



## Audit report – VET Quality Framework

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

#### ORGANISATION DETAILS

|                           |  |
|---------------------------|--|
| Organisation's legal name | <b>Kool Kids training College Pty Ltd atf Kool Kids Training College Trust</b> |
| Trading name/s            | na   |
| RTO number                | 40636  |
| CRICOS number             | na   |

#### AUDIT TEAM

|                     |                 |
|---------------------|-----------------|
| Lead auditor        | Mark Shrubshall |
| Auditor/s           | na              |
| Technical adviser/s | na              |

#### AUDIT DETAILS

|                                  |   |                               |
|----------------------------------|---|-------------------------------|
| Application number/s             | na  |                               |
| Audit number/s                   | 1003322                                   |                               |
| Audit reason 1                   | Post initial                              |                               |
| Audit reason 2                   | n/a                                       |                               |
| Audit reason 3                   | n/a                                       |                               |
| Activity type                    | Site visit                                |                               |
| Address of site/s visited        | 104 Queen Street Sothport Qld 4215        |                               |
| Date/s of audit                  | 9/4/2014                                  |                               |
| Organisation's contact for audit | Bruce Coulson<br>bruces@koolkids.com.au   | Chief Executive<br>0755325601 |
| NVR standards audited            | All Standards for Continuing Registration |                               |

#### BACKGROUND

Kool Kids Training College Pty Ltd atf Kool Kids Training College Trust provides training and assessment of childcare qualifications for their own company and for external childcare providers.

The organisational structure consists of Chief Executive Officer, Commercial Manager, Training Manager, Trainers/Assessors and admin staff.

The organisation does not have any significant partnerships

Core clients consist of new entrants to the childcare industry, existing employees wishing to upgrade and



those returning to the workforce.

Delivery is based in Queensland.

Revenue sources targeted consist of fee for service, user choice and certificate III guarantee program.

Total number of current enrolments in organisation as at audit date is 157

| <b>AUDIT SAMPLE</b> |   |                                       |   |
|---------------------|---|---------------------------------------|---|
| <b>Code</b>         | <b>Qualification/Course/Unit name</b>                 | <b>Mode/s of delivery/assessment*</b> | <b>Current enrolments<br/>(If not yet on scope, record N/A)</b> |
| CHC30113            | Certificate III in Early Childhood Education and Care | Face to Face/Distance                 | 99  |
| CHC50113            | Diploma of early Childhood Education and Care         | Face to Face/Distance                 | 58  |

\*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

| <b>INTERVIEWEES</b> |                         |   |
|---------------------|-------------------------|---|
| <b>Name</b>         | <b>Position</b>         | <b>Qualification/Course/Unit code/s</b> |
| Bruce Coulson       | Chief Executive Officer | na                                      |
| Sam Hendry          | Commercial Director     | na                                      |
| Deanne Mchally      | Manager                 | na                                      |

| <b>ORIGINAL AUDIT FINDING AT TIME OF AUDIT</b>   |
|--|
| <b>Audit finding as at 09/04/2014: Significant non-compliance</b>  |
| <ul style="list-style-type: none"> <li>• The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.</li> <li>• If non-compliance has been identified, this audit report describes evidence of the non-compliance.</li> <li>• Refer to notification of non-compliance for information on providing further evidence of compliance.</li> </ul> |

| <b>AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE</b>                                |
|--|
| <b>Audit finding following analysis of additional evidence provided on 23/05/2014: Compliant</b> |

| <b>AUDIT FINDING BY STANDARD</b> |                         |  |
|----------------------------------|-------------------------|--|
| <b>Standard</b>                  | <b>Original finding</b> | <b>Finding following rectification</b> |
| SNR 15                           | Not compliant           | Compliant                              |
| SNR 16                           | Compliant               | n/a                                    |
| SNR 17                           | Compliant               | n/a                                    |



|            |               |           |
|------------|---------------|-----------|
| SNR 18     | Not compliant | Compliant |
| SNR 19     | Compliant     | n/a       |
| SNR 20     | Compliant     | n/a       |
| SNR 21     | Compliant     | n/a       |
| SNR 22     | Not compliant | Compliant |
| SNR 23/AQF | Compliant     | n/a       |
| SNR 24     | Compliant     | n/a       |
| SNR 25     | Compliant     | n/a       |



**SNR 15 The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:**

**15.1 The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.**

**Original finding:** Compliant

**Following rectification:** n/a

**15.2 Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry.**

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

CHC30113 Certificate III in Early Childhood Education and Care  
CHC30113 Diploma of Early Childhood Education and Care

- The organisation did not demonstrate that it had training and assessment strategies for the above qualifications that meet the requirements of the current Training Package and have been developed through effective consultation with industry.

*In order to become compliant, the organisation is required to:*

CHC30113 Certificate III in Early Childhood Education and Care  
CHC30113 Diploma of Early Childhood Education and Care

- Demonstrate that it had training and assessment strategies for the above qualifications that meet the requirements of the current Training Package and have been developed through effective consultation with industry.

*Analysis of rectification evidence:*

CHC30113 Certificate III in Early Childhood Education and Care  
CHC30113 Diploma of Early Childhood Education and Care

- The organisation provided training and assessment strategies for the above qualifications that meet the requirements of the current training package and had been developed through effective consultation with industry.



**15.3 Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry.**

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

CHC30113 Certificate III in Early Childhood Education and Care  
CHC30113 Diploma of Early Childhood Education and Care

- Staff and training and assessment materials used by the NVR registered training organisation do not meet with the requirements of the training package as identified elsewhere in the report.

*In order to become compliant, the organisation is required to:*

CHC30113 Certificate III in Early Childhood Education and Care  
CHC30113 Diploma of Early Childhood Education and Care

- The organisation is not required to submit rectification evidence to address this standard; however, it is required to submit rectification evidence to address the non-compliances identified across the other Standards. Should the rectification evidence received be determined compliant, the organisation will be compliant with this standard.

*Analysis of rectification evidence:*

- The organisation submitted compliant rectification evidence in relation to staff and training and assessment materials used by the NVR registered training organisation.

**15.4 Training and assessment is delivered by trainers and assessors who:**  
**(a) have the necessary training and assessment competencies as determined by the National Skills Standards 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.**

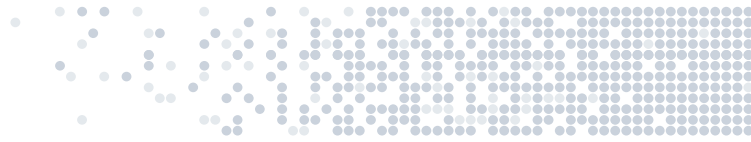
**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

**CHC50908 Diploma of Childrens Services (Early Childhood Education and Care)**  
Jessica McPeake

- The organisation did not demonstrate the above trainer and assessor had the relevant



vocational competencies as determined by the National Skills Standards Council (15.4) (b) .

*In order to become compliant, the organisation is required to:*

**CHC50908 Diploma of Childrens Services (Early Childhood Education and Care)**

Jessica McPeake

- Demonstrate that the above trainer and assessor has the relevant vocational competencies as determined by the National Skills Standards Council (15.4) (b).

*Analysis of rectification evidence:*

**CHC50908 Diploma of Childrens Services (Early Childhood Education and Care)**

Jessica McPeake

- The organisation provided evidence of
  - a) Academic record issued by Massey University for the Bachelor of Education (Teaching) Early Years 0-8.
  - b) Correspondence between, AEI-NOOSR and ACECQA.
  - c) Correspondence with the above trainer and assessor in relation to the mapping of her overseas qualification.
  - d) Correspondence with staff to inform them of additional professional development/ training/ RPL processes to take place.
- The organisation demonstrated a process to ensure that the above trainer and assessor has the relevant vocational competencies as determined by the National Skills Standards Council (15.4)(b)

**15.5 Assessment including Recognition of Prior Learning (RPL):**  
**(a) meets the requirements of the relevant Training Package or VET accredited course; and**  
**(b) is conducted in accordance with the principles of assessment and the rules of evidence; and**  
**(c) meets workplace and, where relevant, regulatory requirements; and**  
**(d) is systematically validated.**

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

**CHC30113 Certificate III in Early Childhood Education and Care**

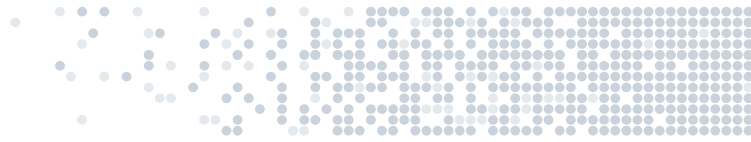
*CHCEC005 Provide care for Babies and toddlers*

*CHCECE017 Foster the holistic development and wellbeing of the child in early childhood*

- The organisation did not demonstrate that its assessment tools for the above units (15.5):
  - (a) Meet the requirements of the Training Package
  - (b) Will be conducted in accordance with the principles of assessment and the rules of evidence.

For example but not limited to:

- Criteria defining acceptable performance have not been developed for all instruments in particular the practical observation.



- The assessment tool does not ensure that the qualified trainer and assessor observes the candidate's ability to complete tasks outlined in the elements and performance criteria of the above units.
- The assessment tools do not demonstrate that all performance evidence is gathered for example 'provide care to at least different three babies and toddlers of varying ages'

**CHC50113 Diploma of Early Childhood Education and Care**

*HLTHIR404D Work effectively with Aboriginal and/or Torres Strait Islander People.*

- The organisation did not demonstrate that it had assessment tools for the above unit that (15.5):
  - (a) Meet 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

*In order to become compliant, the organisation is required to:*

**CHC30113 Certificate III in Early Childhood Education and Care**

*CHCEC005 Provide care for Babies and toddlers*

*CHCECE017 Foster the holistic development and wellbeing of the child in early childhood*

- Demonstrate that its assessment tools for the above units (15.5):
  - (c) Meet the requirements of the Training Package
  - (d) Will be conducted in accordance with the principles of assessment and the rules of evidence.

**CHC50113 Diploma of Early Childhood Education and Care**

*HLTHIR404D Work effectively with Aboriginal and/or Torres Strait Islander People.*

- Demonstrate that it has assessment tools for the above unit that (15.5):
  - (a) Meet the requirements of the relevant Training Package or accredited course
  - (b) Will be conducted in accordance with the principles of assessment and the rules of evidence
  - (c) Meets workplace and, where relevant, regulatory requirements
  - (d) Has been systematically validated

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*Analysis of rectification evidence:*

The organisation provided evidence of assessment tools consisting of:

**CHC30113 Certificate III in Early Childhood Education and Care**

*CHCEC005 Provide care for Babies and toddlers*

- Assessment one : activities/questions
- Assessment two: Case study/written
- Assessment three : Demonstration/ third party report
- Portfolio of evidence
- Validation information



*CHCECE017 Foster the holistic development and wellbeing of the child in early childhood*

- Assessment one: Activities/Questions
- Assessment two: Case Studies
- Assessment three : Project
- Third Party Verification Report
- Portfolio of evidence
- Workplace assessment Tasks
- Validation check list

**CHC50113 Diploma of Early Childhood Education and Care**

*HLTHIR404D Work effectively with Aboriginal and/or Torres Strait Islander People*

- Assessment one; Activities/questions
  - Assessment two: Case studies
  - Assessment three: Project
  - Third Party Verification Report
  - Portfolio of evidence
  - Workplace assessment tasks
  - Validation information
- The organisation demonstrated that it has assessment tools for the above units that (15.5):
    - (a) Meet the requirements of the relevant Training Package or accredited course
    - (b) Will be conducted in accordance with the principles of assessment and the rules of evidence
    - (c) Meets workplace and, where relevant, regulatory requirements
    - (d) Has been systematically validated

|               |   |                                     |
|---------------|---|-------------------------------------|
| <b>SNR 16</b> | <b>The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:</b>   |                                     |
| <b>16.1</b>   | <b>The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.</b>  |                                     |
|               | <b>Original finding:</b> Compliant  | <b>Following rectification:</b> n/a |
| <b>16.2</b>   | <b>The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.</b>   |                                     |
|               | <b>Original finding:</b> Compliant  | <b>Following rectification:</b> n/a |
| <b>16.3</b>   | <b>Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.</b> |                                     |
|               | <b>Original finding:</b> Compliant  | <b>Following rectification:</b> n/a |

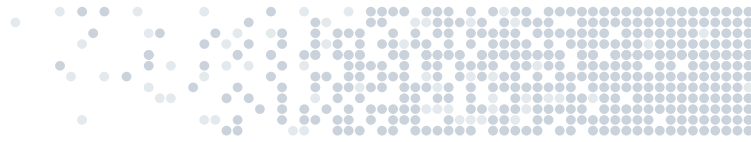




|  |  |
|--|--|
| <b>16.4</b>                            | <b>Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.</b>                |
| <b>Original finding:</b> Compliant     | <b>Following rectification:</b> n/a  |
| <b>16.5</b>                            | <b>Learners receive training, assessment and support services that meet their individual needs.</b>  |
| <b>Original finding:</b> Compliant     | <b>Following rectification:</b> n/a  |
| <b>16.6</b>                            | <b>Learners have timely access to current and accurate records of their participation and progress.</b>  |
| <b>Original finding:</b> Compliant     | <b>Following rectification:</b> n/a  |
| <b>16.7</b>                            | <b>The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>                |
| <b>Original finding:</b> Compliant     | <b>Following rectification:</b> n/a  |
| <b>SNR 17</b>                          | <b>Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:</b>          |
| <b>17.1</b>                            | <b>The NVR registered training organisation's management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.</b> |
| <b>Original finding:</b> Compliant     | <b>Following rectification:</b> n/a  |
| <b>17.2</b>                            | <b>The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.</b>   |
| <b>Original finding:</b> Compliant     | <b>Following rectification:</b> n/a  |
| <b>17.3</b>                            | <b>The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.</b>  |
| <b>Original finding:</b> Compliant     | <b>Following rectification:</b> n/a  |
| <b>17.4</b>                            | <b>The NVR registered training organisation manages records to ensure their accuracy and integrity.</b>  |
| <b>Original finding:</b> Not compliant | <b>Following rectification:</b> Compliant  |

*Reasons for finding of non-compliance:*

- The organisation did not demonstrate that it manages records to ensure their accuracy and integrity.
  - A review of the following completed student files Chelsea Mayne, Brittany May and



Jessica Payne identified that assessment had been completed by the supervisor and in some cases counter signed by the assessor. Jessica Payne's assessment tools in particular had signatures and dates missing on all tools reviewed.

*In order to become compliant, the organisation is required to:*

- Demonstrate that it manages records to ensure their accuracy and integrity.

*Analysis of rectification evidence:*

- The organisation provided the following evidence :
  - Records management policy and procedure
  - Schedule for records retention

A clarification conversation was held with the organisation on 23/5/2014 regarding the evidence submitted.

- The organisation demonstrated that it manages records to ensure their accuracy and integrity

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

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

**Original finding:** Not compliant **Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- The NVR registered training organisations Chief Executive has not ensured that the NVR registered training organisation has complied with the VET Quality framework.

*In order to become compliant, the organisation is required to:*

- The organisation is not required to submit rectification evidence to address this standard; however, it is required to submit rectification evidence to address the non-compliances identified across the other Standards. Should the rectification evidence received be determined compliant, the organisation will be compliant with this standard.

*Analysis of rectification evidence:*

- The organisation submitted compliant rectification evidence to address the non-compliances identified across the other Standards.

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

**Original finding:** Compliant **Following rectification:** n/a



## SNR 19 Interactions with the National VET Regulator

**19.1** The NVR registered training organisation must co-operate with the National VET Regulator:

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

**Original finding:** Compliant

**Following rectification:** n/a

## SNR 20 Compliance with legislation

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

**Original finding:** Compliant

**Following rectification:** n/a

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

**Original finding:** Compliant

**Following rectification:** n/a

## SNR 21 Insurance

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

**Original finding:** Compliant

**Following rectification:** n/a

## SNR 22 Financial management

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

**Original finding:** Compliant

**Following rectification:** n/a

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

- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;
- (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;



- (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;
- (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and
- (e) the organisation's refund policy.

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- The organisation did not demonstrate how it provided the following fee information to each client(22.2):
  - (c) The nature of the guarantee given by the registered training organisation to complete the training and /or assessment once the student has commenced study in their chosen qualification or course.

*In order to become compliant, the organisation is required to:*

- Demonstrate how it provides the following fee information to each client(22.2):
  - (c) The nature of the guarantee given by the registered training organisation to complete the training and /or assessment once the student has commenced study in their chosen qualification or course.

*Analysis of rectification evidence:*

The organisation provided the following evidence:

- Student services policy and procedure
- Information on website
- The organisation demonstrated how it provides the following fee information to each client(22.2):
  - (c) The nature of the guarantee given by the registered training organisation to complete the training and /or assessment once the student has commenced study in their chosen qualification or course.

- 22.3 Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:**
- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;**
  - (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;**
  - (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;**
  - (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or**
  - (e) (Option 5) the NVR registered training organisation has alternative fee protection**



measures of equal rigour approved by the National VET Regulator.

Original finding: Compliant

Following rectification: n/a

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

**23.1** The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:  
(a) meets the Australian Qualifications Framework (AQF) requirements;  
(b) identifies the NVR registered training organisation by its national provider number from the National Register and  
(c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Compliant

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a

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

This element was not audited.

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

This element was not audited.

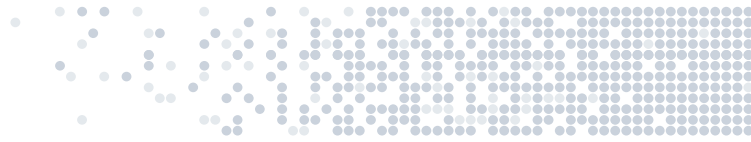
### SNR 24 Accuracy and integrity of marketing

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

Original finding: Compliant

Following rectification: n/a

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



**its conditions of use.**

**Original finding:** Compliant

**Following rectification:** n/a

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

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

**Original finding:** Compliant

**Following rectification:** n/a

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

**Original finding:** Compliant

**Following rectification:** n/a