



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

Audit Date: 26, 28 July 2016

RTO: 21622 Warner Institute

| Applicant Details | | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|-----------------|----------------------------------------------------------------------------------|
| Applicant Name | Warner Institute | TOID | 21622 |
| Address | 238 The Esplanade, Brighton, VIC, 2186 | | |
| | Website | | |
| Registration Contact | Jania Warner, CEO | | |
| Phone Number | 03 9555 9100 0438 743 179 | Email | janias@warnergroup.com.au |
| Audit Team | | | |
| Audit Firm | Quorum QA Australia Pty Ltd | Auditor/s | Virginia Fenelon |
| Auditor/s | NA | Other Attendees | NA |
| Registering Body Details | | | |
| Contact Person | Simon Thom | | |
| Phone Number | 9032 1562 | Email | vet.audit@edumail.vic.gov.au |
| Audit Details | | | |
| Type of Audit | Extension to Scope Audit | | |
| Conditions Audited | 3, 8 | | |
| Standards Audited | 1.2, 1.3, 1.4, 1.5 | 2.4 | |
| 2016 VRQA Guidelines Audited | 3.1, 3.2, | 4.1, 4.2, | |
| Audit Date/s | 26/7/16 – site audit, 28/7/16 – desk audit to complete review of evidence. | | |
| RTO Background | | | |
| <p>Warner Institute has been an RTO since 2005. The initial programs were based in local government for staff working as Local Law Officers; the RTO now trains in this area across the State. All training is face-to-face. The RTO also trains in the Community Health Care area and it is committed to bringing the right people into the aged care and disability sector industry and to training in-house staff for aged care and disability organisations.</p> <p>Originally the RTO only worked directly with employer organisations with on-site training, but they now have general public students at the Certificate III level in aged care and disability support programs across Victoria. They hire appropriate facilities that can provide training environments, for example, nursing laboratories, as required for this public training. The RTO has a relationship with Job Active agencies to identify and train students in these Certificate III programs. Close to 100% of Certificate III graduates are offered jobs, 70% of these are from their placements during training. Only a few trainees are enrolled – these are in Bendigo through the local council.</p> <p>The RTO stresses that they have a commitment to high quality learning and assessment and trainers are selected on the basis of their ability to support the business ethics of the RTO.</p> | | | |

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| Qualifications/Units Audited ¹ | | |
|----------------------------------------------------|-----------------------------------------------------------------|-------------------------|
| QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE | | |
| TGA Code | Qualification/Unit of Competence/Accredited Course (as per TGA) | Delivery Site |
| CHC33015 | Certificate III in Individual Support (Home and Community) | Various across Victoria |
| CHC43015 | Certificate IV in Ageing Support | Workplace |
| CHC43115 | Certificate IV in Disability | Workplace |

| Interviewee(s) – Staff name and position; employer name and position | |
|----------------------------------------------------------------------|-------------------|
| Jania Warner | Managing Director |
| Rhonda Hawke | Education Manager |
| Donna Reis | Program Director |

| Permanent Delivery Sites – | Yes | No |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| Do the RTO's permanent delivery sites match the information provided by the VRQA? | X | |
| Head office details are the same. No training takes place at the head office as all training is either in the workplace or at hired sites across Victoria – currently 12 hired sites. | | |

| Third party Arrangements – | Yes | No |
|-----------------------------------------------------------------------------------|-----|----|
| Do the RTO's third party arrangements match the information provided by the VRQA? | X | |
| No third party arrangements | | |

¹ Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

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Audit Summary - AQTF Conditions of Registration

| AQTF Conditions | | Compliant | Non - Compliant | Not audited |
|-----------------------------------------------|----------------------------------------------------------------------|-----------|-----------------|-------------|
| 1 | Governance | | | X |
| 2 | Interactions with the Registering Body | | | X |
| 3 | Compliance with Legislation | X | | |
| 4 | Insurance | | | X |
| 5 | Financial Management | | | X |
| 6 | Certification & Issuing of Qualifications & Statements of Attainment | | | X |
| 7 | Recognition of Qualifications Issued by other RTOs | | | X |
| 8 | Accuracy and Integrity of Marketing | X | | |
| 9 | Transition to Training Packages/Expiry of Accredited Courses | | | X |
| Summary of Non-Compliance² | | | | |
| No non-compliances in the Conditions audited. | | | | |

² CF = Condition Finding. Finding references are aligned to the Detailed Findings section of this report.

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Audit Summary - AQTF Standards

| AQTF Standards/Elements | Compliant | Non - Compliant | Not audited |
|--------------------------------------------------------------------------------------------------------------------|-----------|-----------------|-------------|
| Standard 1 | X | | |
| 1.1 – Continuous Improvement Strategy | | | X |
| 1.2 – Training and Assessment Strategies | X | | |
| 1.3 – Training and Assessment Resources | X | | |
| 1.4 – Trainer and Assessor Competency | X | | |
| 1.5 – Assessment Strategies | | X | |
| Standard 2 | X | | |
| 2.1 – Meeting the Needs of Clients | | | X |
| 2.2 – Continuous Improvement of Client Services | | | X |
| 2.3 – Provision of Information to Clients | | | X |
| 2.4 – Third-Party Engagement in Training and Assessment | X | | |
| 2.5 – Provision of Support Services to Clients | | | X |
| 2.6 – Learner Access to Records of Participation | | | X |
| 2.7 – Complaints and Appeals Strategy | | | X |
| Standard 3 | X | | |
| 3.1 – Operations Management | | | X |
| 3.2 – Continuous Improvement of Operations | | | X |
| 3.3 – Third-Party Training and/ or Assessment Services | | | X |
| 3.4 – Records Management | | | X |
| Summary of Non-Compliance³ | | | |
| SF.1.5.1 | | | |
| The RTO has an RPL template but it was not developed into a RPL tool for each of the three Qualifications audited. | | | |
| Strengths | | | |
| The RTO has strong processes and resources that support its commitment to quality training. | | | |

³ SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.

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Audit Summary – 2016 VRQA Guidelines for VET Providers

| 2016 VRQA Guidelines | Compliant | Non - Compliant | Not audited |
|-----------------------------------------------------------------------------------------------------------------|-----------|-----------------|-------------|
| 1. Governance, Financial viability and Management systems | | | |
| 1.1 – Strategic Plan and Business Plan | | | X |
| 1.2 – Financial Viability | | | X |
| 1.3 – Management Systems | | | X |
| 1.4 – Governance | | | X |
| 2. Transparency and oversight of third parties | | | |
| 2.1 – Third party agreement | | | X |
| 2.2 – Co-operation with VRQA | | | X |
| 2.3 – Notifying VRQA of Third party agreements | | | X |
| 2.4 – Information - Disclosure of third party services | | | X |
| 2.5 – Pre-enrolment materials - Disclosure of third party services | | | X |
| 2.6 – Changes to third party services | | | X |
| 2.7 – Complaints - Third party services | | | X |
| 2.8 – Appeals - Third party services | | | X |
| 3. Trainer and assessor qualification (including individuals working under the supervision of a trainer) | X | | |
| 3.1 – Vocational & Industry skill requirements | X | | |
| 3.2 – Training and Assessment (TAE) skill requirements | X | | |
| 3.3 – Assessment only skill requirements | | | X |
| 3.4 – Supervision arrangement requirements | | | X |
| 3.5 – Trainer under supervision skill requirements | | | X |
| 4. Delivery of training and assessment services | X | | |
| 4.1 – Training and assessment practices | X | | |
| 4.2 – Amount of training | X | | |
| 4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes | | | X |
| 4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016) | | | X |
| 4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards) | | | X |
| 4.6 – TAE – Trainer under supervision requirements | | | X |

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| | | | |
|----------------------------------------|--|--|---|
| 4.7 – TAE – Registration requirements | | | X |
| 5. Annual Declaration of Compliance | | | |
| 5.1 – Annual Declaration of Compliance | | | X |

Summary of Non-Compliance⁴

There were no non-compliances in the VRQA Guidelines audited.

⁴ GF = Guideline Finding. Finding references are aligned to the Detailed Findings section of this report.



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Detailed Findings - AQTF Conditions of Registration

| CONDITION 3 - Compliance with Legislation | | | Compliant |
|-------------------------------------------|---------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| CF.3.1 | Finding | Evidence/Documentation Reviewed | Required Rectification(s) |
| Compliant | | <ul style="list-style-type: none"> Participant Handbook Staff Handbook Use of Guiding Legislation, Standards and Ethical Policy and Procedure Record of legislation, standards and guidelines. 2016 Program Manager Update and VET Training PD Session notes (held Dec 2015) and list of attendees. Training and assessment strategies CHC33015 Certificate III in Individual Support (Home and Community) CHC43015 Certificate IV in Ageing Support CHC43115 Certificate IV in Disability | NA |



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| CONDITION 8 - Accuracy and Integrity of Marketing | | Compliant |
|----------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| CF.8.1 | Finding | Required Rectification(s) |
| Compliant | <p>Evidence/Documentation Reviewed</p> <ul style="list-style-type: none"> • Ethical Marketing and Brand Guide Policy • Marketing Materials Checklist • Website viewed 25/07/2016 • Participant Welcome Pack • Draft Information Packs – CHC 43015 Certificate IV in Aging Support and CHC33015 Certificate III in Individual Support (Home and Community) • Two sample signed student media release forms | NA |

Detailed Findings - AQTF Standards

| ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry. | | Compliant |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| SF.1.2.1 Finding | Evidence/Documentation Reviewed | Required Rectification(s) |
| Compliant | <p>CHC33015 Certificate III in Individual Support (Home and Community)</p> <p>CHC43015 Certificate IV in Ageing Support</p> <p>CHC43115 Certificate IV in Disability</p> <ul style="list-style-type: none"> • Training and assessment strategies • Program Packs • Pre-session work • Session plans • Assessment Packs • Hitting the Target sheet (personal goals and workplace project) • Consultation with industry records – South Gippsland Shire Council, May 17, 2016; Latrobe City Council, May 18, 2016; Weary Dunlop Village, June 6, 2016 • Diary entries for industry consultation meeting with Kay Jellis, Latrobe City Council, May 18 2016 | NA |



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| ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies. | Required Rectification(s) | Compliant |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| SF.1.3.1 Finding | Evidence/Documentation Reviewed | Required Rectification(s) |
| Compliant | <p>Venues</p> <ul style="list-style-type: none"> • Training venue selection policy, procedure and process • Current program venue list • Venue checklists • Sampled venue hire agreement forms x 3 • List of approved Laboratories Locations- (2016 Individual Support programs) • Photos of venues <p>Learning and assessment materials</p> <ul style="list-style-type: none"> • Program Manager Handbooks • Program Packs • Assessment Packs • Workplace supervisors information packs • Induction PPT Certificate III and IV programs • Stick With It (study support guide) • Pre-session worksheets • Session News | <p>NA</p> |

| | | |
|--|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| | <ul style="list-style-type: none"> • Take-Aways activity sheet – reinforcement of learning activities • Training plan template • Memorandum of Understanding (Host Employers) • Practical Work Place Agreement • Timesheets Practical Placement records • Workplace Observation Records (Assessor and Supervisor) • Workplace Learning Journals <p>Staff files</p> <ul style="list-style-type: none"> • Donna Reis • Jane Allen-Mountford • Angel Marks Bolton • Rowena Tedesco | |
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| ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who: 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. | Compliant |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| SF.1.4.1 Finding | Required Rectification(s) |
| <p>Compliant</p> <p>Evidence/Documentation Reviewed</p> <p>Staff files</p> <ul style="list-style-type: none"> • Donna Reis • Jane Allen-Mountford • Angel Marks Bolton • Rowena Tedesco <ul style="list-style-type: none"> ○ CVs ○ Trainer mapping matrices ○ Qualifications ○ Professional development logs • 2016 Program Manager Update and VET Training PD Session notes (held Dec 2015) and list of attendees | <p>NA</p> |



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| ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL): 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. | | Non-Compliant |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| SF.1.5.1 Finding | Evidence/Documentation Reviewed | Required Rectification(s) |
| The RTO has an RPL template, but it was not developed into a RPL tool for each of the three Qualifications audited. | <p>CHC33015 Certificate III in Individual Support (Home and Community)</p> <ul style="list-style-type: none"> <i>CHCHS001 Provide home and community support services</i> <i>HL TAAP001 Recognise healthy body systems</i> <p>CHC43015 Certificate IV in Ageing Support</p> <ul style="list-style-type: none"> <i>CHCAGE002 Implement falls prevention strategies</i> <i>CHCAGE004 Implement interventions with older people at risk</i> <p>CHC43115 Certificate IV in Disability</p> <ul style="list-style-type: none"> <i>CHCADV001 Facilitate the interests and rights of clients</i> <i>CHCLEG003 Manage legal and ethical compliance</i> <ul style="list-style-type: none"> • Assessment tools <ul style="list-style-type: none"> ○ Student information ○ Cover sheets | <p>The RTO is required to provide evidence that it has prepared RPL tools for:</p> <ul style="list-style-type: none"> • CHC33015 Certificate III in Individual Support (Home and Community) • CHC43015 Certificate IV in Ageing Support • CHC43115 Certificate IV in Disability |



| | | |
|--|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| | <ul style="list-style-type: none"> ○ Tasks ○ Record sheets ○ Assessor marking guides ● Assessment (including RPL) Policy, Process and Procedure ● Recognition of prior learning policy ● Validation & Moderation Policy, Process & Evidence ● Validation Schedule and Plan: CHC33015 Certificate III in Individual Support (Home and Community), CHC43015 Certificate IV in Ageing Support, CHC43115 Certificate IV in Disability, 2016–2020 ● RPL tool prepared for a partial RPL of superseded Qualification | |
|--|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|

Improvement Opportunities

1. Review all knowledge assessment question tasks within the units audited (except for *HLTAAP001 Recognise healthy body systems*) to ensure that there is minimal, if any, overlap of knowledge assessment with the aim of reducing the number of assessment tasks.
2. Consider the opportunities to map further practical observations for *CHCHS001 Provide home and community support services* to practical observations made in other units.
3. Customise types of assessment modes in the student instructions within assessment tools to identify the specific modes used for each assessment tool.

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| 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. | Evidence/Documentation Reviewed | Required Rectification(s) | Compliant |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|-----------|
| SF.2.4.1 Finding Compliant | Evidence/Documentation Reviewed <ul style="list-style-type: none"> • Interview with Jania Wamer, Rhonda Hawke and Donna Reis re the RTO's training and assessment model • Memorandum of Understanding (Host Employers) • Workplace supervisors' information packs • Practical Work Place Agreement • Timesheets Practical Placement records • Workplace Observation Records (Assessor and Supervisor) • Workplace Learning Journals | NA | Compliant |



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Detailed Findings – 2016 VRQA Guidelines for VET Providers

| GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have: | Compliant |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p> | |
| GF.3.1.1 Finding | Required Rectification(s) |
| <p>Compliant</p> <p>Evidence/Documentation Reviewed</p> <p>Staff files</p> <ul style="list-style-type: none"> • Donna Reis • Jane Allen-Mountford • Angel Marks Bolton • Rowena Tedesco <ul style="list-style-type: none"> ○ CVs ○ Trainer mapping matrices ○ Qualifications ○ Professional development logs | <p>NA</p> |



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| GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines. | Finding | Evidence/Documentation Reviewed | Required Rectification(s) | Compliant |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|-----------|
| GF.3.2.1 | Compliant | Staff files <ul style="list-style-type: none"> • Donna Reis • Jane Allen-Mountford • Angel Marks Bolton • Rowena Tedesco | NA | |



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| GF.4.1.1 Finding | Evidence/Documentation Reviewed | Required Rectification(s) | Compliant |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|------------------|
| <p>GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</p> <p>Compliant</p> | <p>CHC33015 Certificate III in Individual Support (Home and Community) CHC43015 Certificate IV in Ageing Support CHC43115 Certificate IV in Disability</p> <ul style="list-style-type: none"> • Training and assessment strategies • Program Packs • Pre-session work • Session plans • Assessment Packs • Workplace observation records • Hitting the Target sheet (personal goals and workplace project) | <p>NA</p> | <p>Compliant</p> |



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| GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to: | Evidence/Documentation Reviewed | Required Rectification(s) | Compliant |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| a) the existing skills, knowledge and the experience of the student; b) the mode of delivery; and c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification. | GF.4.2.1 Finding Compliant | CHC33015 Certificate III in Individual Support (Home and Community) CHC43015 Certificate IV in Ageing Support CHC43115 Certificate IV in Disability <ul style="list-style-type: none"> • Training and assessment strategies • Program Packs • Pre-session work • Session plans • Assessment Packs • Workplace observation records • Hitting the Target sheet (personal goals and workplace project) | NA |



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Type of Audit: Extension to Scope

Audit summary

AQTF Conditions

| Conditions of Registration | | Compliant | Non-compliant | Not audited |
|----------------------------|----------------------------------------------------------------------|-----------|---------------|-------------|
| 1 | Governance | | | X |
| 2 | Interactions with the Registering Body | | | X |
| 3 | Compliance with Legislation | X | | |
| 4 | Insurance | | | X |
| 5 | Financial Management | | | X |
| 6 | Certification & Issuing of Qualifications & Statements of Attainment | | | X |
| 7 | Recognition of Qualifications Issued by other RTOs | | | X |
| 8 | Accuracy and Integrity of Marketing | X | | |
| 9 | Transition to Training Packages/Expiry of Accredited Courses | | | X |

AQTF Standards

| Standards | | Compliant | Non-compliant | Not audited |
|-----------|-----------------------------------------------------------------------------------------------------------------------------------------|-----------|---------------|-------------|
| 1 | The RTO provides quality training and assessment across all of its operations | | | |
| | 1.1 Not audited | | | X |
| | 1.2 Training and assessment strategies | X | | |
| | 1.3 Resources | X | | |
| | 1.4 Trainers and assessors | X | | |
| | 1.5 Assessment materials | | X (RPL) | |
| 2 | The RTO adheres to principles of access and equity and maximises outcomes for its clients | | | |
| | 2.1 Not audited | | | X |
| | 2.2 Not audited | | | X |
| | 2.3 Not audited | | | X |
| | 2.4 Engagement of employers and other parties. | | | X |
| | 2.5 Not audited | | | X |
| | 2.6 Not audited | | | X |
| | 2.7 Not audited | | | X |
| 3 | Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates | | | |
| | 3.1 Not audited | | | X |
| | 3.2 Not audited | | | X |
| | 3.3 Third parties | | | X |



| | | | | |
|--|-----------------|--|--|---|
| | 3.4 Not audited | | | x |
|--|-----------------|--|--|---|

VRQA Guidelines 2016

| | Guideline | Compliant | Non-compliant | Not audited |
|----------|----------------------------------------------------------------------------------------------------------------------------|-----------|---------------|-------------|
| 1 | Governance, financial viability and management systems | | | |
| | 1.1 Not audited | | | X |
| | 1.2 Not audited | | | X |
| | 1.3 Not audited | | | X |
| | 1.4 Not audited | | | X |
| 2 | Transparency and oversight of third parties | | | |
| | 2.1 Third party – written agreement | | | X |
| | 2.2 Third party – co-operation with VRQA | | | X |
| | 2.3 Not audited | | | X |
| | 2.4 Third party information – accurate and factual | | | X |
| | 2.5 Third party – details for students | | | x |
| | 2.6 Not audited | | | X |
| | 2.7 Not audited | | | X |
| | 2.8 Not audited | | | X |
| 3 | Trainer and assessor qualification (including individuals working under the supervision of a trainer) | | | |
| | 3.1 Vocational competencies, current industry skills and current knowledge and skills in vocational training and learning. | X | | |
| | 3.2 Trainer training qualification | X | | |
| | 3.3 Assessment only qualification | | | X |
| | 3.4 Supervision of an unqualified trainer | | | X |
| | 3.5 Individual working under supervision: training skill set, vocational competencies and current industry skills | | | X |
| 4 | Delivery of training and assessment services | | | |
| | 4.1 Training and assessment strategies and practices | X | | |
| | 4.2 Amount of training | X | | |
| | 4.3 Not audited | | | X |
| | 4.4 Not audited | | | X |
| | 4.5 Not audited | | | X |
| | 4.6 Not audited | | | X |
| | 4.7 Not audited | | | X |
| 5 | Annual declaration of compliance | | | |
| | 5.1 | | | X |

Opportunities for Improvement

Review all knowledge assessment question tasks within the units audited (except for *HLTAAP001 Recognise healthy body systems*) to ensure that there is minimal, if any, overlap of knowledge assessment with the aim of reducing the number of assessment tasks.
Consider the opportunities to map further practical observations for *CHCHS001 Provide home and community support services* to practical observations made in other units.

RTO Response: