOs were not aware that staff members without the training and assessment qualification were delivering and assessing VET qualifications
- Vocational competencies and current industry skills of trainers and assessors were not confirmed/validated by a vocationally competent person
- There was insufficient or no evidence that professional development was provided for trainers and assessors and the process for recording professional development was not valid (e.g. it did not relate to the units being delivered or assessed)

Standard 1.5

In relation to assessment, for those with compliant outcomes:

- Assessment plans were used
- RTOs used validated assessment instruments
- Assessments were provided by RTOs or developed with their partner schools
- RTOs had a formalised validation process

In contrast, for those with non-compliant outcomes:

- There were inadequate (or no) assessment instruments or processes
- Assessment was not in accordance with the agreement or the specified tools
- Criteria used to make a judgment about competency did not relate to unit of competency requirements
- There was insufficient evidence that assessment addressed (all) the requirements of unit/s of competency or that clustered and/or group assessments addressed the units of competency
- There was no evidence that workplace requirements were addressed (where specified in the Training Package)
- The validation policy, plan or procedure was not implemented or validation was undertaken but did not identify non-compliances

Standard 2.1

In relation to establishing and meeting client needs, for those with compliant outcomes:

- Clear roles, responsibilities and procedures were articulated
- Regular communication/reporting was occurring between the parties
- Monitoring was undertaken to confirm that student needs were addressed by partners

In contrast, for those with non-compliant outcomes:

- There was no confirmation of the processes to be used by partnering school to address student needs
There was no evidence of monitoring/collecting feedback to confirm student needs were met

Standard 2.3

In terms of the information provided to learners prior to enrolment, for those with compliant outcomes:

- There was communication/liaison between RTOs and schools regarding information for students
- Provision of relevant information by RTOs occurred prior to enrolment
- Student interviews/course selection processes were used by schools

In contrast, for those with non-compliant outcomes:

- No information was provided to students by RTOs prior to enrolment or the information provided was inaccurate, insufficient or irrelevant
- No information was provided about, or students were unaware of, the role of RTOs/ other parties
- There was no RTO monitoring of information provided to students

Standard 2.4

In relation to employer engagement in work-based learning and assessment, there were no compliant RTOs.

For those with non-compliant outcomes:

- The parties were not clear on the process, roles and responsibilities for work placements
- There was no evidence of employer engagement
- There was no evidence of a process to ensure work placements met requirements

Standard 3.1

With regard to RTOs' management of operations to ensure clients receive the agreed services, for those with compliant outcomes:

- Progress monitoring and reporting was undertaken
- Quality management systems were implemented as intended
- RTOs maintained communication/ liaison with all parties
- Course selection interviews were undertaken

In contrast, for those with non-compliant outcomes, the systems and processes did not ensure compliance.

Standard 3.3

In relation to monitoring training and assessment services delivered through auspice/ partnership arrangements, for those with compliant outcomes:

- AQTF compliance requirements were articulated in auspice/partnership agreements
- Inductions were provided by RTOs for staff and students
- Clear roles, responsibilities and processes were contained in agreements
- RTO and school staff were aware of their AQTF responsibilities
- Designated RTO staff were provided for VETiS coordination and support
- Designated school VET coordinator/s worked with RTOs
- Policies and procedures were developed and used for VETiS delivery and AQTF compliance
- Processes for VETiS were deployed as agreed
- There was a schedule or process for monitoring compliance with auspice/partnership agreements and with the AQTF

In contrast, for those with non-compliant outcomes:

- Processes for VETiS delivery were not deployed as agreed
- RTO monitoring processes did not ensure compliance

There were many common characteristics of compliant and non-compliant outcomes against the 15 elements of the AQTF that were found across all delivery arrangements, making it difficult to identify those that may have contributed to outcomes for auspice/partnership arrangements.

The descriptive data for auspice/partnership arrangements did reveal some additional characteristics that although present for other delivery arrangements, were not represented in high enough numbers to be included as common characteristics overall. These characteristics were present for both compliant and non-compliant outcomes.

Additional characteristics common across auspice/partnership arrangements		AQTF Ref
Compliant	There were clear responsibilities re strategy development and industry consultation	1.2
Non-compliant	There was no quality assurance monitoring by the RTO of auspice/partnership arrangements	1.2
Compliant	Practical industry-like environments were provided by schools RTOs monitored program delivery and/or use of resources as per the strategy/ agreement School and workplace capacity to deliver was validated by the RTO	1.3
Non-compliant	There was no monitoring to ensure the requirements of the strategy and/or agreement were met Learning resources did not address the Training Package There was insufficient evidence that facilities and equipment met Training Package requirements	1.3
Compliant	There was formal confirmation by the RTO of their auspice partner's capacity to deliver or formal 'approval to deliver' for auspice trainers and assessors (1.4a) There was verification of the school's capacity to deliver or formal 'approval to deliver' forms completed for trainers and assessors re vocational competencies (1.4b) There was verification of the school's capacity to deliver or formal 'approval to deliver' forms completed for trainers and assessors re industry currency (1.4c)	1.4
Non-compliant	Vocational competencies of trainers and assessors were not validated by a vocationally competent person (1.4b) Insufficient detail was provided to confirm vocational competencies of trainers and assessors (1.4b) Industry currency had not been confirmed by a vocationally competent person (1.4c)	1.4
Compliant	Assessment plans were used (1.5a, b and c)	1.5
Non-compliant	There were inadequate (or no) assessment instruments or processes/(1.5a, b & c) Assessment was not in accordance with the agreement or the specified tools (1.5a, b & c) Criteria used to make a judgment about competency did not relate to unit of competency requirements (1.5a, b & c) There was insufficient evidence that clustered and/or group assessments addressed the units of competency (1.5a, b & c) There was no evidence that workplace requirements were addressed (1.5c)	1.5
Compliant	Monitoring was undertaken to confirm that student needs were addressed by partners (2.1)	2.1
Compliant	AQTF compliance requirements were articulated in VETiS agreements (3.3) VETiS inductions were provided by RTOs for staff and students (3.3)	3.3

Table 1: Additional characteristics for auspice/partnership arrangements

For full details of all common characteristics for auspice/partnership arrangements see Table 9 in **Appendix E – Detailed findings**. Although expressed in general terms, Recommendations 3 to 6 in Section 6 of this report were motivated by the detailed information in Tables 1 and 9.

Summary

Auspice/partnership delivery arrangements for VETiS pose the highest risk to RTOs, VET qualifications, schools, students and ultimately workplaces.

Compliant RTOs with auspice/partnership arrangements relied heavily on the strength of their agreements to ensure compliance with the AQTF, and also on the commitment of both parties to implement their requirements as agreed.

For compliant RTOs, the following characteristics were present:

- AQTF compliance requirements were articulated in VETiS agreements
- VETiS inductions were provided by RTOs for staff and students
- Clear roles, responsibilities and processes were contained in agreements
- RTO and school staff were aware of their AQTF responsibilities
- Designated RTO staff were provided for VETiS coordination and support
- Designated school VET coordinator/s worked with RTOs
- Policies and procedures were developed and used for VETiS, and AQTF compliance
- Processes for VETiS were deployed as agreed
- There was a schedule or process for monitoring compliance with auspice/partnership agreements and with the AQTF

Non-compliances showed recurring themes:

- Auspice/partnership agreements and the systems and processes identified in them did not ensure compliance
- Processes in the auspice/partnership agreements were not followed by one or both parties
- Quality assurance monitoring by RTOs of their agreements, and schools' ongoing performance in relation to meeting the requirements of the AQTF was inadequate and did not ensure compliance
- Delivery of training and assessment was being modified without RTOs being notified and did not occur as agreed – including substitution of approved resources and replacement of competency assessments with knowledge-based curriculum and assessments, reassignment of staff leading to unqualified staff (in terms of AQTF requirements) being timetabled, inadequate facilities, equipment and no access to practical work-like environments (as per Training Package requirements) or a lack of understanding of what constitutes a simulated work environment that replicates real work conditions
- There were issues regarding trainer/ assessor qualifications, vocational competencies, current industry skills and ongoing professional development directly relevant to the training/ assessment delivered as most teachers have not come from industry. Many attain the qualifications they deliver but do not have the opportunity to apply the skills and knowledge in the workplace to build vocational experience and industry currency
- There was a lack of industry consultation, employer engagement, and clarity about the process, roles and responsibilities related to work placements for under-aged students.

Other issues included:

- Understanding and appreciation of the full regulatory requirements of the AQTF in relation to the delivery of VET. This was contributed to by RTOs not fully inducting or educating schools about these requirements
- Appreciation about the fundamental differences between curriculum and competency based training
- Understanding by both parties that the generic DOE partnership template is to be contextualised to reflect the actual arrangement with the RTO
- Auspice/partnering arrangements increase the risk profile for all RTOs
- Not viewing the school as an extension of the RTO and all aspects of the AQTF apply to the auspice/partnership delivery
- Working with limited resources and staffing available at the school location. This included issues around schools ability to have adequate equipment, access to industry, access to simulated work environments and appropriately skilled delivery staff

Outsourced delivery arrangements

For the outsourcing delivery arrangement, there was 100% compliance for Standard 1.4a (the requirement for trainers to have TAE40110 Certificate IV in Training and Assessment). Non-compliant outcomes exceeded compliant outcomes for Standard 1.3 (facilities, equipment and resources) and less than 70% of outcomes were compliant for Standards 1.5a, 1.5b, 1.5c (assessment) and Standard 2.4 (employer engagement in work-based learning and assessment).

Summary of outcomes for outsourced delivery arrangements

*21 outsourcing arrangements; 10 different RTOs; 14 different qualifications
278 elements audited; 76% compliant; 24% non-compliant
9 fully compliant qualifications*

Compliant qualifications were:

- ✓ AVI30208 Certificate III in Aviation (Flight Operations)
- ✓ BSB20112 Certificate II in Business (one of two)
- ✓ CHC20112 Certificate II in Community Services
- ✓ SIB20110 Certificate II in Retail Make-Up and Skin Care
- ✓ SIB30110 Certificate III in Beauty Services (two of two)
- ✓ SIT20312 Certificate II in Hospitality (Kitchen Operations) (two of three)
- ✓ SIT30812 Certificate III in Commercial Cookery

Non-compliant qualifications were:

- ✓ BSB20112 Certificate II in Business (one of two)
- ✓ BSB40212 Certificate IV in Business
- ✓ CHC30812/ CHC30213 Certificate III in Education Support (two of two)
- ✓ CPP20212 Certificate II in Security Operations
- ✓ MEM20105 Certificate II in Engineering (two of two)
- ✓ MEM30505 Certificate III in Engineering – Technical (two of two)
- ✓ SIS20210 Certificate II in Outdoor Recreation
- ✓ SIS20312 Certificate II in Sport and Recreation
- ✓ SIT20312 Certificate II in Hospitality (Kitchen Operations) (one of three)

Trends/characteristics for outsourced delivery arrangements

Descriptive data from the audits revealed that there were characteristics common to compliant RTOs and to non-compliant RTOs engaged in outsourcing arrangements.

Standard 1.3

In relation to facilities, equipment and resources, for those with compliant outcomes, the RTOs provided:

- Required facilities and equipment, training and assessment resources
- Practical industry-like environments

For those with non-compliant outcomes:

- VETiS context or student needs were not considered in the strategy
- A vocational/ practical environment for assessment was not addressed (where specified in the Training Package)

Standard 1.5

In relation to assessment, for those with compliant outcomes:

- RTOs used validated assessment instruments consisting of both theory and practical
- A vocational/industry environment was provided for assessment (where specified in the Training Package)
- There was a structured workplace assessment component (where specified in the Training Package)
- RTOs had a formal scheduled validation process
- There was industry input into validation

In contrast, for those with non-compliant outcomes:

- No vocational/industry environment was provided for assessment
- There was insufficient evidence that assessment addressed (all) the requirements of unit/s of competency
- Performance evidence was not collected or the majority of assessment was knowledge-based
- There was no evidence of validation

Standard 2.4

In relation to employer engagement in work-based learning and assessment, for those with compliant outcomes:

- Processes for VETiS were deployed as agreed
- There was evidence of employer and/or industry engagement
- All parties were clear on processes, roles and responsibilities for work placements
- A process was implemented to ensure work placements met requirements
- There was evidence of engagement in monitoring students on work placement

For those with non-compliant outcomes:

- Processes for VETiS were not deployed as agreed

Summary

Outsourcing appeared to be the most successful mode of delivery for qualifications in hospitality where 93% of possible outcomes were compliant for this industry area. 100% of outcomes were compliant for the beauty qualifications delivered through outsourcing however 100% compliance was also achieved for auspice/partnership delivery so the outcome could not be attributed to the particular delivery mode. Aviation was also 100% compliant however this involved one qualification only, delivered through outsourcing arrangements.

Issues for outsourced delivery mirrored those found in the other delivery arrangements. Descriptive data for outsourcing arrangements revealed only two additional characteristics that although present for some other delivery arrangements, were not represented in high enough numbers to be included as common characteristics overall. These characteristics were identified for Standard 1.2 for non-compliant outcomes only and related to the fact that the VETiS context or student needs were not considered in the strategy, and a vocational/ practical environment for assessment was not addressed.

While duty of care was considered to be an important issue in setting up work-based learning arrangements for students who were under 18 years of age, for outsourced delivery this was not highlighted for Standard 2.4 (employer engagement in work-based learning and assessment) but was identified as a non-compliance for one RTO against Condition 3 (compliance with legislation).

RTO School delivery arrangements

Anecdotal evidence indicated that most RTO Schools have a good understanding of the requirements of the AQTF and of maintaining registration as an RTO. Principals promote VETiS as a value-added service to students that is a key component of each school's program and part of core business. Senior school timetabling, forward planning and resource allocation for VETiS programs are indicative of the commitment to using only qualified and industry-current staff, developing strong relationships with local employers, facilitating meaningful work placements, and ensuring dedicated VET facilities and equipment are available.

Unique to the RTO School delivery arrangement was the evidence of networking, validation and moderation occurring between RTO Schools and with other RTOs. This may be a key component in the positive outcomes achieved for this delivery arrangement.

For the RTO School delivery arrangement, there was 100% compliance for Standard 1.4d (continuing professional development for trainers and assessors), and for Standards 2.1, 2.3 and 2.4 (client services), and Standard 3.1 (management systems).

Summary of outcomes for RTO school delivery arrangements

13 'RTO School' arrangements; 7 different qualifications; 9 different RTO Schools
163 elements audited; 78% compliant; 22% non-compliant
6 fully compliant qualifications

Compliant qualifications were:

- ✓ BSB20112 Certificate II in Business (one of two)
- ✓ CHC20112 Certificate II in Community Services
- ✓ CPC20211 Certificate II in Construction Pathways (one of two)
- ✓ MEM20105 Certificate II in Engineering (one of two)
- ✓ SIS20210/13 Certificate II in Outdoor Recreation (one of two)
- ✓ SIS20512 Certificate II in Sport Coaching (one of two)

Non-compliant qualifications were:

- ✓ BSB20112 Certificate II in Business (one of two)
- ✓ CPC20211 Certificate II in Construction Pathways (one of two)
- ✓ ICA20111 Certificate II in Information, Digital Media and Technology (two of two)
- ✓ MEM20105 Certificate II in Engineering (one of two)
- ✓ SIS20210/13 Certificate II in Outdoor Recreation (one of two)
- ✓ SIS20512 Certificate II in Sport Coaching (one of two)

Trends/characteristics for RTO school delivery arrangements

Descriptive data from the audits revealed that there were characteristics common to compliant RTO Schools and to non-compliant RTO Schools.

Standard 1.3

In relation to facilities, equipment and resources, for those with compliant outcomes, the RTO Schools provided:

- Required facilities and equipment, training and assessment resources (where specified in the Training Package)
- Practical industry-like environments (where specified in the Training Package)

For RTO Schools with non-compliant outcomes, these were as a result of non-compliances identified for Standard 1.4 (trainers and assessors) and/or 1.5 (assessment), and did not relate to facilities, equipment or resources.

Standard 1.5

In relation to assessment, for those with compliant outcomes:

- RTO Schools used validated assessment instruments
- Assessments consisted of both theory and practical
- Industry and/or (local) business needs were incorporated into assessments
- RTO Schools had a formal scheduled validation process
- There was industry input into validation
- Networking, validation and moderation occurred with other RTOs

In contrast, for RTO Schools with non-compliant outcomes:

- There was insufficient evidence that assessment addressed (all) the requirements of unit/s of competency
- Performance evidence was not collected or the majority of assessment was knowledge-based

Summary

Staff development, client (learner) services and RTO management systems were particular strengths for this delivery arrangement with 100% compliance for Standard 1.4d (continuing professional development for trainers and assessors), and for Standards 2.1, 2.3 and 2.4 (client services), and Standard 3.1 (management systems).

Where 100% of possible outcomes were compliant for RTO Schools, the following characteristics were noted:

- Quality management systems were implemented as intended
- Systematic processes were used
- There were clear roles, responsibilities and procedures
- Regular communication and reporting occurred
- Management meetings were used for monitoring processes and outcomes
- Well-documented evidence of compliance with the AQTF was maintained
- RTO Schools fully understand the VET sector and the regulatory requirements of these
- VET delivery becomes part of a school's core business rather than an external 'add on' to the school curriculum
- Principals are engaged, with responsibility from the top down. Where principals have delegated this responsibility, a dedicated VET coordinator with the overall responsibility for RTO compliance is in place
- Links to industry and strong industry engagement and input into VET programs.
- Strong commitments to further developing the vocational skills and currency of teachers and providing ongoing professional development opportunities
- Specific facilities/equipment dedicated to the delivery of VET programs are sourced and provided

In relation to students:

- Comprehensive pre-enrolment information was made available to students and parents through a range of avenues combined with a formal student interview/course selection process to maximise student outcomes and student satisfaction
- Processes were used to identify student needs and confirm that they were addressed
- Management of work placements included engagement with industry/employers, ensuring all parties were clear on the processes, their roles and responsibilities, and monitoring students and placements to ensure requirements were being met.

SBTA delivery arrangements

For the SBTA delivery arrangement, there was 100% compliance for Standards 1.4a (the requirement for trainers to have TAE40110 Certificate IV in Training and Assessment), 1.4d (continuing professional development for trainers and assessors), and Standard 2.1 (client needs). Non-compliant outcomes exceeded compliant outcomes for Standard 1.3 (facilities, equipment and resources) and Standard 1.5a and b (assessment). Only two RTOs were audited against Standard 3.3 and there were no characteristics common to these RTOs both of which recorded a non-compliant outcome but for different reasons.

Summary of outcomes for SBTA delivery arrangements

11 SBTA arrangements; 7 qualifications; 11 different RTOs
151 elements audited; 74% compliant; 26% non-compliant
3 fully compliant qualifications

Compliant qualifications were:

- ✓ AUR20512 Certificate II in Automotive Vehicle Servicing (one of two)
- ✓ BSB20112 Certificate II in Business (one of two)
- ✓ ICA20111 Certificate II in Information, Digital Media and Technology

Non-compliant qualifications were:

- ✓ AUR20512 Certificate II in Automotive Vehicle Servicing (one of two)
- ✓ BSB20112 Certificate II in Business (one of two)
- ✓ CHC20112 Certificate II in Community Services
- ✓ MEM20105 Certificate II in Engineering (three of three)
- ✓ SIT20312 Certificate II in Hospitality (Kitchen Operations)
- ✓ SIT30812 Certificate III in Commercial Cookery

Trends/characteristics for SBTA delivery arrangements

Descriptive data from the audits revealed that there were characteristics common to compliant RTOs engaged in SBTA delivery arrangements and to non-compliant RTOs. Characteristics for Standards 1.3 and 1.5 are highlighted in the following information.

Standard 1.3

With regard to facilities, equipment and resources, for those with compliant outcomes:

- Practical industry-like environments were provided by RTOs and schools
- Required facilities and equipment were provided by RTOs (where specified in the Training Package)
- School and workplace capacity to deliver was validated by RTOs
- Learners participated in real work/events/activities (where specified in the Training Package)

In contrast, for RTOs with non-compliant outcomes:

- Delivery and/or assessment did not reflect the RTO's training and assessment strategies
- There was no workplace check of facilities or capacity to train

Standard 1.5

In relation to assessment, for those with compliant outcomes:

- RTOs used validated assessment instruments for both theory and practical assessments
- There was a structured workplace assessment component (where specified in the Training Package)
- Assessments were provided by RTOs or developed with their partner schools
- A vocational/industry environment was provided for assessment (where specified in the Training Package)
- RTOs had a formal scheduled validation process
- Pre- and post-assessment validation was undertaken
- There was industry input into validation

In contrast, for RTOs with non-compliant outcomes:

- There was insufficient evidence that assessment addressed (all) the requirements of unit/s of competency
- Performance evidence was not collected or the majority of assessment was knowledge-based
- Assessment records were compromised – some not marked or missing, or none available
- Although validation was undertaken it failed to identify non-compliances
- Validation was ad hoc rather than systematic

Summary

Issues for SBTA mirrored those found in the other delivery arrangements. The unique characteristic for this delivery arrangement related to workplace capacity to train. For compliant RTOs both the school and the workplace capacity to deliver was validated by the RTOs, while for non-compliant RTOs there was no workplace check of facilities or capacity to train. Duty of care not being addressed in relation to work placements was an issue in relation to SBTA arrangements (Condition 3) for two non-compliant RTOs.

4.5 Compliance with the AQTF Conditions

Of the 30 RTOs with audit outcomes for Condition 1, 16 RTOs were found to be non-compliant. Descriptive data from the audits indicated that all non-compliant RTOs had incurred multiple non-compliances across the standards; almost half of these RTOs had governance processes in place, yet the processes had not ensured compliance with the Standards; and less commonly, there had been inconsistent application of governance processes or no implementation of required processes.

In contrast, only 6 of the 30 RTOs audited against Condition 3 were found to be non-compliant. Descriptive data from the audits indicated that three of the six non-compliances related to information on legislative requirements not being provided to staff and students, while the remaining three non-compliances related to duty of care requirements not being addressed for minors in relation to work-based learning placements.

4.6 Compliance with the AQTF Standards

In relation to the individual elements of the Standards, 64% were compliant. Most non-compliances occurred against the elements of Standard 1 and Standard 3 with non-compliant outcomes of 38% and 37% respectively for these Standards.

Within Standard 1, there were high levels of non-compliance for Standards 1.3 and 1.5. For Standard 1.3 (staff, facilities, equipment and training and assessment materials) 62% of possible outcomes were non-compliant. For Standard 1.5 (assessment) 53% of outcomes were non-compliant for Standards 1.5a and 1.5b, and 45% were non-compliant for Standard 1.5c.

Within Standard 3 most non-compliances related to Standard 3.3 (auspice/partnership arrangements). Although this Standard was not audited for most RTOs, it was relevant for 23 qualifications, with 21 delivered through auspice/partnership arrangements and two through SBTA, and where 74% were found to be non-compliant.

Overall there were higher levels of compliance with the AQTF relating to trainers and assessors – 94% for Standard 1.4a (TAE qualifications), and 65 to 75% for 1.4b, 1.4c and 1.4d (vocational competency, industry currency and ongoing development of trainers and assessors) – and for client services (Standard 2, excluding Standard 2.4).

4.7 Outcomes for qualifications

Data for specific qualifications showed the highest levels of compliance for:

- AVI30208 Certificate III in Aviation (Flight Operations), SIB20110 Certificate II in Retail Make-Up and Skin Care, and SIB30110 Certificate III in Beauty Services (100% compliance)
- SIT30812 Certificate III in Commercial Cookery (89% of outcomes compliant)
- CHC30213 Certificate III in Education Support (79% of outcomes compliant), and
- MEM30505 Certificate III in Engineering – Technical (77% of outcomes compliant).

Number Audited	Qualification Codes and Titles	% Compliant	% Non-compliant	Standards with Non-compliance > or = Compliance
2	AUR20512 Certificate II in Automotive Vehicle Servicing	68%	32%	1.2, 1.3, 1.5, 2.3, 2.4, 3.1
1	AVI30208 Certificate III in Aviation (Flight Operations)	100%	0%	None
9	BSB20112 Certificate II in Business	61%	39%	1.3, 1.5a, b, c, 3.3
1	BSB40212 Certificate IV in Business	38%	62%	1.2, 1.3, 1.5, 2.1, 3.1
4	CHC20112 Certificate II in Community Services	70%	30%	1.2, 1.3, 2.4
2	CHC30213/30812 Certificate III in Education Support	79%	21%	1.3, 1.4b, 1.5a, b, c
4	CPC20211 Certificate II in Construction Pathways or 524hIWA Certificate II in Building & Construction (Pathway – Trades)	49%	51%	1.2, 1.3, 1.4b, c, d, 1.5a, b, c, 3.3
1	CPP20212 Certificate II in Security Operations	31%	69%	All except 1.4
6	ICA20111 Certificate II in Information, Digital Media and Technology	66%	34%	1.3, 1.5a, b, c, 3.3
8	MEM20105 Certificate II in Engineering	61%	39%	1.3, 1.4c, 1.5a, b, c,
3	MEM30505 Certificate III in Engineering - Technical	77%	23%	1.3, 1.5a, b, c
3	SIB20110 Certificate II in Retail Make-Up and Skin Care	100%	0%	None
2	SIB30110 Certificate III in Beauty Services	100%	0%	None
5	SIS20210/20213 Certificate II in Outdoor Recreation	27%	73%	All
4	SIS20310/12/13 Certificate II in Sport and Recreation	62%	38%	1.2, 1.3, 1.4b, 1.5a, b, c, 3.3

Number Audited	Qualification Codes and Titles	% Compliant	% Non-compliant	Standards with Non-compliance > or = Compliance
3	SIS20512/13 Certificate II in Sport Coaching	58%	42%	1.2, 1.3, 1.4b, c, d, 2.1, 2.3, 3.1
6	SIT20312 Certificate II in Hospitality (Kitchen Operations)	73%	27%	1.3, 1.5a, b, 3.3
2	SIT30812 Certificate III in Commercial Cookery	89%	11%	1.3, 1.4b, c
	66 qualifications in total	Note: 1.4 = 1.4a, b, c, d; 1.5 = 1.5a, b, c, d		

Table 2: Level of compliance by qualification

Qualifications with the highest levels of non-compliance were:

- SIS20210 Certificate II in Outdoor Recreation (73% of outcomes non-compliant)
- CPP20212 Certificate II in Security Operations (69% of outcomes non-compliant), and
- BSB40212 Certificate IV in Business (62% of outcomes non-compliant).

The suitability of these last two qualifications for VETiS delivery was questioned:

- *CPP20212 Certificate II in Security Operations* has specific practical requirements for delivery and assessment, leads to a security licence that is not available to minors.
- *BSB40212 Certificate IV in Business* is aimed at a supervisory or management level that requires substantial and relevant industry experience to maximise successful completion.

Descriptive data for qualifications did not provide significantly different information compared with the overall results (see Table 4 in **Appendix E– Detailed findings**). The delivery arrangement rather than the actual qualification was the only factor to generate different or additional characteristics.

4.8 Outcomes for industry areas

When data was analysed by industry area, the Aviation industry area (one qualification only, through outsourced delivery) and the Beauty industry area demonstrated 100% compliance. For Beauty, three RTOs delivered five instances of two qualifications at Certificate II and Certificate III levels through both auspice/partnership and outsourced delivery.

The highest levels of non-compliance were reported for:

- Property Services, with 69% of outcomes non-compliant, for one qualification only (security), delivered through outsourced delivery
- Sport, Fitness and Recreation, where 57% of outcomes were non-compliant across 12 instances of three different Certificate II qualifications, delivered through one or more of the four delivery arrangements
- Construction, Plumbing and Services where 51% of outcomes were non-compliant for delivery of a Certificate II by four RTOs through two delivery arrangements, and
- Business Services with 41% of outcomes non-compliant for nine instances of two qualifications delivered through all four delivery arrangements.

For full details of all industry area outcomes, see Table 6 in **Appendix E– Detailed findings**.

Descriptive data for industry areas did not provide significantly different information compared with the overall results (see Table 4 in **Appendix E– Detailed findings**). The delivery arrangement, rather than the qualification or its industry area, was the only factor to generate different, or additional characteristics.

4.9 Identified strengths

The audits identified the following examples of good practice. It should be noted that good practice was not confined to RTOs who were compliant with the AQTF. Even those with a critical level of non-compliance may have fully compliant qualifications amongst their outcomes with associated good practice.

Condition 1

- A high level of consultation and interaction with all schools which has contributed to the maintenance of AQTF compliance across all VETiS programs
- A systematic business model for the establishment, monitoring and evaluation of VETiS programs
- Demonstrated evidence of working very closely with schools to establish programs to meet student and educational needs
- A VETiS pathways information book/CD/online resource produced annually, identifying programs, pathways and a broad overview of VETiS program and options
- A centralised system for managing VETiS introduced by the RTO demonstrating a comprehensive and effective system approach

Standard 1

- Facilities, equipment and industry relationships that had been established were key strengths
- Facilities and access to modern current automotive industry equipment and resources; opportunities for direct industry links as facility is industry based; staff with a passion for training and a commitment to providing quality outcomes for the industry
- Provision of opportunities for students to respond to real inquiries and problem solve issues to find solutions; evidence of supervision arrangements in place
- A focus on the provision of a realistic learning environment that enables students, as far as practicable, to experience what working in an industry work environment would entail
- The industry consultation matrix detailed comprehensive industry engagement in the development of the training and assessment strategy documents; training facilities for this qualification have been established at the school; Term Program Outlines provide comprehensive and detailed information for students in relation to their course
- Integration of students working toward achieving competency at real events with prominent industry experts; master class for students with skilled graduates; real work; excursions and intensive training days followed by regular shifts putting training into practice; preparation and involvement in annual fundraisers
- Evidence of relationships established with local industry that enable student participation in real events with some students gaining apprenticeships as a direct result of their participation
- Industry relationships established with industry; staff had extensive and current background in the competencies being delivered; positive feedback from the large group of students interviewed
- Students found trainer/assessors supportive and helpful and interested in helping them with pursuing a career of interest; trainers were easy to approach and flexible and helpful
- Facilities and equipment; evidence of industry relationships established; many of the top industry experts in Perth had involvement in the program; for example they regularly come in to guest present with students; positive feedback from VETiS students interviewed on site; positive feedback from employer interviewed

- Staff passion and commitment and industry currency; the trainer had a creative, innovative and enthusiastic approach which appeared to engage the target high school student cohort; this was verified through student interviews
- A well-established training and assessment system that has been effectively implemented across the delivery approaches included in this audit sample; all staff meet qualification requirements and the school facilities related to the auspice/partnership agreement are reflective of a work environment and well stocked with the same product used in the RTO; strong quality control processes to ensure consistent outcomes are achieved irrespective of the delivery mode

Standard 2

- Strong needs identification, and monitoring and support services for students

5 Rectification action

5.1 Rectification process

The Council's processes provide an opportunity for RTOs found non-compliant at audit to rectify these non-compliances within 20 working days in-line with the *AQTF National Guidelines for Managing Non-Compliance*. The Council cannot direct an RTO to undertake specific actions during a rectification period. Rectification actions are decisions made entirely by an RTO to remedy any non-compliances identified during the audit process.

Should non-compliances remain following the 20 working day rectification period the matter will be tabled at a Council meeting for further consideration. At this stage the Council may consider granting additional time to address any remaining non-compliances, or propose sanctions be placed on the RTOs registration. The council may apply sanctions under the *VET Act 1996* to RTOs that fail to comply with the requirements for continuing registration with the Council.

Prior to the completion of the audit process and in making any determination regarding an RTOs registration, Council seeks confirmation from the RTO they have deployed strategies to ensure continuity of programs for current student/s.

5.2 VETiS SIA rectification outcomes

Compliance was achieved through a range of rectification actions. Common rectification actions undertaken by RTOs to address non-compliances were consistent with the key characteristics of evidence provided at audit by compliant RTOs.

Rectification actions included:

- Partnership/auspicing agreements were revised to address issues identified at audit
- New and revised policies, processes and records were developed at system level to address non-compliances
- Information for schools, students, parents and employers was developed or upgraded including user guides for schools, information for prospective students, orientation information and information on competency-based training and assessment.
- Assessments were revised, re-developed and/or validated against Training Package requirements or for consistency with training and assessment strategies; new assessment tools included practical assessment tasks with associated assessor observation records and RPL tools
- Learning materials were modified to meet the requirements of the Training Packages
- Trainer/assessor matrices, qualification/competency evidence and verified records for trainers and assessors were updated to demonstrate relevant vocational competencies and current industry skills closely aligned to the units of competency delivered and assessed, as well as ongoing professional development

In three instances RTOs achieved compliance by ceasing their auspice/partnership agreements and transferring all currently enrolled students to other RTOs, with one also removing the non-compliant qualification from scope. Where an RTO advised they were would be discontinuing services, the Council liaised with all parties involved to minimise any impact to current students and ensure a seamless transition to the new provider.

6 Recommendations

The following recommendations are proposed to address the key findings of the SIA:

Recommendation: Ongoing compliance

- 1) The Training Accreditation Council to undertake monitoring audits within 12 months of all RTOs continuing to deliver VETiS programs that were found to have significant or critical levels of non-compliance. The audits will focus on non-compliances identified as part of the SIA findings.
- 2) The Training Accreditation Council to consider an ongoing risk strategy in the medium term to continue to monitor the risks associated with VETiS delivery within Western Australia.

Recommendation: School-based delivery arrangements

- 3) The Training Accreditation Council to work collaboratively with the respective bodies that have roles, responsibilities or influence in the delivery of VETiS to strengthen education and support mechanisms for schools.
- 4) The Training Accreditation Council to work collaboratively with SCSA and stakeholder parties to develop support mechanisms for schools and training providers wishing to engage in auspice/partnership arrangements for VETiS delivery.

Recommendation: Assessment

- 5) The Training Accreditation Council to liaise with the key stakeholders to facilitate an increased awareness and understanding of the VET Standards and their application across VETiS delivery arrangements including competency based assessment practices.

Recommendation: Structured work-based learning

- 6) The Training Accreditation Council to work collaboratively with relevant key stakeholders to strengthen information about the roles and responsibilities within existing guidelines for structured work-based learning as identified in an RTOs delivery and assessment strategy.

Recommendation: Training Packages

- 7) The Training Accreditation Council to request the Western Australian Training Councils liaise with national Training Package developers to ensure industry standards and appropriateness are reflected in units and qualifications when applied to VETiS deliver.

7 Appendices

Appendix A	Reference Group Terms of Reference
Appendix B	Audit scope – AQTF Essential Conditions and Standards for Continuing Registration (2010) – selected for reporting
Appendix C	Detailed methodology
Appendix D	Audit sample – RTOs, qualifications, units of competency and delivery arrangements
Appendix E	Detailed findings

ATTACHMENTS

Attachment 1	Extract from AQTF Audit Handbook 2010 Section 8 TERMINOLOGY (categories of non-compliance)
Attachment 2	Initial survey of RTOs
Attachment 3	Pre-audit evidence requested from RTOs

Appendix A: Reference Group Terms of Reference

Purpose

This Reference Group has been established to provide advice, direction and support to the Training Accreditation Council in the conduct of the 2014 strategic industry audit of VET in Schools (VETiS) delivery in Western Australia.

The purpose of the Reference Group is to inform the strategic industry audit, with the Training Accreditation Council and Secretariat having responsibility for the conduct, approval and finalisation of the project.

Membership

This Reference Group comprises of the following representatives:

Name	Position	Agency/Organisation
Angela Hollingsworth	Senior Project Officer (Project Manager)	Department of Education Services - TAC Secretariat
Gerry Westenberg	Manager, VET Compliance (Chair)	Department of Education Services - TAC Secretariat
Mark Brown	Director, Education and Training Regulation	Department of Education Services - TAC Secretariat
Ron Dullard	Training Accreditation Council Member	Training Accreditation Council
Kay Gerard	Chief Executive Officer	Food, Fibre and Timber Industries Training Council
Alan Davis	Director, Skill Development	Construction Training Council
Olivia Mayo	Principal Consultant - Transparency Reform	Department of Training and Workforce Development
Shirley Parer	Principal Consultant, VET in Schools	Department of Education
Fran van Riessen Wade McLeod	VET Consultant	Association of Independent Schools of Western Australia
Nicole Gazey	Principal Consultant - Curriculum - VET	School Curriculum and Standards Authority
Juanita Healy	Director – Policy and Planning	School Curriculum and Standards Authority
David Wood	Chief Teaching, Learning and Innovation Officer	Catholic Education Office of Western Australia
Siobhan Galos	Team Leader, Teaching and Learning Team	Catholic Education Office of Western Australia
Genevie Baker	Consultant, Teaching and Learning Team	Catholic Education Office of Western Australia
Allan Hird	Executive Officer – Strategic Projects	Australian Skills Quality Authority

Positions

Chair

The role of the Chair includes:

- guiding the meeting according to the agenda and time available
- ensuring all discussion items end with a decision, action or definite outcome and
- reviewing and approving the notes and other documents prior to distribution

Secretary

The role of the Secretary includes:

- scheduling and coordinating meetings
- preparing agendas and circulating papers to members
- taking notes of proceedings and preparing minutes of meetings
- distributing notes and/or other documents to members as required

Meetings

The Reference Group will meet as required; refer to the *Strategic Industry Audit of VET in Schools Delivery in Western Australia Project Plan*.

As a minimum, there will be:

- an initial face-to-face meeting of the Reference Group at the commencement of the 2nd phase of the project, 'Reference Group and audit methodology', (refer to Project Plan, page 13) and
- a meeting in phase 7, 'Final report' (Project Plan, page 15), for consideration of the preliminary outcomes and the report.

If required, additional formal meetings will be convened. Where practicable, the agenda together with any other documents relevant to the meeting will be forwarded to members in sufficient time to enable review prior to meetings.

The TAC Secretariat will provide a venue for meetings and catering where appropriate. No sitting or travel fees will be paid to Reference Group members for attendance at meetings.

There may also be electronic or verbal communication with the Reference Group members with the TAC Secretariat if required.

Functions

The role of the Reference Group for the *Strategic Industry Audit of VET in Schools Delivery in Western Australia* is to:

- provide input into the scope and audit approach
- provide advice on qualifications being delivered as part of VETiS arrangements
- assist with the identification and mitigation of risks
- provide advice on communication strategies, including questionnaires and surveys
- assist with the promotion of the strategic industry audit to the wider sector, including schools
- provide advice on trends and issues relating to best practice, opportunities for improvement and non-compliances highlighted through the audit process
- provide comment on, and endorse the recommendations of the final report.

All matters discussed within Reference Group meetings and in conjunction with this strategic industry audit are confidential and are not to be discussed or distributed outside of the membership, unless authorised through the Project Manager.

Approval

The above terms of reference have been discussed and agreed by the majority of members of the Reference Group for the Strategic Industry Audit into VET in Schools Delivery in Western Australia.

Any of the above information may be reviewed at any time throughout the duration of the strategic industry audit. Should the terms of reference require amendment it will be brought to the Reference Group for discussion and agreement.

Appendix B: Audit scope – AQTF Essential Conditions and Standards for Continuing Registration (2010) – selected for reporting

Conditions	
Condition 1	Governance
Condition 3	Compliance with legislation
Standards	
Standard 1	The RTO provides quality training and assessment across all of its operations
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.
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.
1.4	Training and assessment is delivered by trainers and assessors who: <ul style="list-style-type: none"> (a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and (b) have the relevant vocational competencies at least to the level being delivered or assessed, and (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and (d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.
1.5	Assessment including Recognition of Prior Learning (RPL): <ul style="list-style-type: none"> (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.
Standard 2	The RTO adheres to principles of access and equity and maximises outcomes for its clients.
2.1	The RTO establishes the needs of clients, and delivers services to meet these needs.
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.

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.
Standard 3	Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates.
3.1	The RTO’s management of its operations ensures clients receive the services detailed in their agreement with the RTO.
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.

Appendix C: Detailed methodology

Project overview

Generally, SIAs focus on one or more qualifications in a specific industry area. The purpose is to confirm, not only that students enrolled with RTOs are receiving training and assessment services that concurrently meet their requirements and those of the Australian Quality Training Framework (AQTF) Standards, but also to provide an overview of activity and quality of delivery within the specific industry area. In contrast, the SIA for VETiS focused on the quality of delivery to full-time school students enrolled in multiple qualifications across a range of industry areas with various arrangements and strategies for delivery.

Within the VETiS environment there were four common arrangements for delivery of vocational training and assessment to school students, namely:

- auspice/partnership arrangements between schools and RTOs,
- schools that were registered as RTOs,
- provision of all delivery and assessment services by RTOs (outsourced by schools), and
- school-based traineeships and apprenticeships (SBTA).

It was determined that traditional SIA methodologies would not adequately address the needs of this unique SIA, necessitating changes to the conduct of the SIA to be able to inform the Council about the levels of RTO compliance for VETiS delivery across all delivery arrangements and to contribute to the broader knowledge of VETiS stakeholders.

Project objectives

The objectives of the audit were to:

- determine the level of compliance with the *AQTF Essential Conditions and Standards for Continuing Registration* by individual RTOs, including the:
 - overall level of RTO compliance;
 - level of compliance by specific qualification
 - level of compliance by industry area
 - level of compliance and trends/characteristics by delivery arrangement, and
- examine aspects of VETiS auspice/partnership arrangements and their contribution to an RTO's level of compliance with the *AQTF Essential Conditions and Standards for Continuing Registration*.

Audit scope

The initial undertaking profiled the industry areas and scoped the range of qualifications being delivered followed by an assessment of the level of risk associated with their delivery in a VETiS environment.

Information gained from the profiling and scoping was used to determine the qualifications to be audited as part of the SIA. Risk assessment was undertaken against:

- work placement requirements
- number of student enrolments
- equipment requirements
- specialist technical knowledge requirements, and
- qualification level.

Criteria used to profile RTOs delivering qualifications as part of VETiS arrangements took into consideration factors such as method of delivery, qualification type and school size. The results of the RTO profiling were used, together with the qualification analysis to inform the selection of RTOs for the audit scope.

Data from the School Curriculum and Standards Authority (SCSA) indicated that in 2012 there were 130 RTOs recorded as delivering VETiS within Western Australia⁵. Of those 130 RTOs, 77 (59%) were registered with the Council and 53 (41%) with the Australian Skills Quality Authority (ASQA). To ensure an appropriate sample size for reporting the delivery of training and assessment within VETiS in Western Australia, the SIA was initially intended to include delivery from 5% of RTOs that were registered with ASQA in the total RTO audit sample. Once data was obtained from RTOs on their actual delivery of qualifications and enrolments by VETiS, this was no longer required.

Based on the research undertaken it was determined that the VETiS SIA would focus on the following key areas and AQTF Standards:

Focus Area	AQTF Link
Determine the capacity of RTOs, including RTO Schools, to meet the AQTF and in particular the Training Package requirements of qualifications within the four identified delivery arrangements.	1.2, 1.3, 1.4 (a), (b), (c), (d), 1.5 (a), (b), (c), (d), 2.1, 2.4, Condition 1
Examine the process used by schools and RTOs to demonstrate that all AQTF and Training Package requirements were met for each of the VETiS qualifications being delivered.	1.2, 1.4 (c), (d), 1.5, 2.1, 2.4, 3.1, 3.3, Condition 1
Determine the level of compliance within school based delivery of VET qualifications in meeting AQTF and Training Package requirements, and where required appropriate industry experience and exposure.	1.2, 1.3, 1.4(c), 1.5 (a), (b), (c), (d)
Identify the characteristics of auspice/partnership arrangements between schools and RTOs that demonstrated compliance with the AQTF.	1.2, 2.1, 2.4, 3.1, 3.3
Identify the characteristics of VETiS delivery models within RTOs and schools that demonstrate compliance with the AQTF.	1.2, 2.1, 2.4, 3.1, 3.3
Identify processes used by schools and RTOs to ensure compliance with the requirements for vocational skills and industry currency of teachers delivering VETiS programs.	1.2, 1.3, 1.4 (a), (b), (c), (d), 2.3, 2.4, 3.3, Condition 3

Methodology

Since traditional SIA methodologies would not adequately address the needs of this unique SIA and due to the complexity of the VETiS environment, a tailored strategy was adopted to include a vertical and horizontal analysis of the data collected. (See tables following). This would allow the Council to:

- determine the level of compliance by:
 - RTO
 - specific qualification
 - industry area, and

⁵ Vocational Education and Training in Senior Secondary Education Western Australia 2011
School Curriculum and Standards Authority, Government of Western Australia

- delivery arrangement; and
- examine aspects of auspice/partnership arrangements and their contribution to the level of compliance.

The vertical and horizontal strategy was developed to ensure that the SIA terms remained within the Council's jurisdiction, whilst remaining broad enough to add value to the sector and inform future planning.

HORIZONTAL VIEW															
Comparison of outcomes for qualifications in each industry area across the four delivery arrangements.															
Industry Area	Level of Compliance with AQTF Standards (%age of compliant outcomes)														
	Auspice/ partnership arrangements	Outsourced/ Fee for service/ profile hours				RTO Schools				School Based Traineeships or Apprenticeships					
For example: Sport, Fitness and Recreation Certificate II in Sport Coaching Business	x% compliant	y% compliant				z% compliant				n% compliant					
Certificate II in Business	a% compliant	b% compliant				c% compliant				d% compliant					
VERTICAL VIEW															
Comparison of outcomes against the Standards for the four delivery arrangements															
	1.2	1.3	1.4 a	1.4 b	1.4 c	1.4 d	1.5 a	1.5 b	1.5 c	1.5 d	2.1	2.3	2.4	3.1	3.3
Auspice/ partnership arrangements	D%														
Outsourced/ Fee for service/ profile hours	C%														
RTO Schools	A%														
School Based Traineeships or Apprenticeships	B%														
Also determining overall level of RTO compliance; Level of compliance by specific qualification; and characteristics or trends by delivery arrangement															

A common set of requirements was developed to enable consistent information to be included and recorded for each audit. This was to ensure a meaningful analysis and comparison of audit findings could be undertaken to achieve the overall objectives of the SIA.

Auditors taking part in the SIA were provided with induction and intensive professional development for the project to ensure a common understanding of the:

- expectations of the TAC Secretariat
- requirements of audit reports in relation to the recording of detailed evidence
- types of information to be captured at audit, and
- Training Package requirements.

The project manager and TAC secretariat staff attended SIA audits as observers (wherever possible) to monitor the quality and consistency of the processes.

Strategic Industry Audit process

The process consisted of the following stages:

Stage 1. Project initiation

- Define SIA objectives in consultation with Council and obtain endorsement
- Engage with key stakeholders regarding Council's intention to conduct SIA
- Develop project plan.

- Stage 2. Strategic Reference Group and audit methodology
- Determine composition of strategic Reference Group in consultation with key internal stakeholders and issue invitations to proposed members
 - Develop SIA process, methodology and RTO survey
 - Convene Reference Group, incorporate any Reference Group amendments to audit process and methodology and obtain endorsement.
- Stage 3. Communication and sample selection
- Advise RTOs of SIA and request completion of survey to inform audit sampling
 - Advise other RTO regulators of SIA and of interstate RTOs registered to deliver VETiS qualifications in WA
 - Identify key industry stakeholders for interview
 - Compile and analyse survey results and identify audit sample.
- Stage 4. Pre-audit actions
- Collaborate with Registration team on audit process and methodology
 - Confirm auditor availability, required timeframes and conduct auditor briefings
 - Notify RTOs selected in the audit sample
 - Request pre-audit evidence for RTOs subject to site audit
 - Identify 'question only' RTOs recently audited for qualifications in sample
 - Allocate audit assignments and assign observers as required.
- Stage 5. Audits of RTOs
- Forward pre-audit evidence to auditors for desk audit
 - Site audits undertaken by auditors in line with usual processes
 - Evidence reviews undertaken by auditors as required in line with usual processes
 - Finalise RTO audits in line with usual processes
 - Conduct auditor debrief and collate anecdotal evidence and feedback.
- Stage 6. Interviews with 'question only' RTOs
- Conduct interviews and record descriptive data
 - Identify compliances and non-compliances from recent site audit outcomes.
- Stage 7. Industry engagement
- Conduct meetings with industry organisations and peak bodies
 - Collate feedback for analysis and inclusion.
- Stage 8. Data review and analysis
- Compile and analyse data from site audits, and prior audits with interview
 - Collate descriptive data from the audits against each Standard for compliance and non-compliance
 - Review information from industry engagement meetings
 - Determine overall levels of compliance by RTOs
 - Identify key themes or characteristics from the descriptive data for compliant and non-compliant RTOs for each of the Conditions and Standards
 - Disaggregate the data for the Standards by qualification, industry area and VETiS delivery arrangement.
- Stage 9. Final report
- Prepare initial draft of audit report for input

- Incorporate additions and amendments from Reference Group and Council
- Complete final proofing and formatting of report
- Obtain endorsement of final report from Reference Group and Council.

Stage 10. Project finalisation

- Publish and distribute final report
- Obtain feedback on the SIA process from industry, RTOs, auditors, TAC secretariat, Reference Group and Council
- Evaluate SIA process to incorporate learnings into future SIAs
- Review SIA outcomes to determine future actions in response to the SIA recommendations.

The site audit component of the SIA was conducted in line with TAC's established audit processes and the requirements of the AQTF Audit Handbook.

Governance

The project was managed by the TAC Secretariat in collaboration with strategic and operational reference groups. The strategic Reference Group provided strategic leadership, direction and endorsement of the project process and outcomes and met on <<four>> occasions throughout the process. The internal operational reference group assisted with operational matters relating to the audit scope, methodology and sample for site audits, providing expertise and guidance to the Project Manager.

Determination of the audit sample

A letter was sent to all RTOs identified through the scoping process as delivering one or more VETiS qualifications by the School Curriculum and Standards Authority. RTOs were requested to respond by 14 February 2014 with information confirming the qualifications they were delivering and the number of enrolments in each.

The risk-based approach resulted in the selection of 31 RTOs and 19 different qualifications for the SIA sample, following confirmation of qualifications actually being delivered and current student numbers. Of these RTOs, there were five whose very recent audit history was able to be used in place of a site audit, supplemented by detailed responses to questions about processes and procedures, while the remaining 26 RTOs underwent a site audit. Delivery of multiple qualifications by 14 of the RTOs resulted in a total of 66 qualifications being subject to audit.

The final audit sample for the SIA included:

- 31 RTOs
- 19 qualifications
- 11 Industry areas.

The sample of 31 RTOs, 66 qualifications and four delivery arrangements was made up of:

- 10 State Training Providers, delivering 32 qualifications across three delivery arrangements,
- 12 Private RTOs, delivering 21 qualifications across three delivery arrangements, and
- 9 RTO Schools delivering 13 qualifications and representing one delivery arrangement.

Further information is provided in **Appendix E**.

Auditor professional development

Professional development workshops for TAC's external panel of auditors were held 5 February and 11 April 2014. The purpose of the workshops was to:

- provide the background and purpose of the SIA
- provide an overview of the proposed audit methodology and focus areas
- discuss the sampling process for final selection of RTOs, qualifications and units of competency, and
- discuss specific reporting requirements for the audit.

Conduct of audits

Audits were conducted by members of TAC's external panel of auditors and undertaken as site audits. The audits were not different from any other TAC audit which requires auditors to identify non-compliances against any of the *AQTF Essential Conditions and Standard for Continuing Registration*. For the purposes of the SIA report auditors were asked to provide detailed information in relation to Conditions 1 and 3; Standards 1.2, 1.3, 1.4 and 1.5; Standards 2.1, 2.3 and 2.5; and Standards 3.1 and 3.3. Other non-compliances found at audit were reported and rectification required in the usual way, however these were not included in this report as they were few in number and did not occur for more than one RTO.

To streamline the on-site audit process RTOs were requested to submit specified information for desk audit prior to the site visits. The SIA evidence request is included at Attachment 3.

The compliances and non-compliances identified in this report were based on the outcomes found on the day of each audit. It is important to note that for an RTO to maintain registration under the AQTF it must be fully compliant with the AQTF at all times.

TAC processes allow for RTOs that are found non-compliant at audit against the *AQTF Essential Conditions and Standards for Continuing Registration* to provide additional evidence within a specified timeframe, generally 20 working days after receipt of the audit report, in order to demonstrate compliance. When a critical level of non-compliance is identified TAC may determine a lesser timeframe.

In most instances provision of additional evidence will be sufficient to demonstrate compliance with the Standards; however where non-compliances remain, the matter is referred to TAC for further consideration and action.

RTO audit reports

Auditors used the standard TAC template for reporting audit outcomes, through the online AuditorNet facility. Detailed information required to provide descriptive data for both compliant and non-compliant outcomes was also included in the audit reports. This was an added requirement for auditors only in terms of capturing and reporting the evidence seen, not in the actual conduct of the audits and the information focused on:

- the roles and responsibilities of the parties – in relation to the particular element of the Standards being audited eg who was responsible for confirming the industry currency of trainers and assessors (Standard 1.4c)
- providing detailed descriptions of processes/systems followed/used – how things were actually done, eg the time allocated to workplace learning, how work placements were

organised and monitored, how host employers were identified and engaged in the provision of workplace learning etc (Standard 2.4)

- identifying timeframes, where applicable, eg length of time for completion of a qualification, time spent at an RTO or in the workplace, timeframe for reviewing a training and assessment strategy or undertaking professional development (Standard 1.2 and others)
- describing judgments about the evidence seen, for both compliance and non-compliance – comparison of the evidence provided at audit with the requirements of units, qualifications, Training Packages and the AQTF Standards and the decision made about compliance
- closing statements – summarising the outcomes for the Conditions and Standards and identifying rectification requirements for non-compliances.

The audit reports were analysed and the information compared to inform the findings and recommendations outlined in this report not only for RTOs but also for qualifications, industry areas and delivery arrangements.

Industry Engagement

Industry organisations were asked a series of interview questions regarding their perspectives on VETiS delivery and outcomes in their industry/sector and their role, if any, in providing input into the appropriateness of qualifications for VETiS delivery.

Questions related to whether:

- qualifications currently offered were appropriate for school-based delivery or full-time school students, most of whom would be minors
- VETiS programs provided realistic job tasks or training environments comparable to non-VETiS delivery
- graduates of VETiS program had the same skill levels as those who completed the same qualifications through non-VETiS arrangements and the nature of any skill gaps
- there were likely to be sufficient job opportunities for graduates of VETiS programs.

Industry responses were reviewed to identify common themes that were used to inform both the background information and the recommendations made in the report.

Data analysis and reporting

Minor, significant and critical levels of non-compliance are determined at RTO level and not in relation to individual qualifications or individual elements of the AQTF Standards. For this reason the reporting of non-compliances as a percentage of RTOs provides an overall picture but does not reflect the fact that some non-compliant RTOs, even those with critical levels of non-compliance, could have fully compliant qualifications among their audit outcomes. Also, some elements of the Standards are not audited for every RTO if they are not applicable to all delivery arrangements.

For the Standards, percentages for compliance and non-compliance have been calculated and presented in the report in relation to the number of possible outcomes for each element of the Standards, rather than in relation to the number of RTOs in the audit sample. This has been done to provide a more meaningful view of the levels of non-compliance for each element of the Standards, and to facilitate reporting by qualification, industry area and delivery arrangement.

Conditions on the other hand, apply at RTO level, not qualification level, and percentages were calculated and reported for compliances and non-compliances in relation to the total number of RTOs. This also means that outcomes for the Conditions did not apply to individual qualifications, industry areas or delivery arrangements.

Quantitative data for the Standards was analysed and compared, first by qualification, then by industry area and finally by VETiS delivery arrangement. Descriptive data and industry information was used to identify and compare the characteristics or themes present for compliant practices compared to those that did not demonstrate compliance. The findings from the data were used to draft recommendations and an initial draft report for Reference Group and Council input before the final report was prepared for approval.

Appendix D: Audit sample – RTOs, qualifications, units of competency and delivery arrangements

RTOs audited

The final audit sample was made up of 31 RTOs:

- 10 State Training Providers
- 12 Private RTOs, and
- 9 RTO Schools
- 16 metropolitan RTOs, and
- 15 non-metropolitan RTOs.

Qualifications audited

A sample of 19 qualifications was audited from 11 industry areas (ie 11 different Training Packages) with all but three delivered by multiple RTOs and/or through different delivery arrangements. Two units of competency were selected from each qualification as the focus of the audit, although auditors were also able to select other/additional units.

Number Audited	Qualification Codes and Titles	Units of Competency
2	AUR20512 Certificate II in Automotive Vehicle Servicing	<ul style="list-style-type: none"> • AURATA2001 Identify basic automotive faults using troubleshooting processes • AURTTA2004 Carry out servicing operations
1	AVI30208 Certificate III in Aviation (Flight Operations)	<ul style="list-style-type: none"> • Units selected by auditor
9	BSB20112 Certificate II in Business	<ul style="list-style-type: none"> • BSBWHS201A Contribute to health and safety of self and others, plus one unit selected by auditors
1	BSB40212 Certificate IV in Business	<ul style="list-style-type: none"> • BSBWHS401A Implement and monitor WHS policies, procedures and programs to meet legislative requirements • One unit selected by auditors
4	CHC20112 Certificate II in Community Services	<ul style="list-style-type: none"> • CHCCS211B Prepare for work in the community sector • CHCORG202C Work with others
2	CHC30213/30812 Certificate III in Education Support	<ul style="list-style-type: none"> • CHCECE006/CHCCHILD301B Support behaviour of children and young people • CHCEDS003/ CHCEDS303A Contribute to student education in all developmental domains
4	CPC20211 Certificate II in Construction Pathways or 52443WA Certificate II in Building & Construction (Pathway – Trades)	<ul style="list-style-type: none"> • CPCCA2002B Use Carpentry tools and equipment • CPCCCO2013A Carry out concreting to simple forms
1	CPP20212 Certificate II in Security Operations	<ul style="list-style-type: none"> • CPPSEC2003B Work effectively in the security industry • CPPSEC2006B Provide security services to clients
6	ICA20111 Certificate II in Information, Digital Media and Technology	<ul style="list-style-type: none"> • ICAICT204A Operate a digital media technology package • ICAWEB201A Use social media tools for collaboration and engagement
8	MEM20105 Certificate II in Engineering	<ul style="list-style-type: none"> • MEM15002A Apply quality systems • MEM16007A Work with others in a manufacturing, engineering or related environment
3	MEM30505 Certificate III in Engineering - Technical	<ul style="list-style-type: none"> • MEM16008A Interact with computing technology • MSAENV272B Participate in environmentally sustainable work practices

Number Audited	Qualification Codes and Titles	Units of Competency
3	SIB20110 Certificate II in Retail Make-Up and Skin Care	<ul style="list-style-type: none"> • SIBXFAS201A Design and apply make-up • SIBBFAS201A Demonstrate retail skin care products
2	SIB30110 Certificate III in Beauty Services	<ul style="list-style-type: none"> • SIBBCCS301A Apply the principles of skin biology to beauty treatments • SIRXSL001A Sell products and services
5	SIS20210/20213 Certificate II in Outdoor Recreation	<ul style="list-style-type: none"> • SISOODR201A Assist in conducting outdoor recreation sessions • SISXIND101A Work effectively in sport and recreation environments
4	SIS20310/12/13 Certificate II in Sport and Recreation	<ul style="list-style-type: none"> • BSBWOR202A Organise and complete daily work activities • SISXIND101A Work effectively in sport and recreation environments
3	SIS20512/13 Certificate II in Sport Coaching	<ul style="list-style-type: none"> • SISXCAI102A Assist in preparing and conducting sport and recreation sessions • SISXEMR201A Respond to emergency situations
6	SIT20312 Certificate II in Hospitality (Kitchen Operations)	<ul style="list-style-type: none"> • SITHKOP101 Clean kitchen premises and equipment • SITXINV202 Maintain the quality of perishable items
2	SIT30812 Certificate III in Commercial Cookery	<ul style="list-style-type: none"> • SITHCCC203 Produce stocks, sauces and soups • SITHPAT306 Produce desserts
66	IN TOTAL	

Delivery arrangements audited

The 66 qualifications were delivered through the following arrangements:

- 21 delivered through auspice/partnership arrangements
- 21 outsourced to RTOs by schools
- 13 delivered by RTO Schools, and
- 11 delivered through school-based traineeships and apprenticeships.

Appendix E: Detailed findings

Overall findings

Outcomes for RTOs

Overall, the audit revealed varying levels of compliance with the *AQTF Essential Conditions and Standards for Continuing Registration*. Of the 31 RTOs included in the SIA:

- 8 RTOs were found to be fully compliant at the time of the audit, and
- 23 RTOs were found to be non-compliant with the following levels of non-compliance:
 - 10 minor
 - 6 significant
 - 7 critical

The categories of non-compliance are those defined in the *AQTF 2010 Audit Handbook*. An extract is provided at **Attachment 1**.

Audit Outcomes

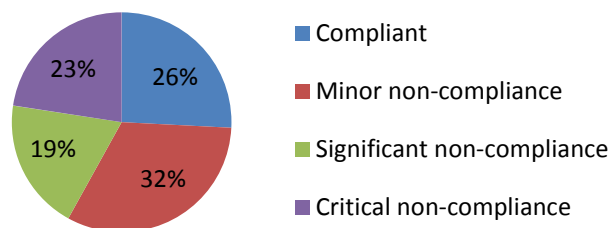
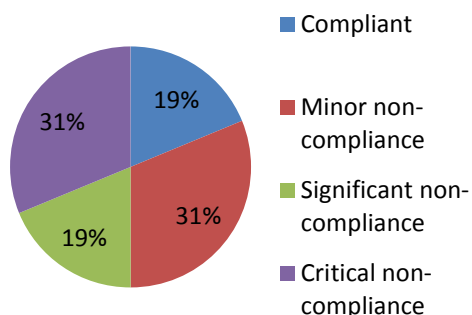


Figure 1: Audit outcomes for RTOs

- 16 metropolitan RTOs had the following outcomes:
 - 3 compliant
 - **5 with minor, 3 with significant and 5 with critical levels of non-compliance**
- 15 non-metropolitan RTOs had the following outcomes:
 - 5 compliant
 - **5 with minor, 3 with significant and 2 with critical levels of non-compliance.**

Metropolitan RTOs



Non-metropolitan RTOs

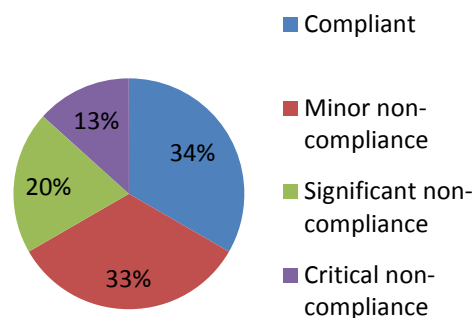


Figure 2: Audit outcomes for RTOs by location

Reporting approach

As described in the methodology, minor, significant and critical levels of non-compliance are determined at RTO level and not in relation to individual qualifications or individual elements of the AQTF Standards. A number of non-compliant RTOs for example, even those with critical levels of non-compliance, had fully compliant qualifications among their audit outcomes. Also, some elements of the Standards were not audited for every RTO if they were not applicable to all delivery arrangements.

For these reasons, percentages for compliance and non-compliance have been presented in this report in relation to the number of possible outcomes for each element of the Standards, rather than in relation to the number of RTOs in the audit sample. This has been done to provide a more meaningful view of the levels of non-compliance for each element of the Standards, and to facilitate reporting by qualification, industry area and delivery arrangement.

Conditions on the other hand, apply at RTO level, not qualification level, and compliances and non-compliances have been reported in relation to numbers of RTOs. This also means that outcomes for the Conditions are not reported for individual qualifications, industry areas or delivery arrangements.

Outcomes for the AQTF Conditions

Of the 30 RTOs with audit outcomes for Condition 1, 16 were found to be **non-compliant**. Descriptive data from the audits indicated that all non-compliant RTOs had incurred multiple non-compliances across the standards; almost half of these RTOs had governance processes in place, yet the processes had not ensured compliance with the Standards; and less commonly, there had been inconsistent application of governance processes or no implementation of required processes.

In contrast, only 6 of the 30 RTOs audited against Condition 3 were found to be **non-compliant**. Descriptive data from the audits indicated that three of the six non-compliances related to information on legislative requirements not being provided to staff and students, while the remaining three non-compliances related to duty of care requirements not being addressed for minors in relation to work-based learning placements.

Overall outcomes for the AQTF Standards

In relation to the individual elements of the Standards, 64% of possible outcomes were **compliant**, however one or more non-compliances were reported for all 15 elements. Most non-compliances occurred against the elements of Standard 1 and Standard 3 with non-compliant outcomes of 38% and 37% respectively for these Standards.

Standards	Standard 1:										Standard 2:			Standard 3:	
	1.2	1.3	1.4a	1.4b	1.4c	1.4d	1.5a	1.5b	1.5c	1.5d	2.1	2.3	2.4	3.1	3.3
64% Compliant	62%	38%	94%	65%	70%	77%	47%	47%	53%	67%	78%	78%	33%	76%	26%
36% Non-compliant	38%	62%	6.06	35%	30%	23%	53%	53%	47%	33%	22%	22%	67%	24%	74%
	62% of possible outcomes compliant										76% compliant			63% compliant	

Table 3: Overall levels of compliance

Within Standard 1, there were high levels of **non-compliance** for Standards 1.3 and 1.5. For Standard 1.3 (staff, facilities, equipment and training and assessment materials) 62% of possible outcomes were **non-compliant**. For Standard 1.5 (assessment) 53% of outcomes were **non-compliant** for Standards 1.5a and 1.5b, and 47% were **non-compliant** for Standard 1.5c.

Within Standard 3 most **non-compliances** related to Standard 3.3 (auspice/partnership arrangements). Although this Standard was not audited for most RTOs, it was relevant for 23 qualifications, with 21 delivered through auspice/partnership arrangements and two through SBTA, and where 74% of possible outcomes were found to be **non-compliant**.

Overall there were higher levels of **compliance** with the AQTF Standards relating to trainers and assessors – 94% for Standard 1.4a (TAE qualifications), and 65 to 77% for 1.4b, 1.4c and 1.4d (vocational competency, industry currency and ongoing development of trainers and assessors) – and for client services (Standard 2, excluding Standard 2.4).

Descriptive data

Descriptive data revealed a myriad of common characteristics for both compliant and non-compliant outcomes. Some of these simply re-iterated the Standards, while others provided details of common processes that appeared to correlate with either compliant or non-compliant outcomes. While the descriptive data could not be used to infer a cause and effect relationship it seems possible that these positive and negative attributes contribute to the level of compliance achieved.

Common characteristics or themes from descriptive data – overall outcomes

Characteristics or themes that were found to be common to the majority of compliant and non-compliant outcomes (ie 50% or more) are provided in the table following.

Standard	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
1.2	<ul style="list-style-type: none"> ➤ Documented industry consultation informed training and assessment strategies ➤ Training and assessment strategies were developed by the RTO ➤ Liaison, consultation or negotiation occurred with schools on the training and assessment strategies ➤ RTOs monitored strategy development and implementation ➤ There was regular contact by RTOs with schools and/or learners 	<ul style="list-style-type: none"> ➤ Strategies did not meet Training Package requirements in relation to version number prerequisite units, or superseded units ➤ There was insufficient evidence or no evidence of industry consultation in development of training and assessment strategies ➤ Training and assessment strategies were not deployed or did not reflect actual practice
1.3	<ul style="list-style-type: none"> ➤ Training and assessment resources were provided by RTOs ➤ Practical industry-like environments were provided by RTOs and schools ➤ Required facilities and equipment were provided by RTOs ➤ There was regular contact by RTOs with schools and/or learners 	<ul style="list-style-type: none"> ➤ Vocational/ practical environment for assessment was not addressed ➤ Delivery and/or assessment did not meet the training and assessment strategies ➤ Non-compliances were found for Standard 1.4 and/or 1.5
1.4a	<ul style="list-style-type: none"> ➤ All trainers and assessors held the required qualification TAE40110 Certificate IV in Training and Assessment ➤ RTOs implemented a process for confirming TAE qualifications were held by trainers and assessors ➤ RTOs followed a process for verifying/ authenticating TAE qualifications 	<ul style="list-style-type: none"> ➤ No evidence of training and assessment qualifications was provided for trainers/ assessors ➤ There were staff delivering training without the training and assessment qualification and without evidence of supervision ➤ Processes in the auspice/partnership agreement for confirming staff held the required qualification were not followed by RTOs ➤ RTOs were not aware that staff without the training and assessment qualification were delivering and assessing VET qualifications

Standard	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
1.4b	<ul style="list-style-type: none"> ➤ Trainers and assessors held the actual units, qualifications or higher level qualifications in the same field as those they delivered ➤ Evidence was provided of relevant vocational competencies ➤ Trainer profiles/matrices were used to capture relevant vocational competencies ➤ RTOs implemented a process for verification/ authentication of vocational competencies 	<ul style="list-style-type: none"> ➤ No evidence was provided or the vocational competencies of staff were not established for some or all units ➤ The relevance of vocational qualifications and experience (held by trainers and assessors) in relation to the units being delivered had not been established
1.4c	<ul style="list-style-type: none"> ➤ Trainer profiles/matrices were used to capture industry currency ➤ RTOs implemented a process for verification/ authentication of industry currency ➤ Industry professional development was undertaken to maintain currency ➤ Trainers and assessors currently worked in industry 	<ul style="list-style-type: none"> ➤ Incomplete or insufficient evidence of industry currency was provided for trainers and assessors ➤ The relevance of trainers' and assessors' current industry experience in relation to the units of competency being delivered had not been established
1.4d	<ul style="list-style-type: none"> ➤ Documented evidence of professional development records was provided ➤ RTOs used a systematic process for professional development of trainers and assessors ➤ Professional development was provided by RTOs for their trainers and assessors ➤ Professional development occurred through working in industry 	<ul style="list-style-type: none"> ➤ No evidence or insufficient evidence of professional development was provided for trainers and assessors ➤ No professional development was provided by the RTO for its auspice partners in accordance with obligations in the auspice/partnership agreement ➤ The process for recording professional development was not valid (eg it did not relate to the units being delivered or assessed)
1.5a & b	<ul style="list-style-type: none"> ➤ RTOs used validated assessment instruments ➤ Assessments consisted of both theory and practical ➤ Assessments were provided by RTOs or developed with their partner schools ➤ A vocational/industry environment was provided for assessment ➤ There was a structured workplace assessment component 	<ul style="list-style-type: none"> ➤ There was insufficient evidence that assessment addressed (all) the requirements of unit/s of competency ➤ Performance evidence was not collected or the majority of assessment was knowledge-based ➤ No vocational/industry environment was provided for assessment
1.5c	As for 1.5a and b	<p>As for 1.5a and b, and in addition:</p> <ul style="list-style-type: none"> ➤ Assessment was not in accordance with the auspice/partnership agreement and/or specified assessment tools ➤ There was inadequate (or no) assessment instruments/ processes/ RPL
1.5d	<ul style="list-style-type: none"> ➤ RTOs had a formal scheduled validation process ➤ Pre- and post-assessment validation was undertaken ➤ There was industry input into validation 	<ul style="list-style-type: none"> ➤ There was no evidence of validation ➤ Validation policy, plan or procedure was not implemented ➤ Validation was undertaken but did not identify non-compliances ➤ Non-compliances were incurred against 1.5a, b and/or c

Standard	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
2.1	<ul style="list-style-type: none"> ➤ Clear roles, responsibilities and procedures were articulated ➤ Regular communication/ reporting was occurring between the partners ➤ RTOs implemented a process that identified student needs ➤ RTOs implemented a process that confirmed student needs were addressed ➤ Monitoring was undertaken to confirm that student needs were identified by partners 	<ul style="list-style-type: none"> ➤ Partner roles/responsibilities for identifying and meeting student needs were not identified ➤ There was no confirmation of the processes to be used by auspice partner to address student needs ➤ There was no evidence of RTOs establishing student needs ➤ There was no evidence of monitoring/ collecting feedback to confirm student needs were met ➤ Inaccurate VET information was provided to students
2.3	<ul style="list-style-type: none"> ➤ There was communication/ liaison between RTOs and schools regarding information for students ➤ VETiS information was provided at career events/ open days/ information sessions etc ➤ Provision of relevant information by RTOs occurred prior to enrolment ➤ Provision of relevant information by schools occurred prior to enrolment ➤ Student interviews/ course selection process was used by schools 	<ul style="list-style-type: none"> ➤ No information was provided to students by RTOs prior to enrolment ➤ Inaccurate, insufficient or irrelevant information was provided re NRT requirements ➤ No information was provided about, or students were unaware of, the role of RTOs/ other parties ➤ There was no RTO monitoring of information provided to students
2.4	<ul style="list-style-type: none"> ➤ All parties were clear on processes, roles and responsibilities for work placements ➤ There was evidence of employer and/or industry engagement ➤ A process was implemented to ensure work placements met requirements ➤ There was evidence of engagement in monitoring students on work placement 	<ul style="list-style-type: none"> ➤ Processes for VETiS were not deployed as agreed ➤ The parties were not clear on the process, roles and responsibilities for work placements ➤ There was no evidence of employer engagement
3.1	<ul style="list-style-type: none"> ➤ RTOs maintained communication/ liaison with all parties ➤ Progress monitoring and reporting was undertaken ➤ Collection, review and action on learner feedback was occurring ➤ Management meetings were used for monitoring processes and outcomes ➤ Quality management systems were implemented as intended 	<ul style="list-style-type: none"> ➤ No learner feedback was collected ➤ There was no evidence of evaluation to confirm learner needs were met ➤ Training and assessment was not as required by the Training Package ➤ RTO systems/ processes did not ensure compliance
3.3	<ul style="list-style-type: none"> ➤ Clear roles, responsibilities and processes were contained in agreements ➤ Policies and procedures were developed and used for VETiS, and AQTF compliance ➤ Designated RTO staff were provided for VETiS coordination and support ➤ Designated school VET coordinator/s worked with RTOs ➤ RTO and school staff were aware of their AQTF responsibilities ➤ Processes for VETiS were deployed as agreed ➤ There was a schedule or process for monitoring compliance with auspice/partnership agreements and with the AQTF 	<ul style="list-style-type: none"> ➤ Processes for VETiS were not deployed as agreed ➤ RTO and/or school staff were not aware of their AQTF responsibilities ➤ Compliance with the auspice/partnership agreement and the AQTF was not monitored ➤ RTO monitoring processes did not ensure compliance

Table 4: Overall characteristics for compliant and non-compliant outcomes

Outcomes for qualifications

Data for specific qualifications showed the highest levels of **compliance** for:

- AVI30208 Certificate III in Aviation (Flight Operations), SIB20110 Certificate II in Retail Make-Up and Skin Care, and SIB30110 Certificate III in Beauty Services (100% compliance)
- SIT30812 Certificate III in Commercial Cookery (89% of outcomes compliant)
- CHC30213 Certificate III in Education Support (79% of outcomes compliant), and
- MEM30505 Certificate III in Engineering – Technical (77% of outcomes compliant).

Number Audited	Qualification Codes and Titles	% Compliant	% Non-compliant	Standards with Non-compliance > or = Compliance
2	AUR20512 Certificate II in Automotive Vehicle Servicing	68%	32%	1.2, 1.3, 1.5, 2.3, 2.4, 3.1
1	AVI30208 Certificate III in Aviation (Flight Operations)	100%	0%	None
9	BSB20112 Certificate II in Business	61%	39%	1.3, 1.5a, b, c, 3.3
1	BSB40212 Certificate IV in Business	38%	62%	1.2, 1.3, 1.5, 2.1, 3.1
4	CHC20112 Certificate II in Community Services	70%	30%	1.2, 1.3, 2.4
2	CHC30213/30812 Certificate III in Education Support	79%	21%	1.3, 1.4b, 1.5a, b, c
4	CPC20211 Certificate II in Construction Pathways or 52443WA Certificate II in Building & Construction (Pathway – Trades)	49%	51%	1.2, 1.3, 1.4b, c, d, 1.5a, b, c, 3.3
1	CPP20212 Certificate II in Security Operations	31%	69%	All except 1.4
6	ICA20111 Certificate II in Information, Digital Media and Technology	66%	34%	1.3, 1.5a, b, c, 3.3
8	MEM20105 Certificate II in Engineering	61%	39%	1.3, 1.4c, 1.5a, b, c,
3	MEM30505 Certificate III in Engineering - Technical	77%	23%	1.3, 1.5a, b, c
3	SIB20110 Certificate II in Retail Make-Up and Skin Care	100%	0%	None
2	SIB30110 Certificate III in Beauty Services	100%	0%	None
5	SIS20210/20213 Certificate II in Outdoor Recreation	27%	73%	All
4	SIS20310/12/13 Certificate II in Sport and Recreation	62%	38%	1.2, 1.3, 1.4b, 1.5a, b, c, 3.3
3	SIS20512/13 Certificate II in Sport Coaching	58%	42%	1.2, 1.3, 1.4b, c, d, 2.1, 2.3, 3.1
6	SIT20312 Certificate II in Hospitality (Kitchen Operations)	73%	27%	1.3, 1.5a, b, 3.3
2	SIT30812 Certificate III in Commercial Cookery	89%	11%	1.3, 1.4b, c
	66 qualifications in total		Note:	1.4 = 1.4a, b, c, d
				1.5 = 1.5a, b, c, d

Table 5: Level of compliance by qualification

Qualifications with the highest levels of **non-compliance** were:

- SIS20210 Certificate II in Outdoor Recreation (73% of outcomes non-compliant)
- CPP20212 Certificate II in Security Operations (69% of outcomes non-compliant), and
- BSB40212 Certificate IV in Business (62% of outcomes non-compliant).

The suitability of these last two qualifications for VETiS delivery was questioned:

- *CPP20212 Certificate II in Security Operations* has specific practical requirements for delivery and assessment, leads to a security licence that is not available to minors, and is red-flagged

in the VET in Schools Qualification Register⁶ with industry advice that minors cannot work in the security industry

- *BSB40212 Certificate IV in Business* is aimed at a supervisory or management level that requires substantial and relevant industry experience to maximise successful completion and the qualification is also red-flagged in the VET in Schools Qualification Register with advice that industry does not support the qualification as a VET in Schools pathway.

The results for *SIS20210 Certificate II in Outdoor Recreation* confirm input from the industry raising concerns about the capacity of schools to meet industry standards.

Descriptive data for qualifications did not provide significantly different information compared with the overall results (see Table 4). The delivery arrangement rather than the actual qualification was the only factor to generate different, or additional characteristics.

Outcomes for industry areas

When data was analysed by industry area, the Aviation industry area (one qualification only, through outsourced delivery) and the Beauty industry area demonstrated 100% **compliance**. For Beauty, three RTOs delivered five instances of two qualifications at Certificate II and Certificate III levels through both auspice/partnership and outsourced delivery.

The highest levels of **non-compliance** were reported for:

- Property Services, with 69% of outcomes non-compliant, for one qualification only (security), delivered through outsourced delivery
- Sport, Fitness and Recreation, where 57% of outcomes were non-compliant across 12 instances of three different Certificate II qualifications, delivered through one or more of the four delivery arrangements
- Construction, Plumbing and Services where 51% of outcomes were non-compliant for delivery of a Certificate II by four RTOs through two delivery arrangements, and
- Business Services with 41% of outcomes non-compliant for nine instances of two qualifications delivered through all four delivery arrangements.

Number audited	Qualification code and title	VETiS Arrangement	C=Compliant NC=Non-compliant
Automotive Retail, Service and Repair Industry Area:			
2	AUR20512 Certificate II in Automotive Vehicle Servicing	SBTA	68% C
Summary: 2 RTOs; 1 VETiS arrangement; 1 qualification. 15 elements - 30 outcomes: 9 Non-compliant / 19 Compliant / 2 not audited.		68%C	
Aviation Industry Area:			
1	AVI30208 Certificate III in Aviation (Flight Operations)	Outsourced	100% C
Summary: 1 RTO; 1 VETiS arrangement; 1 qualification - fully compliant. 15 elements: 13 Compliant / 2 not audited.		100%C	
Business Services Industry Area:			
3	BSB20112 Certificate II in Business	Auspice	76% NC
2	BSB20112 Certificate II in Business	Outsourced	82% C
2	BSB20112 Certificate II in Business	RTO School	81% C
2	BSB20112 Certificate II in Business	SBTA	83% C
		62% C	
1	BSB40212 - Certificate IV in Business	Outsourced	62% NC
Summary: 9 RTOs; 4 VETiS arrangements; 2 qualifications. 150 outcomes: 54 Non-compliant / 79 Compliant / 17 not audited.		59%C	

⁶ Department of Training and Workforce Development, 2014, *VET in Schools Qualification Register Version 2.1 as at 28 February 2014*, Government of Western Australia, Perth

Number audited	Qualification code and title	VETiS Arrangement	C=Compliant NC=Non-compliant
Community Services Industry Area:			
1	CHC20112 Certificate II in Community Services	Auspice	93% NC
1	CHC20112 Certificate II in Community Services	Outsourced	100% C
1	CHC20112 Certificate II in Community Services	RTO School	100% C
1	CHC20112 Certificate II in Community Services	SBTA	79% C
		70% C	
2	CHC30812/30213 Certificate III in Education Support	Outsourced	79% C
Summary: 6 RTOs; 4 VETiS arrangements; 2 qualifications. 90 outcomes: 23 Non-compliant / 61 Compliant / 6 not audited.		73%C	
Property Services Industry Area:			
1	CPP20212 Certificate II in Security Operations	Outsourced	69% NC
Summary: 1 RTO; 1 qualification; 15 elements: 9 Non-compliant / 4 Compliant / 2 not audited.		69%NC	
Construction, Plumbing and Services Industry Area:			
2	CPC20211 Certificate II in Construction Pathways / 52443WA Certificate II in Building & Construction (Pathway – Trades)	Auspice	82% NC
2	CPC20211 Certificate II in Construction Pathways	RTO School	81% C
Summary: 4 RTOs; 2 VETiS arrangements; 2 qualifications. 60 outcomes: 28 Non-compliant / 27 Compliant / 5 not audited.		51% NC	
Information and Communications Technology Industry Area			
3	ICA20111 Certificate II in Information, Digital Media and Technology	Auspice	57% C
2	ICA20111 Certificate II in Information, Digital Media and Technology	RTO School	62% C
1	ICA20111 Certificate II in Information, Digital Media and Technology	SBTA	100% C
Summary: 6 RTOs; 3 VETiS arrangements; 1 qualification. 90 outcomes: 28 Non-compliant / 54 Compliant / 8 not audited.		66%C	
Metal and Engineering Industry Area			
1	MEM20105 Certificate II in Engineering	Auspice	93% NC
2	MEM20105 Certificate II in Engineering	Outsourced	56% C
2	MEM20105 Certificate II in Engineering	RTO School	93% C
3	MEM20105 Certificate II in Engineering	SBTA	62% C
1	MEM30505 Certificate III in Engineering - Technical	Auspice	100% C
2	MEM30505 Certificate III in Engineering - Technical	Outsourced	64% C
Summary: 9 RTOs; 4 VETiS arrangements; 2 qualifications. 165 outcomes: 52 Non-compliant / 97 Compliant / 16 not audited.		65%C	
Beauty Industry Area:			
2	SIB20110 Certificate II in Retail Make-Up and Skin Care	Auspice	100% C
1	SIB20110 Certificate II in Retail Make-Up and Skin Care	Outsourced	100% C
		100% C	
2	SIB30110 Certificate III in Beauty Services	Outsourced	100% C
Summary for Beauty Industry Area: 3 RTOs; 2 VETiS arrangements; 2 qualifications. 75 outcomes: No Non-compliances / 67 Compliant / 8 not audited.		100%C	
Sport, Fitness and Recreation Industry Area:			
2	SIS20210/13 Certificate II in Outdoor Recreation	Auspice	93% NC
1	SIS20210 Certificate II in Outdoor Recreation	Outsourced	93% NC
2	SIS20210/13 Certificate II in Outdoor Recreation	RTO School	67% C
		73% NC	
3	SIS20310/13 Certificate II in Sport and Recreation	Auspice	55% C
1	SIS20312 Certificate II in Sport and Recreation	Outsourced	85% C
	SIS20310/12/13	62% C	
1	SIS20513 Certificate II in Sport Coaching	Auspice	100% NC
2	SIS20512 Certificate II in Sport Coaching	RTO School	68% C
		58% NC	

Number audited	Qualification code and title	VETiS Arrangement	C=Compliant NC=Non-compliant
Summary for Sport, Fitness and Recreation Industry Area: 9 RTOs; 3 VETiS arrangements; 3 qualifications. 180 outcomes: 88 Non-compliant / 66 Compliant / 26 not audited		57%NC	
Tourism, Travel and Hospitality Industry Area:			
2	SIT20312 Certificate II in Hospitality (Kitchen Operations)	Auspice	54%C
3	SIT20312 Certificate II in Hospitality (Kitchen Operations)	Outsourced	90%C
1	SIT20312 Certificate II in Hospitality (Kitchen Operations)	SBTA	67%C
		73%C	
1	SIT30812 Certificate III in Commercial Cookery	Outsourced	100%C
1	SIT30812 Certificate III in Commercial Cookery	SBTA	79%C
		89%C	
Summary for Tourism, Travel and Hospitality Industry Area: 7 RTOs; 3 VETiS arrangements; 2 qualifications. 120 outcomes: 25 Non-compliant / 86 Compliant / 9 not audited		77%C	
11 industry areas – 19 qualifications			

Table 6: Level of compliance by industry area

Descriptive data for industry areas did not provide significantly different information compared with the overall results (see Table 4). The delivery arrangement, rather than the qualification or its industry area, was the only factor to generate different, or additional characteristics.

Outcomes for delivery arrangements

When data was disaggregated by VETiS delivery arrangement, the overall result for auspice/partnership delivery revealed that 58% of were **non-compliant**. Overall outcomes for the other three delivery arrangements showed that the majority of possible outcomes were **compliant** – 76% compliant for outsourced delivery, 78% compliant for RTO Schools and 74% compliant for SBTA.

%C	Delivery Arrangement	Standard 1:										Standard 2:			Standard 3:	
		1.2	1.3	1.4a	1.4b	1.4c	1.4d	1.5a	1.5b	1.5c	1.5d	2.1	2.3	2.4	3.1	3.3
42%	Auspice	38%	29%	86%	43%	38%	38%	33%	33%	33%	48%	48%	48%	0/1	48%	29%
76%	Outsourced	71%	48%	100	76%	86%	90%	57%	57%	62%	76%	86%	90%	50%	86%	-
78%	RTO school	77%	46%	92%	77%	85%	100	54%	54%	54%	69%	100	100	100	100	-
74%	SBTA	73%	27%	100	73%	82%	100	45%	45%	70%	91%	100	90%	70%	90%	0/2

Table 7: Level of compliance by delivery arrangement

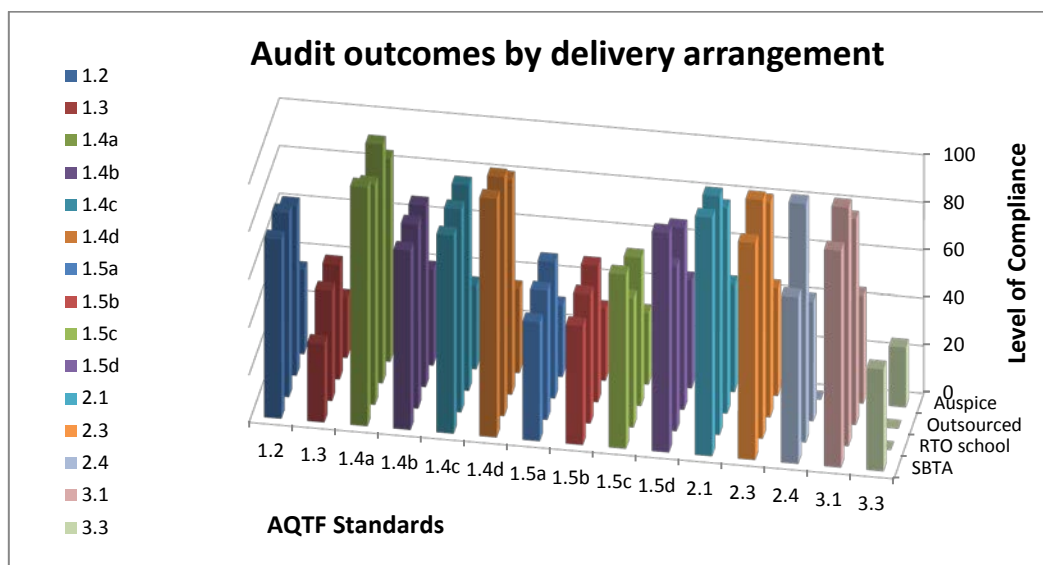


Figure 3: Audit outcomes by delivery arrangement

The following table provides a summary of the outcomes for each VETiS delivery arrangement.

Arrangement	Outcomes
Auspice	<p>21 auspice/partnership arrangements; 8 different RTOs; 11 qualifications 295 elements audited; 58% non-compliant, 42% compliant 1.4a was the only element where compliances exceeded non-compliances (86% compliant) In spite of there being 6 fully compliant qualifications, non-compliances ranged from 52% to 71% of possible outcomes for all other elements <u>Compliant qualifications were:</u></p> <ul style="list-style-type: none"> ✓ ICA20111 Certificate II in Information, Digital Media and Technology (one of three) ✓ MEM30505 Certificate III in Engineering – Technical ✓ SIB20110 Certificate II in Retail Make-Up and Skin Care (two of two) ✓ SIS20310 Certificate II in Sport and Recreation (one of three) ✓ SIT20312 Certificate II in Hospitality (Kitchen Operations) (one of two) <p><u>Non-compliant qualifications were:</u></p> <ul style="list-style-type: none"> ✓ BSB20112 Certificate II in Business (three of three) ✓ CHC20112 Certificate II in Community Services ✓ CPC20211 Certificate II in Construction Pathways (two of two) ✓ ICA20111 Certificate II in Information, Digital Media and Technology (two of three) ✓ MEM20105 Certificate II in Engineering ✓ SIS20210/13 Certificate II in Outdoor Recreation (two of three) ✓ SIS20310/13 Certificate II in Sport and Recreation (two of two) ✓ SIS20513 Certificate II in Sport Coaching ✓ SIT20312 Certificate II in Hospitality (Kitchen Operations) (one of two)
Outsourced	<p>21 outsourcing arrangements; 10 different RTOs; 14 different qualifications 278 elements audited; 76% compliant; 24% non-compliant 9 fully compliant qualifications 1.3 had 52% of outcomes non-compliant and 2.4 had 50%. Remaining elements ranged from 57% compliant for 1.5a and b to 100% compliant for 1.4a <u>Compliant qualifications were:</u></p> <ul style="list-style-type: none"> ✓ AVI30208 Certificate III in Aviation (Flight Operations) ✓ BSB20112 Certificate II in Business (one of two) ✓ CHC20112 Certificate II in Community Services ✓ SIB20110 Certificate II in Retail Make-Up and Skin Care ✓ SIB30110 Certificate III in Beauty Services (two of two) ✓ SIT20312 Certificate II in Hospitality (Kitchen Operations) (two of three) ✓ SIT30812 Certificate III in Commercial Cookery <p><u>Non-compliant qualifications were:</u></p> <ul style="list-style-type: none"> ✓ BSB20112 Certificate II in Business (one of two) ✓ BSB40212 Certificate IV in Business ✓ CHC30812/ CHC30213 Certificate III in Education Support (two of two) ✓ CPP20212 Certificate II in Security Operations ✓ MEM20105 Certificate II in Engineering (two of two) ✓ MEM30505 Certificate III in Engineering – Technical (two of two) ✓ SIS20210 Certificate II in Outdoor Recreation ✓ SIS20312 Certificate II in Sport and Recreation ✓ SIT20312 Certificate II in Hospitality (Kitchen Operations) (one of three)

Arrangement	Outcomes
RTO School	<p>13 'RTO School' arrangements; 7 different qualifications; 9 different RTO Schools 163 elements audited; 78% compliant; 22% non-compliant 6 fully compliant qualifications 1.3 had 54% of outcomes non-compliant and the remaining elements ranged from 54% compliant for 1.5a, b and c to 100% compliant for 1.4d, 2.1, 2.3, 2.4 and 3.1 <u>Compliant qualifications were:</u></p> <ul style="list-style-type: none"> ✓ BSB20112 Certificate II in Business (one of two) ✓ CHC20112 Certificate II in Community Services ✓ CPC20211 Certificate II in Construction Pathways (one of two) ✓ MEM20105 Certificate II in Engineering (one of two) ✓ SIS20210/13 Certificate II in Outdoor Recreation (one of two) ✓ SIS20512 Certificate II in Sport Coaching (one of two) <p><u>Non-compliant qualifications were:</u></p> <ul style="list-style-type: none"> ✓ BSB20112 Certificate II in Business (one of two) ✓ CPC20211 Certificate II in Construction Pathways (one of two) ✓ ICA20111 Certificate II in Information, Digital Media and Technology (two of two) ✓ MEM20105 Certificate II in Engineering (one of two) ✓ SIS20210/13 Certificate II in Outdoor Recreation (one of two) ✓ SIS20512 Certificate II in Sport Coaching (one of two)
SBTA	<p>11 SBTA arrangements; 7 qualifications; 11 different RTOs 151 elements audited; 74% compliant; 26% non-compliant 3 fully compliant qualifications 1.3 had 73% of outcomes non-compliant and the remaining elements ranged from 55% non-compliant for 1.5a and b to 100% compliant for 1.4a and d, and 2.1 <u>Compliant qualifications were:</u></p> <ul style="list-style-type: none"> ✓ AUR20512 Certificate II in Automotive Vehicle Servicing (one of two) ✓ BSB20112 Certificate II in Business (one of two) ✓ ICA20111 Certificate II in Information, Digital Media and Technology <p><u>Non-compliant qualifications were:</u></p> <ul style="list-style-type: none"> ✓ AUR20512 Certificate II in Automotive Vehicle Servicing (one of two) ✓ BSB20112 Certificate II in Business (one of two) ✓ CHC20112 Certificate II in Community Services ✓ MEM20105 Certificate II in Engineering (three of three) ✓ SIT20312 Certificate II in Hospitality (Kitchen Operations) ✓ SIT30812 Certificate III in Commercial Cookery

Table 8: Summary of outcomes by VETiS delivery arrangement

For the auspice/partnership delivery arrangement, **non-compliant** outcomes for individual elements of Standard 1 were also significantly higher than for the overall results, particularly in relation to assessment and trainer/assessor competencies. Percentages of **non-compliant** outcomes were:

- 71% for Standard 1.3 compared with 62% overall,
- 67% for Standards 1.5a, 1.5b and 1.5c compared with 53% overall, and
- 62% for Standard 1.2 (38% overall).

In contrast to an overall level of **non-compliance** of 23 to 35% of outcomes in relation to Standards 1.4b, 1.4c and 1.4d for trainers and assessors, results for auspice/partnership delivery arrangements revealed that 57 to 62% of outcomes were **non-compliant**.

It is worth noting that in both auspice/partnership and in the RTO School delivery arrangement, teachers are the trainers and assessors, yet for RTO Schools the outcomes for the same three Standards showed medium to high levels of **compliance** – 77% for 1.4b, 85% for 1.4c and 100% compliance for 1.4d.

Descriptive data

Descriptive data from the audits revealed that for **non-compliant** auspice arrangements, there was either: no evidence, incomplete or insufficient evidence provided to demonstrate the vocational competencies and industry currency of trainers and assessors; or the relevance of the qualifications and experience provided had not been established in relation to the units and qualifications being delivered and assessed or verified by a vocationally competent person. In relation to the requirement for ongoing professional development, no evidence or insufficient evidence of professional development was a characteristic common to the non-compliant outcomes, with an invalid process for recording professional development activities also ranking highly in the descriptive data.

In comparison, characteristics that were common to **compliant** auspice/partnership arrangements and **compliant** RTO Schools were: trainers and assessors holding the same or a higher qualification in relation to qualifications delivered; use of a trainer/assessor profile or matrix to capture vocational competencies and industry currency related to the units being delivered; and a formal process for authenticating information in the profiles/matrices. In relation to professional development for both compliant auspice/partnership arrangements and compliant RTO Schools: RTOs provided professional development for their staff; and there was a systematic process for enabling and recording professional development.

Common characteristics or themes from descriptive data – auspice outcomes by Standard

Characteristics or themes that were common to the majority of compliant and non-compliant outcomes for **auspice/partnership arrangements** are provided in the table following. Highlighted text indicates that these characteristics had insufficient scores to feature in the common characteristics across all delivery arrangements, but were significant for this delivery arrangement.

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
1.2	<ul style="list-style-type: none"> ➤ Liaison, consultation or negotiation occurred with schools on the training and assessment strategies ➤ Documented industry consultation informed training and assessment strategies ➤ There were clear responsibilities re strategy development and industry consultation ➤ Training and assessment strategies were developed for schools by the RTO ➤ RTOs monitored strategy development and implementation 	<ul style="list-style-type: none"> ➤ Training and assessment strategies were not deployed or did not reflect actual practice ➤ There was no quality assurance monitoring by the RTO of auspiced strategies ➤ There was insufficient evidence or no evidence of industry consultation in development of training and assessment strategies
1.3	<ul style="list-style-type: none"> ➤ Practical industry-like environments were provided by schools ➤ There was regular contact by RTOs with schools and/or learners ➤ RTOs monitored program delivery and/or use of resources as per strategy/ agreement ➤ School and workplace capacity to deliver was validated by the RTO 	<ul style="list-style-type: none"> ➤ Non-compliances were found for Standard 1.4 and/or 1.5 ➤ There was no monitoring to ensure the requirements of the strategy and/or the agreement were met ➤ Learning resources did not address the Training Package ➤ There was insufficient evidence that facilities and equipment met Training Package requirements ➤ Vocational/ practical environment for assessment was not addressed ➤ Delivery and/or assessment did not meet the training and assessment strategies

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
1.4a	<ul style="list-style-type: none"> ➤ All trainers and assessors held the required qualification TAE40110 Certificate IV in Training and Assessment ➤ RTOs implemented a process for confirming TAE qualifications were held by trainers and assessors ➤ RTOs followed a process for verifying/ authenticating TAE qualifications ➤ There was formal confirmation by the RTO of their auspice partner's capacity to deliver or formal 'approval to deliver' for auspice trainers and assessors 	<ul style="list-style-type: none"> ➤ Processes in the auspice/partnership agreement for confirming staff held the required qualification were not followed by RTOs ➤ No evidence of training and assessment qualifications was provided for trainers/ assessors ➤ RTOs were not aware that staff without the training and assessment qualification were delivering and assessing VET qualifications ➤ There were staff delivering training without the training and assessment qualification and without evidence of supervision
1.4b	<ul style="list-style-type: none"> ➤ There was verification of the school's capacity to deliver or formal 'approval to deliver' forms completed for trainers and assessors re vocational competencies ➤ Trainer profiles/matrices were used to capture relevant vocational competencies ➤ RTOs implemented a process for verification/ authentication of vocational competencies ➤ Evidence was provided of relevant vocational competencies ➤ Trainers and assessors held the actual units, qualifications or higher level qualifications in the same field as those they delivered 	<ul style="list-style-type: none"> ➤ Vocational competencies of trainers and assessors were not validated by a vocationally competent person ➤ No evidence was provided, or the vocational competencies of staff were not established for some or all units ➤ Insufficient detail was provided to confirm vocational competencies of trainers and assessors ➤ The relevance of vocational qualifications and experience (held by trainers and assessors) in relation to the units being delivered had not been established
1.4c	<ul style="list-style-type: none"> ➤ There was verification of the school's capacity to deliver or formal 'approval to deliver' forms completed for trainers and assessors re industry currency ➤ Trainer profiles/matrices were used to capture industry currency ➤ RTOs implemented a process for verification/ authentication of industry currency 	<ul style="list-style-type: none"> ➤ Incomplete or insufficient evidence of industry currency was provided for trainers and assessors ➤ The relevance of trainers' and assessors' current industry experience in relation to the units of competency being delivered had not been established ➤ Industry currency had not been confirmed by a vocationally competent person
1.4d	<ul style="list-style-type: none"> ➤ Documented evidence of professional development records was provided ➤ Professional development was provided by RTOs for their trainers and assessors ➤ RTOs used a systematic process for professional development of trainers and assessors 	<ul style="list-style-type: none"> ➤ There was no evidence or insufficient evidence that professional development was provided for trainers and assessors ➤ The process for recording professional development was not valid (eg it did not relate to the units being delivered or assessed)
1.5a & b	<ul style="list-style-type: none"> ➤ RTOs used validated assessment instruments ➤ Assessments were provided by RTOs or developed with their partner schools ➤ Assessment plans were used 	<ul style="list-style-type: none"> ➤ There was insufficient evidence that assessment addressed (all) the requirements of unit/s of competency ➤ There were inadequate (or no) assessment instruments/ processes/ RPL ➤ Assessment was not in accordance with the agreement or the specified tools ➤ Criteria used to make a judgment about competency did not relate to unit of competency requirements ➤ There was insufficient evidence that clustered and/or group assessments addressed the units of competency
1.5c	As for 1.5a and b	<p>As for 1.5a and b, and in addition:</p> <ul style="list-style-type: none"> ➤ There was no evidence that workplace requirements were addressed
1.5d	<ul style="list-style-type: none"> ➤ RTOs had a formal scheduled validation process 	<ul style="list-style-type: none"> ➤ Validation policy, plan or procedure was not implemented ➤ Validation was undertaken but did not identify non-compliances ➤ Non-compliances were incurred against 1.5a, b and/or c

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
2.1	<ul style="list-style-type: none"> ➤ Clear roles, responsibilities and procedures were articulated ➤ Regular communication/ reporting was occurring between the partners ➤ Monitoring was undertaken to confirm that student needs were addressed by partners 	<ul style="list-style-type: none"> ➤ There was no confirmation of the processes to be used by auspicing partner schools to address student needs ➤ There was no evidence of monitoring/ collecting feedback to confirm student needs were met
2.3	<ul style="list-style-type: none"> ➤ There was communication/ liaison between RTOs and schools regarding information for students ➤ Provision of relevant information by RTOs occurred prior to enrolment ➤ Student interviews/ course selection process was used by schools 	<ul style="list-style-type: none"> ➤ Inaccurate, insufficient or irrelevant information was provided re NRT requirements ➤ No information was provided about, or students were unaware of, the role of RTOs/ other parties ➤ There was no RTO monitoring of information provided to students ➤ No information was provided to students by RTOs prior to enrolment
2.4		<ul style="list-style-type: none"> ➤ The parties were not clear on the process, roles and responsibilities for work placements ➤ There was no evidence of employer engagement ➤ There was no evidence of a process to ensure work placements met requirements
3.1	<ul style="list-style-type: none"> ➤ Progress monitoring and reporting was undertaken ➤ Quality management systems were implemented as intended ➤ RTOs maintained communication/ liaison with all parties ➤ Course selection interviews were undertaken 	<ul style="list-style-type: none"> ➤ RTO systems/ processes did not ensure compliance
3.3	<ul style="list-style-type: none"> ➤ Clear roles, responsibilities and processes were contained in agreements ➤ Designated RTO staff were provided for VETiS coordination and support ➤ Designated school VET coordinator/s worked with RTOs ➤ Policies and procedures were developed and used for VETiS, and AQTF compliance ➤ RTO and school staff were aware of their AQTF responsibilities ➤ Processes for VETiS were deployed as agreed ➤ There was a schedule or process for monitoring compliance with auspice/partnership agreements and with the AQTF ➤ AQTF compliance requirements were articulated in VETiS agreements ➤ VETiS inductions were provided by RTOs for staff and students 	<ul style="list-style-type: none"> ➤ RTO monitoring processes did not ensure compliance ➤ Processes for VETiS were not deployed as agreed

Table 9: Common characteristics for auspice/partnership arrangements

The descriptive data for auspice/partnership arrangements revealed additional characteristics that although present for some other delivery arrangements, were not represented in high enough numbers to be included as common characteristics overall. These characteristics were identified for both compliant and non-compliant outcomes.

Additional characteristics common across auspice/partnership arrangements		Ref
Compliant	There were clear responsibilities re strategy development and industry consultation	1.2
Non-compliant	There was no quality assurance monitoring by the RTO of auspice/partnership arrangements	1.2
Compliant	Practical industry-like environments were provided by schools RTOs monitored program delivery and/or use of resources as per strategy/ agreement School and workplace capacity to deliver was validated by the RTO	1.3

Additional characteristics common across auspice/partnership arrangements		Ref
Non-compliant	There was no monitoring to ensure the requirements of the strategy and/or agreement were met Learning resources did not address the Training Package There was insufficient evidence that facilities and equipment met Training Package requirements	1.3
Compliant	There was formal confirmation by the RTO of their auspice partner's capacity to deliver or formal 'approval to deliver' for auspice trainers and assessors (1.4a) There was verification of the school's capacity to deliver or formal 'approval to deliver' forms completed for trainers and assessors re vocational competencies (1.4b) There was verification of the school's capacity to deliver or formal 'approval to deliver' forms completed for trainers and assessors re industry currency (1.4c)	1.4
Non-compliant	Vocational competencies of trainers and assessors were not validated by a vocationally competent person (1.4b) Insufficient detail was provided to confirm vocational competencies of trainers and assessors (1.4b) Industry currency had not been confirmed by a vocationally competent person (1.4c)	1.4
Compliant	Assessment plans were used (1.5a, b and c)	1.5
Non-compliant	There were inadequate (or no) assessment instruments/ processes/ RPL (1.5a, b & c) Assessment was not in accordance with the agreement or the specified tools (1.5a, b & c) Criteria used to make a judgment about competency did not relate to unit of competency requirements (1.5a, b & c) There was insufficient evidence that clustered and/or group assessments addressed the units of competency (1.5a, b & c) There was no evidence that workplace requirements were addressed (1.5c)	1.5
Compliant	Monitoring was undertaken to confirm that student needs were addressed by partners (2.1)	2.1
Compliant	AQTF compliance requirements were articulated in VETiS agreements (3.3) VETiS inductions were provided by RTOs for staff and students (3.3)	3.3

Table 10: Additional characteristics for auspice arrangements

Common characteristics or themes from descriptive data – outsourcing outcomes by Standard

Characteristics or themes that were common to the majority of compliant and non-compliant outcomes for **outsourcing arrangements** are provided in the table following. Highlighted text indicates that these characteristics had insufficient scores to feature in the common characteristics across all delivery arrangements, but were significant for this delivery arrangement.

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
1.2	<ul style="list-style-type: none"> ➤ Documented industry consultation informed training and assessment strategies ➤ Training and assessment strategies were developed by the RTO ➤ Liaison, consultation or negotiation occurred with schools on the training and assessment strategies 	<ul style="list-style-type: none"> ➤ Strategies did not meet Training Package requirements in relation to version number prerequisite units, or superseded units ➤ Assessment methods/tools were not sufficient to meet unit requirements ➤ There was insufficient evidence or no evidence of industry consultation in the development of training and assessment strategies ➤ Training and assessment strategies were not deployed or did not reflect actual practice ➤ VETiS context or student needs were not considered in the strategy
1.3	<ul style="list-style-type: none"> ➤ Training and assessment resources were provided by the RTO ➤ Practical industry-like environments were provided by the RTO ➤ Required facilities and equipment were provided by the RTO 	<ul style="list-style-type: none"> ➤ Vocational/ practical environment for assessment was not addressed ➤ Non-compliances were identified for Standard 1.4 and/or 1.5

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
1.4a	<ul style="list-style-type: none"> ➤ All trainers and assessors held the required qualification TAE40110 Certificate IV in Training and Assessment ➤ RTOs implemented a process for confirming TAE qualifications were held by trainers and assessors ➤ RTOs followed a process for verifying/ authenticating TAE qualifications 	
1.4b	<ul style="list-style-type: none"> ➤ Trainer profiles/matrices were used to capture relevant vocational competencies ➤ Evidence was provided of relevant vocational competencies ➤ Trainers and assessors held the actual units, qualifications or higher level qualifications in the same field as those they delivered ➤ RTOs implemented a process for verification/ authentication of vocational competencies 	<ul style="list-style-type: none"> ➤ The relevance of vocational qualifications and experience (held by trainers and assessors) in relation to the units being delivered had not been established
1.4c	<ul style="list-style-type: none"> ➤ Trainer profiles/matrices were used to capture industry currency ➤ RTOs implemented a process for verification/ authentication of industry currency ➤ Industry professional development was undertaken to maintain currency 	<ul style="list-style-type: none"> ➤ Incomplete or insufficient evidence of industry currency was provided for trainers and assessors
1.4d	<ul style="list-style-type: none"> ➤ Documented evidence of professional development records was provided ➤ RTOs used a systematic process for professional development of trainers and assessors ➤ Professional development was provided by the RTO for their trainers and assessors 	<ul style="list-style-type: none"> ➤ There was no evidence or insufficient evidence that professional development was provided for trainers and assessors
1.5a & b & c	<ul style="list-style-type: none"> ➤ RTOs used validated assessment instruments ➤ Assessments consisted of both theory and practical ➤ Assessments were provided by the RTO ➤ A vocational/industry environment was provided for assessment ➤ There was a structured workplace assessment component 	<ul style="list-style-type: none"> ➤ There was insufficient evidence that assessment addressed (all) the requirements of unit/s of competency ➤ Performance evidence was not collected or the majority of assessment was knowledge-based ➤ No vocational/industry environment was provided for assessment
1.5d	<ul style="list-style-type: none"> ➤ RTOs had a formal scheduled validation process ➤ There was industry input into validation 	<ul style="list-style-type: none"> ➤ There was no evidence of validation ➤ Non-compliances were incurred against 1.5a, b and/or c
2.1	<ul style="list-style-type: none"> ➤ RTOs implemented a process that identified student needs ➤ Regular communication/ reporting was occurring between the parties ➤ There were clear roles, responsibilities and procedures ➤ RTOs implemented a process that confirmed student needs were addressed 	<ul style="list-style-type: none"> ➤ There was no evidence of RTOs establishing student needs
2.3	<ul style="list-style-type: none"> ➤ There was communication/ liaison between RTOs and schools regarding information for students ➤ Provision of relevant information by RTOs occurred prior to enrolment ➤ VETiS information was provided at career events/ open days/ information sessions etc 	<ul style="list-style-type: none"> ➤ Inaccurate, insufficient or irrelevant information was provided re NRT requirements ➤ No information was provided about, or students were unaware of, the role of RTOs/ other parties

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
2.4	<ul style="list-style-type: none"> ➤ Processes for VETiS were deployed as agreed ➤ All parties were clear on processes, roles and responsibilities for work placements ➤ There was evidence of employer and/or industry engagement ➤ A process was implemented to ensure work placements met requirements ➤ There was evidence of engagement in monitoring students on work placement 	<ul style="list-style-type: none"> ➤ Processes for VETiS were not deployed as agreed
3.1	<ul style="list-style-type: none"> ➤ Progress monitoring and reporting was undertaken ➤ RTOs maintained communication/ liaison with all parties ➤ Quality management systems were implemented as intended ➤ Collection, review and action on learner feedback was occurring 	<ul style="list-style-type: none"> ➤ Training and assessment was not as required by the Training Package

Table 11: Common characteristics for outsourcing arrangements

The descriptive data for outsourcing arrangements revealed additional characteristics that although present for some other delivery arrangements, were not represented in high enough numbers to be included as common characteristics overall. These characteristics were identified for non-compliant outcomes only.

Additional characteristics common across outsourcing arrangements	
Non-compliant	<ul style="list-style-type: none"> Assessment methods/tools were not sufficient to meet unit requirements (1.2) VETiS context or student needs were not considered in the strategy (1.2)

Table 12: Additional characteristics for outsourcing arrangements

Common characteristics or themes from descriptive data – RTO Schools outcomes by Standard

Characteristics or themes that were common to the majority of compliant and non-compliant outcomes for **RTO School delivery arrangements** are provided in the table following. Where the number of non-compliances was two or less, no common characteristics have been identified. Highlighted text indicates that these characteristics had insufficient scores to feature in the common characteristics across all delivery arrangements, but were significant for this delivery arrangement.

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
1.2	<ul style="list-style-type: none"> ➤ Documented industry consultation informed training and assessment strategies ➤ Training and assessment strategies were developed by the RTO School ➤ <i>There were clear responsibilities regarding strategy development and industry consultation</i> 	<ul style="list-style-type: none"> ➤ No common characteristics
1.3	<ul style="list-style-type: none"> ➤ Training and assessment resources were provided by RTO Schools ➤ Practical industry-like environments were provided by RTO Schools ➤ Required facilities and equipment were provided by RTO Schools 	<ul style="list-style-type: none"> ➤ Non-compliances were identified for Standard 1.4 and/or 1.5

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
1.4a	<ul style="list-style-type: none"> ➤ All trainers and assessors held the required qualification TAE40110 Certificate IV in Training and Assessment ➤ RTO Schools implemented a process for confirming TAE qualifications were held by trainers and assessors ➤ RTO Schools followed a process for verifying/ authenticating TAE qualifications 	<ul style="list-style-type: none"> ➤ No common characteristics
1.4b	<ul style="list-style-type: none"> ➤ Evidence was provided of relevant vocational competencies ➤ RTO Schools implemented a process for verification/ authentication of vocational competencies ➤ Trainer profiles/matrices were used to capture relevant vocational competencies ➤ Trainers and assessors held the actual units, qualifications or higher level qualifications in the same field as those they delivered 	<ul style="list-style-type: none"> ➤ No common characteristics
1.4c	<ul style="list-style-type: none"> ➤ RTO Schools implemented a process for verification/ authentication of industry currency ➤ Trainer profiles/matrices were used to capture industry currency ➤ Trainers and assessors currently worked in industry ➤ There was evidence that currency information was updated annually 	<ul style="list-style-type: none"> ➤ No common characteristics
1.4d	<ul style="list-style-type: none"> ➤ Documented evidence of professional development records was provided ➤ RTO Schools used a systematic process for professional development of trainers and assessors ➤ Professional development was provided by RTO Schools for their trainers and assessors 	<ul style="list-style-type: none"> ➤ No common characteristics
1.5a & b	<ul style="list-style-type: none"> ➤ RTO Schools used validated assessment instruments ➤ Assessments consisted of both theory and practical ➤ Networking, validation and moderation occurred with other RTOs 	<ul style="list-style-type: none"> ➤ There was insufficient evidence that assessment addressed (all) the requirements of unit/s of competency ➤ Performance evidence was not collected or the majority of assessment was knowledge-based
1.5c	<p>As for 1.5a and b, and in addition:</p> <ul style="list-style-type: none"> ➤ Industry and/or (local) business needs were incorporated into assessments 	As for 1.5a and b
1.5d	<ul style="list-style-type: none"> ➤ RTO Schools had a formal scheduled validation process ➤ Validation was undertaken with other RTOs ➤ There was industry input into validation 	<ul style="list-style-type: none"> ➤ No common characteristics
2.1	<ul style="list-style-type: none"> ➤ Clear roles, responsibilities and procedures were articulated ➤ Regular communication/ reporting was occurring between the parties ➤ RTO Schools implemented a process that identified student needs ➤ RTO Schools implemented a process that confirmed student needs were addressed 	<ul style="list-style-type: none"> ➤ No non-compliances for RTO Schools

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
2.3	<ul style="list-style-type: none"> ➤ VETiS information was provided at career events/ open days/ information sessions etc ➤ Provision of relevant information by RTO Schools occurred prior to enrolment ➤ Student interview/ course selection process was used by RTO Schools 	<ul style="list-style-type: none"> ➤ No non-compliances for RTO Schools
2.4	<ul style="list-style-type: none"> ➤ All parties were clear on processes, roles and responsibilities for work placements ➤ There was evidence of employer and/or industry engagement ➤ A process was implemented to ensure work placements met requirements ➤ There was evidence of engagement in monitoring students on work placement 	<ul style="list-style-type: none"> ➤ No non-compliances for RTO Schools
3.1	<ul style="list-style-type: none"> ➤ Collection, review and action on learner feedback was occurring ➤ Management meetings were used for monitoring processes and outcomes ➤ Quality management systems were implemented as intended 	<ul style="list-style-type: none"> ➤ No non-compliances for RTO Schools

Table 13: Common characteristics for RTO School arrangements

The descriptive data for RTO School arrangements revealed additional characteristics that although present for some other delivery arrangements, were not represented in high enough numbers to be included as common characteristics overall. These characteristics were identified for compliant outcomes only.

Additional characteristics common across RTO School arrangements	
Compliant	<ul style="list-style-type: none"> There were clear responsibilities for strategy development and industry consultation (1.2) There was evidence that currency information was updated annually (1.4c) Networking, validation and moderation occurred with other RTOs (1.5a and b) Industry and/or (local) business needs were incorporated into assessments (1.5c) Validation was undertaken with other RTOs (1.5d)

Table 14: Additional characteristics for RTO School arrangements

Common characteristics or themes from descriptive data – SBTA outcomes by Standard

Characteristics or themes that were common to the majority of compliant and non-compliant outcomes for **SBTA arrangements** are provided in the table following. Where the number of non-compliances was two or less, no common characteristics have been identified. Highlighted text indicates that these characteristics had insufficient scores to feature in the common characteristics across all delivery arrangements, but were significant for this delivery arrangement.

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
1.2	<ul style="list-style-type: none"> ➤ Documented industry consultation informed training and assessment strategies ➤ Training and assessment strategies were developed by the RTO ➤ There was regular contact by RTOs with schools and/or learners 	<ul style="list-style-type: none"> ➤ Strategies did not meet Training Package requirements in relation to version number prerequisite units, or superseded units

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
1.3	<ul style="list-style-type: none"> ➤ Practical industry-like environments were provided by RTOs and schools ➤ Required facilities and equipment were provided by RTOs ➤ School and workplace capacity to deliver was validated by RTOs ➤ Learners participated in real work/ events/ activities 	<ul style="list-style-type: none"> ➤ Non-compliances were found for Standard 1.4 and/or 1.5 ➤ Delivery and/or assessment did not meet the training and assessment strategies ➤ There was no workplace check of facilities or capacity to train
1.4a	<ul style="list-style-type: none"> ➤ All trainers and assessors held the required qualification TAE40110 Certificate IV in Training and Assessment ➤ RTOs implemented a process for confirming TAE qualifications were held by trainers and assessors ➤ RTOs followed a process for verifying/ authenticating TAE qualifications 	<ul style="list-style-type: none"> ➤ No non-compliances for SBTA arrangements
1.4b	<ul style="list-style-type: none"> ➤ Trainers and assessors held the actual units, qualifications or higher level qualifications in the same field as those they delivered ➤ Evidence was provided of relevant vocational competencies ➤ Trainer profiles/matrices were used to capture relevant vocational competencies ➤ RTOs implemented a process for verification/ authentication of vocational competencies 	<ul style="list-style-type: none"> ➤ The relevance of vocational qualifications and experience (held by trainers and assessors) in relation to the units being delivered had not been established
1.4c	<ul style="list-style-type: none"> ➤ Trainer profiles/matrices were used to capture industry currency ➤ Industry professional development was undertaken to maintain currency ➤ RTOs implemented a process for verification/ authentication of industry currency 	<ul style="list-style-type: none"> ➤ No common characteristics
1.4d	<ul style="list-style-type: none"> ➤ Documented evidence of professional development records was provided ➤ RTOs used a systematic process for professional development of trainers and assessors ➤ Professional development was provided by RTOs for their trainers and assessors 	<ul style="list-style-type: none"> ➤ No non-compliances for SBTA arrangements
1.5a & b & c	<ul style="list-style-type: none"> ➤ RTOs used validated assessment instruments ➤ There was a structured workplace assessment component ➤ Assessments consisted of both theory and practical ➤ Assessments were provided by RTOs or developed with their partner schools ➤ A vocational/industry environment was provided for assessment 	<ul style="list-style-type: none"> ➤ There was insufficient evidence that assessment addressed (all) the requirements of unit/s of competency ➤ Performance evidence was not collected or the majority of assessment was knowledge-based ➤ Assessment records were compromised – some not marked or missing or none available
1.5d	<ul style="list-style-type: none"> ➤ RTOs had a formal scheduled validation process ➤ Pre- and post-assessment validation was undertaken ➤ There was industry input into validation 	<ul style="list-style-type: none"> ➤ Validation was ad hoc rather than systematic ➤ Validation was undertaken but did not identify non-compliances ➤ Non-compliances were incurred against 1.5a, b and/or c
2.1	<ul style="list-style-type: none"> ➤ Regular communication/ reporting was occurring between the parties ➤ RTOs implemented a process that identified student needs 	<ul style="list-style-type: none"> ➤ No non-compliances for SBTA arrangements

#	Characteristics of compliant outcomes	Characteristics of non-compliant outcomes
2.3	<ul style="list-style-type: none"> ➤ There was communication/ liaison between RTOs and schools regarding information for students ➤ VETiS information was provided at career events/ open days/ information sessions etc ➤ Provision of relevant information by RTOs occurred prior to enrolment 	<ul style="list-style-type: none"> ➤ No common characteristics
2.4	<ul style="list-style-type: none"> ➤ There was evidence of employer and/or industry engagement ➤ All parties were clear on processes, roles and responsibilities for work placements ➤ A process was implemented to ensure work placements met requirements ➤ There was evidence of engagement in monitoring students on work placement 	<ul style="list-style-type: none"> ➤ There was no evidence of employer engagement
3.1	<ul style="list-style-type: none"> ➤ Progress monitoring and reporting was undertaken ➤ Collection, review and action on learner feedback was occurring ➤ Quality management systems were implemented as intended 	<ul style="list-style-type: none"> ➤ No common characteristics
3.3	<ul style="list-style-type: none"> ➤ No common characteristics 	<ul style="list-style-type: none"> ➤ No common characteristics

Table 15: Common characteristics for SBTA arrangements

The descriptive data for SBTA arrangements revealed additional characteristics that although present for some other delivery arrangements, were not represented in high enough numbers to be included as common characteristics overall. These characteristics were identified for both compliant and non-compliant outcomes.

Additional characteristics common across SBTA arrangements		Ref
Compliant	School and workplace capacity to deliver was validated by RTOs	1.3
Non-compliant	There was no workplace check of facilities or capacity to train	1.3
	Assessment validation was ad hoc rather than systematic (1.5d)	1.5

Table 16: Additional characteristics for SBTA arrangements

Appendix F: Key Stakeholder summary of responsibilities

<p>School Curriculum and Standards Authority</p>	<p>The School Curriculum and Standards Authority is an independent statutory authority and is responsible for:</p> <ul style="list-style-type: none"> • setting standards of student achievement and for the assessment and certification of student achievement according to those standards • developing an outline of curriculum and assessment in schools that, taking account of the needs of students, sets out the knowledge, understanding, skills, values and attitudes that students are expected to acquire and guidelines for the assessment of student achievement • developing and accrediting courses for schools • maintaining a database of information relating to <ul style="list-style-type: none"> • the participation by students during their school years in education, training or employment as provided by the School Education Act • the achievement of students during those years • records of assessment in respect to students.
<p>Department of Education</p>	<p>The Department of Education has responsibility for providing public school education on behalf of the State Government. It also provides staff for community kindergartens and supports their operations through an annual operating grant. Under the School Education Act 1999, the Department is also responsible for registering providers of home education and for evaluating the educational program and educational progress of each home-educated child.</p>
<p>Association of Independent Schools of Western Australia</p>	<p>AISWA was established in 1962 as a non-profit organisation to support, represent and promote the interests of Independent Schools. AISWA is incorporated under the Industrial Relations Act. AISWA's constituent members include over one hundred and fifty five Independent Schools including those of two Independent School systems. Its member schools educate over 75,000 students and employ over 5,500 teaching and over 3,500 non-teaching staff.</p>
<p>Catholic Education Office of Western Australia</p>	<p>The Catholic Education system in Western Australia provides a dynamic, student centred approach to education for more than 73,000 young people in 161 schools and colleges across the state. With a focus on the development of the whole person - intellectual, spiritual, social, physical and emotional development - Catholic Education is the state's second largest education sector, educating some 18% of all school-aged children in Western Australia.</p>
<p>Department of Training and Workforce Development</p>	<p>The Department of Training and Workforce Development, in addition to its vital training role, now has a much broader responsibility which includes a focus on workforce development. Workforce development aims to build, attract and retain a skilled workforce to meet the economic needs of Western Australia, to minimise skill shortages and maximise the State's ability to respond to new opportunities. The Department will work with industry, the community and Government to build a workforce which is productive, inclusive, efficient and mobile.</p>

Attachment 1: Extract from AQTF Audit Handbook 2010

SECTION 8 TERMINOLOGY (page 49)

Non-compliance

The requirements of the *AQTF Essential Conditions and Standards for Initial Registration* or *AQTF Essential Conditions and Standards for Continuing Registration* have not been met, based on the evidence reviewed. There are three categories of non-compliance, each explained below.

Minor non-compliance

The requirements of the *AQTF Essential Conditions and Standards for Initial Registration* or *AQTF Essential Conditions and Standards for Continuing Registration* have not been met based on the evidence reviewed, but there is no or minor adverse impact on learners and/ or other consumers of goods and services produced in the training environment or the current (or future) workplace.

Significant non-compliance

The requirements of the *AQTF Essential Conditions and Standards for Initial Registration* or *AQTF Essential Conditions and Standards for Continuing Registration* have not been met based on the evidence reviewed, and there are indications of a significant adverse impact on learners and/ or other consumers of goods and services produced in the training environment or the current (or future) workplace.

Critical non-compliance

The requirements of the *AQTF Essential Conditions and Standards for Initial Registration* or *AQTF Essential Conditions and Standards for Continuing Registration* have not been met based on the evidence reviewed and there is a critical adverse impact on learners and/ or consumers of goods and services produced in the training environment or the current (or future) workplace.

Attachment 2: Initial survey of RTOs

The following is a modified extract from the letter sent to RTOs on 20 March 2014 advising that they had been selected to participate in the SIA (with identifying names removed):

Notification of participation in the Strategic Industry Audit of VET in Schools (VETiS) delivery within Western Australia.

In February 2014, the TAC Secretariat requested that you complete a short survey to identify your VETiS delivery arrangements for a selected group of qualifications. The survey was conducted as part of stage one of the VETiS Strategic Industry Audit (SIA) to assist in determining the sample of qualifications and RTOs to be audited.

The TAC Secretariat wishes to advise that <<RTO name>> has been selected to participate in the VETiS SIA and will be audited for the following qualification/s and delivery arrangements:

Qualification	Delivery Arrangement
<< >> Certificate II in <<>>	<<One of four>>

To assist with the conduct of the SIA, you are requested to confirm the information listed above is current and if you have any conflicts of interest with any of the following auditors **by Friday 28 March 2014** to the VETiS SIA Project Manager.

Should you have a conflict of interest, please ensure you state the nature of the conflict to assist in the allocation of auditors.

- <<List of auditors>>

Please note the following criteria when providing confirmation:

- where the delivery arrangement is auspice/partnership you have a current auspice or partnership arrangement in place for the qualification and listed school;
- where the delivery arrangement is fee-for-service/profile you are currently delivering the qualification to VETiS students;
- where the delivery arrangement is school based traineeship/apprenticeship (SBT/A) you currently deliver to students from the listed school within these arrangements;
- where the delivery arrangement is RTO School you are currently delivering the qualification to your internal students.

It is anticipated that audits will be conducted during May – June 2014 with your Registration Officer contacting you in the coming months to advise of your allocated auditor. As per normal audit processes, the auditor will liaise with you directly to organise a mutually suitable audit date. Due to tight project timeframes all audits will be completed by 30 June 2014, with any rectification audits being completed outside of this time.

Where an off-site visit to a school is required, it is the responsibility of the RTO to organise the visit time, seek permission from the principal for the auditor to attend the school premises and have staff and students available for the auditor to observe and interview.

If you have any questions please do not hesitate to contact the Manager Regulation (VET Compliance).

Attachment 3: Pre-audit evidence requested from RTOs

VET in Schools Strategic Industry Audit (VETiS SIA)

List of Evidence to be Submitted for Audit

When is my evidence due?

Evidence is to be submitted no later than **4.30pm, 11 April 2014**.

What evidence am I required to send?

While you are requested to submit evidence for two units of competency per qualification (as listed in the covering letter), the auditor will review other units at your site visit. Please ensure that evidence for all units of competency is available to the Auditor during the site visit.

For the units of competency outlined in the covering letter, you are required to submit the following evidence:

	RTO checklist
<p>Overview of RTO</p> <p>Please provide a summary of the RTO including:</p> <ul style="list-style-type: none"> • Organisational Chart • A brief, general description of the operations, including a summary of delivery areas and core business, the length of time the RTO has been in operation and if the RTO receives public funding • Names of RTO staff with VETiS responsibility, including position titles and descriptions (duties/responsibilities) • Enrolment numbers against each qualification related to this audit • Evidence of compliance with Working with Children and/or any other legislation that is applicable to the training and assessment for this audit 	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>AQTF Standard 1.2</p> <ul style="list-style-type: none"> • Strategy for training and/or assessment for each qualification demonstrating how the requirements of the Training Package are met • Evidence of industry consultation in relation to the development of the strategy (ies) • Student/Trainer (supervision ratios) if relevant for each qualification. 	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>AQTF Standard 1.3</p> <ul style="list-style-type: none"> • For each VET in Schools delivery arrangement, details and evidence of the facilities, training materials and equipment the RTO has in place, or access to, demonstrating the capacity for the delivery and assessment of the requested qualification consistent with the requirements of the Training Package, as well as the RTO's own training and assessment strategy. • For auspice arrangements, list the sites training is being conducted. • Timetables/schedules for each qualification and delivery site 	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>

When does the audit commence?

Due to the scope and size of the SIA your audit will commence from the date your evidence is received by the Training Accreditation Council (TAC) Secretariat. Once received, TAC Secretariat staff will forward your evidence directly to your assigned Auditor.

How do I submit my evidence and who do I send my evidence to?

Evidence is to be submitted electronically via email (max 5MB) to the SIA Project Officer, Angela Hollingsworth, angela.hollingsworth@des.wa.gov.au, via file sharing technology (eg., Dropbox), or electronic storage media (eg., USB drive). If evidence is submitted via electronic storage media, please send by post to: Attention Angela Hollingsworth, Training Accreditation Council Secretariat, PO Box 1766, Osborne Park 6916.