Victorian Registration & Qualifications Authority

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

Audit Date:27th January and 10th February 2021 RTO: 21794 Parker Brent Pty Ltd

Applicant Details			
Applicant Name	Parker Brent Pty Ltd	TOID	21794
Address	HWT Tower – Southbank Level 6, 40 City Road, SOUTHBANK VIC 3006		
		Website	https://www.parkerbrent.com.au
Registration Contact	Mr Charles Lastrina		
Phone Number	(03) 9433 3742	Email	charles@parkerbrent.com.au
Audit Team			
Audit Firm	ShineWing Australia	Lead Auditor	Casey Helman
Auditor/s		Other Attendees	Charles Lastrina Vanessa Lastrina
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	**Re-registration Audit**		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.5, 2.6, 2.7	3.1, 3.2, 3.4
2016 VRQA Guidelines Audited			
	3.1, 3.2	4.1, 4.2	
Audit Date/s	27th January and 10th February 2021		

RTO Background

Parker Brent Pty Ltd is an RTO who specialises in delivering training and assessment to the Residential and Commercial Building and Construction industry.

Parker Brent Pty Ltd has the following qualifications on their scope of registration:

- CPC40110 Certificate IV in Building and Construction (Building)
- CPC50210 Diploma of Building and Construction (Building)

Parker Brent Pty Ltd has a large amount of trainer and assessors. This is contributed to all trainers and assessors still working in the Residential and Commercial Building and Construction industry at some capacity. COVID 19 had a significant impact on the Residential and Commercial Building and Construction industry with government restriction the on the number of trades people on commercial sites, however, Parker Brent Pty Ltd were able to successfully transition their learning to facilitated online sessions and maintain their practical assessments in simulated environments. To better prepare their staff, arranged staff to undertake the unit of competency TAEDEL501 Facilitate E-Learning to successfully transition their face-to-face classes to facilitated online classes.

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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
CPC40110	Certificate IV in Building and Construction (Building) • CPCCBC4005A Produce labour and material schedules for ordering • CPCCBC4002A Manage occupational health and safety in the building and construction workplace	RTO
CPC50210	Diploma of Building and Construction (Building) • BSBOHS504B Apply principles of OHS risk management • CPCCBC5018A Apply structural principles to the construction of medium rise buildings	RTO

Interviewee(s) – Staff name and position; employer name and position	
Charles Lastrina	Chief Executive Officer
Vanessa Lastrina	Training Manager

Permanent Delivery Sites – Do the RTO's permanent delivery sites match the information provided by the VRQA?	Yes	No
	X	
If ' No' , please provided amended details below:		

Third party Arrangements – Do the RTO's third-party arrangements match the information provided by the VRQA?	Yes	No
	X	
There are 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 Place an X in the appropriate column		Compliant	Non - Compliant	Not audited
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation	X		
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	X		
7	Recognition of Qualifications Issued by other RTOs	X		
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses	X		

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Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1			
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			
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			
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		

Audit Date:27th January and 10th February 2021 RTO: 21794 Parker Brent Pty Ltd

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			
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			
4.1 – Training and assessment practices	X		
4.2 – Amount of training	X		
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
5. Annual Declaration of Compliance			
5.1 – Annual Declaration of Compliance			X

Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance	Not audited in Phase 2 audit

CONDITION 2 - Interactions with the Registering Body	Not audited in Phase 2 audit

CONDITION 3 - Compliance with Legislation	Compliant

Evidence/Documentation Reviewed

- Compliance with Legislation v1.7 February 2020
- Government Funding SOPs January 2021 v2.7
- Policy Manual v3.3 January 2021
- Staff Handbook - January 2021 v3.3
- Staff Induction Checklist Form - Feb 2018 v1.8
- Student Handbook - January 2021 v5.0

Staff Induction files:

- [redacted] Induction Papers
- [redacted] Trainer Induction Checklist
- [redacted] Induction Papers
- [redacted] Trainer Induction Checklist
- [redacted]- Induction Papers
- [redacted] Trainer Induction Checklist

CF.3.1	Finding	Required Rectification(s)
	Parker Brent Pty Ltd had identified and implemented relevant Commonwealth, State or Territory legislation and regulatory requirements that were relevant to its operations and its scope of registration.	N/A

It ensured that its staff were fully informed of these requirements that affected their duties or participation in vocational education and training through the Trainer & Assessor and VET Team Handbook, Induction checklists and Staff Position descriptions and monitoring compliance requirements through staff meetings. Parker Brent Pty Ltd ensured that its clients were fully informed of their rights and obligations regarding their participation in vocational education and training through the Learner handbook.	

CONDITION 4 - Insurance	**Not audited in Phase 2 audit**

CONDITION 5 - Financial Management	**Not audited in Phase 2 audit**

CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment	**Compliant**

Evidence/Documentation Reviewed

- Awards Register 2019-2020
- Certificate - 40110 Certificate IV in Building & Construction (Building)
- Certificate - CPC50210 - Certificate of Diploma in Building & Construction
- Government Funding SOPs January 2021 v2.7
- Issuing Awards and SOAs v1.3 May 2017
- Policy Manual v3.3 January 2021
- Statement of Attainment_20161110
- Student Handbook - January 2021 v5.0
- Conducting Assessments v2.0 February 2020
- Policy Manual v3.3 January 2021

- Student Records - Integrity, Retention, Archiving, Retrieval & Transfer v1.7 January 2020
- VETtrak screenshot- AVETMISS Data
- CPC40110 Application Pack v1.6 January 2021
- CPC50210 Application Pack v1.6 January 2021
- Reporting v1.6 May 2020
- AQTF Quality Indicator Data Submission (June 2020)
- Sales Consultation Process Handbook v2.9 January 2021

CF.6.1	Finding	Required Rectification(s)
	Parker Brent Pty Ltd had issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF). The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use.	N/A
CF.6.2.1	**Finding**	**Required Rectification(s)**
	Parker Brent Pty Ltd had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years.	N/A
CF.6.3.1	**Finding**	**Required Rectification(s)**
	Parker Brent Pty Ltd had a student records management system in place that had the capacity to provide the registering body with AVETMISS compliant data.	N/A
CF.6.4.1	**Finding**	**Required Rectification(s)**
	Parker Brent Pty Ltd had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2020	N/A
CF.6.5.1	**Finding**	**Required Rectification(s)**
	Parker Brent Pty Ltd met the requirements for implementation of a national unique student identifier.	N/A

CONDITION 7 - Recognition of Qualifications Issued by other RTOs	Compliant

Evidence/Documentation Reviewed

- Certificate_ Denis Paliogianis
- Consent Form v1.1 May 2019
- CPC40110 Application Pack v1.6 January 2021
- CPC50210 Application Pack v1.6 January 2021
- Credit Transfer v1.3 May 2017
- Policy Manual v3.3 January 2021
- Recruitment and Enrolment v2.6 January 2020
- Student Handbook - January 2021 v5.0

CF.7.1	Finding	Required Rectification(s)
	Parker Brent Pty Ltd had procedures in place for the recognition of AQF Qualifications and Statements of Attainment issued by any other RTO. Students are informed through marketing materials, at the pre-training interview and the learner handbook	N/A

CONDITION 8 - Accuracy and Integrity of Marketing	Compliant

Evidence/Documentation Reviewed

- Sales Consultation Process Handbook v2.9 January 2021
- Copy of Marketing Register v1 0 August 2016
- CPC40110 Course Flyer v2.9Feb2019
- CPC40110 Course Flyer v3.0 January 2021
- CPC50210 Course Flyer v2.9Feb2019
- CPC50210 Course Flyer v3.0 January 2021
- screen shot of instagram page
- Screenshot of Facebook page
- Screenshot of Twitter page

• Student Handbook - January 2021 v5.0	
CF.8.1 Finding	**Required Rectification(s)**
Parker Brent Pty Ltd ensures its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. The NRT logo has been employed in accordance with its conditions of use.	N/A

CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses	**Compliant**
Evidence/Documentation Reviewed	
• Policy Manual v3.3 January 2021 • Transition Arrangements v1.4 June 2018	
CF.9.1 Finding	**Required Rectification(s)**
Parker Brent Pty Ltd has provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA. Parker Brent Pty Ltd are aware that both the CPC40110 - Certificate IV in Building and Construction (Building) (Release 7) and CPC50210 - Diploma of Building and Construction (Building) Release 6 was superseded on 26th November 2020 and have processes in place to transition by 26th November 2021	N/A

Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.	Compliant

Evidence/Documentation Reviewed

- Client Feedback v1.5 May 2018
- Continuous Improvement Log v1.8 Jan 2019
- Continuous Improvement Log v1.9 Jan 2020
- Continuous Improvement Log v2.0 Jan 2021
- Course Feedback - September 2018
- Course Feedback Form - 12-11-19
- Internal Feedback Summary Procedure v1.3 May 2018
- Student Feedback Form - 08-05-19
- Student Feedback Form - 17-09-18
- Student Feedback Form - May 2019
- Student Survey Procedure v1.4 May 2018

SF.1.1.1 Finding	Required Rectification(s)
Parker Brent Pty Ltd collects, analyses and acts on relevant data for continuous improvement of training and assessment.	N/A

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

Evidence/Documentation Reviewed

CPC40110- Certificate IV in Building and Construction

- TAS CPC40110_V1.6 October 2020
- TAS CPC40110_V3.4 October 2020

CPC50210 Diploma of Building & Construction (Building)

- TAS CPC50210 no CT_V3.4 01 October 2020
- TAS CPC50210 with CT_V3.3 01 October 2020

SF.1.2.1	Finding	Required Rectification(s)
	Parker Brent Pty Ltd had strategies for training and assessment that meet the requirements of the relevant Training Package and are developed in consultation with industry. Practical assessment was conducted according to relevant COVID restrictions in simulated learning environments or on commercial building sites once access was granted.	N/A

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.	Compliant

Evidence/Documentation Reviewed

Photos of venues:

- Lalor ONTTC- 16 photos of training rooms
- Quest Notting Hill- 15 photos of training rooms

Photos of equipment

- PPE Equipment
- hi vis vest 2

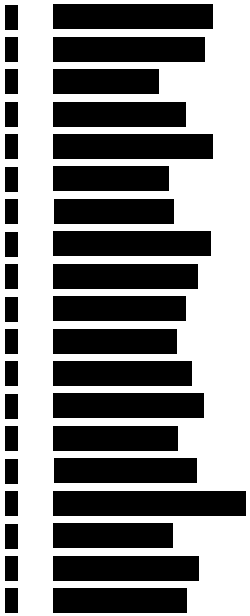
Training Venue Safety Checklist- Lalor site
Training Venue Safety Checklist- Quest Notting Hill
Parker Brent Pty Ltd - Statutory Declaration 2021

SF.1.3.1 Finding	Required Rectification(s)
Staff, facilities, equipment and training and assessment materials used by Parker Brent Pty Ltd were consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.	N/A

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**

Evidence/Documentation Reviewed

The following Staff files were reviewed



SF.1.4.1	Finding	Required Rectification(s)
	Parker Brent Pty Ltd provided a Register of Trainers Assessors for each qualification being audited. All Trainer and Assessors held the necessary training and assessment competencies, held relevant vocational competencies at least to the level being delivered or assessed and could demonstrate current industry skills directly relevant to the training/assessment being undertaken In response to COVID-19, Parker Brent Pty Ltd arranged staff to undertake the unit of competency TAEDEL501 Facilitate E-Learning to successfully transition their face-to-face classes to facilitated online classes.	N/A

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.**	**Compliant**

Evidence/Documentation Reviewed

CPCCBC4005A Produce labour and material schedules for ordering

Documents

- 14. CPCCBC4005 v1.3 – PP
- 14. CPCCBC4005A Construction Schedule
- 4005A- Contract Variation
- 4005A- Final Account
- 4005A- Labour & Material Schedules
- 4005A- Timber framing schedule
- 4005A- Variation Request
- CPCCBC4005A v1.8 Assessment Mapping
- CPCCBC4005A v1.8 Student Assessment Tasks
- CPCCBC4005A v1.8 Student Workbook _ Learning Activities
- CPCCBC4005A v1.8 Trainer_Assessor Guide

CPCCBC4002A Manage occupational health and safety in the building and construction workplace

- 10. CPCCBC4002 v1.3 - PP
- 4002A-Risk Control Action Plan
- CPCCBC4002A v1.8 Assessment Mapping
- CPCCBC4002A v1.8 Assessment Tasks
- CPCCBC4002A v1.8 Student Workbook _ Learning Activities
- CPCCBC4002A v1.8 Trainer_Assessor Guide

CPC50210 Diploma of Building and Construction (Building)

BSBOHS504B Apply principles of OHS risk management

- 03_BSBOHS504B Learning Activities and Assessment Tasks v2.5 Mar 2019
- 03_BSBOHS504B Trainer Resource v2.5 Mar 2019
- BSBOHS504B Presentation v2.2
- 3. BSBOHS504B Student Workbook.docx v2.4
- BSBOHS504B-Occupational Health & Safety Regulations 2017
- BSBOHS504B-OHS Act 2004
- BSBOHS504B-OHS Plan – Template
- BSBOHS504B-OHS Regulations 2007
- BSBOHS504B-Safe Work Methods Statements – Template
- BSBOHS504B-Site Safety Establishment Sheet

CPCCBC5018A Apply structural principles to the construction of medium rise buildings

- 05. CPCCBC5018A Learning Activities and Assessment Tasks v2.5.1 July 2019
- 05. CPCCBC5018A Trainer Resource v 2.5.1 July 2019
- CPCCBC5018A Presentation v2.2 May 2016
- CPCCBC5018A Student workbook v2.4
- CPCCBC5018A Assessment Mapping v2.4 July 2019
- Diploma Observation by Assessor- Checklist 1 Student V1.0
- Diploma Observation by Assessor- Checklist 1 Trainer V1.0

Validation

- 4009_4010_4011_4012_Validation Sample
- Validation Moderation Schedule v1.6 Jan 2019
- Validation Sample Calculator
- Post Assessment Validation 5018A
- Post Assessment Validation -BSBOHS504B

SF.1.5.1	Finding	Required Rectification(s)

CPC40110 Certificate IV in Building and Construction (Building) • CPCCBC4002A Manage occupational health and safety in the building and construction workplace • CPCCBC4005A Produce labour and material schedules for ordering Parker Brent Pty Ltd's Assessment, including Recognition of Prior Learning (RPL), meets the requirements of the relevant Training Package, is conducted in accordance with the principles of assessment and the rules of evidence, meets workplace and, where relevant, regulatory requirements and is systematically validated.	N/A
CPC50210 Diploma of Building and Construction (Building) • BSBOHS504B Apply principles of OHS risk management • CPCCBC5018A Apply structural principles to the construction of medium rise buildings Parker Brent Pty Ltd's Assessment, including Recognition of Prior Learning (RPL), meets the requirements of the relevant Training Package, is conducted in accordance with the principles of assessment and the rules of evidence, meets workplace and, where relevant, regulatory requirements and is systematically validated.	N/A

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.	Compliant

Evidence/Documentation Reviewed

- Pre-Training Review & LLN Procedure v1.8 January 2021
- Student Handbook - January 2021 v5.0
- Support Services v1.4 March 2017
- TAS CPC40110_V3.4 October 2020
- TAS CPC50210 no CT_V3.4 01 October 2020

Student files CPC40110

- [redacted]

Student files CPC50210

- [redacted]

Each student file contained

- Completed enrolment form
- Pre training review
- LLN report (LLN robot)
- Student induction checklist

SF.2.1.1 Finding	Required Rectification(s)
Parker Brent Pty Ltd had established the needs of clients and delivered services to meet these needs.	N/A

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.	Compliant

Evidence/Documentation Reviewed

- Client Feedback v1.5 May 2018
- Continuous Improvement Log v1.8 Jan 2019
- Continuous Improvement Log v1.9 Jan 2020
- Continuous Improvement Log v2.0 Jan 2021
- Course Feedback - September 2018
- Course Feedback Form - 12-11-19
- Internal Feedback Summary Procedure v1.3 May 2018
- Student Feedback Form - 08-05-19
- Student Feedback Form - 17-09-18
- Student Feedback Form - May 2019
- Student Survey Procedure v1.4 May 2018
- Agenda Operational Meeting 4 February 2019
- Agenda Operational Meeting 9 September 2019
- Agenda Trainer Workshop June 2020
- Minutes Operational Meeting 4 February 2019
- Minutes Operational Meeting 9 September 2019
- Minutes Trainer Meeting 6 June 2020

SF.2.2.1 Finding	Required Rectification(s)
Parker Brent Pty Ltd continuously improves client services by collecting, analysing and acting upon relevant data.	N/A

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.	**Compliant**

Evidence/Documentation Reviewed

- Student Handbook - January 2021 v5.0
- Student Induction Checklist amp; Training Plan (3)
- Training Plan

Student files CPC40110

- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]

Student files CPC50210

- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]

Each student file contained

- Completed enrolment form

- Pre training review
- LLN report (LLN robot)
- Student induction checklist
- Training plan

SF.2.3.1 Finding	Required Rectification(s)
Parker Brent Pty Ltd had provided sufficient information, before students enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.	N/A

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.	Not Audited

2.5 - Learners receive training, assessment and support services that meet their individual needs.	Compliant

Evidence/Documentation Reviewed

- Pre-Training Review & LLN Procedure v1.8 January 2021
- Student Handbook - January 2021 v5.0
- Support Services v1.4 March 2017
- TAS CPC40110_V3.4 October 2020
- TAS CPC50210 no CT_V3.4 01 October 2020

Student files CPC40110

- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]
- [redacted]

Student files CPC50210

- [redacted]
- [redacted]
- [redacted]
- [redacted]

[redacted]

Each student file contained
- Completed enrolment form
- Pre training review
- LLN report (LLN robot)
- Student induction checklist

SF.2.5.1 Finding	Required Rectification(s)
Parker Brent Pty Ltd had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs.	N/A

2.6 - Learners have timely access to current and accurate records of their participation and progress.	Compliant

Evidence/Documentation Reviewed

- CPC40110 Application Pack v1.6 January 2021
- CPC50210 Application Pack v1.6 January 2021
- Staff Induction Checklist Form - Feb 2018 v1.8
- Student Handbook - January 2021 v5.0
- Student Induction Checklist v1.6 April 2020
  Trainer Induction Checklist v1.5 February 2020

SF.2.6.1 Finding	Required Rectification(s)

Parker Brent Pty Ltd had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress and communicated this to students via through the enrolment interview process and the student handbook.	N/A

2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	**Compliant**
Evidence/Documentation Reviewed	
• Complaints and Appeals Procedure v1.6 December 2018 • Complaints and Appeals Register v1.0 January 2019 • CPC40110 Application Pack v1.6 January 2021 • CPC50210 Application Pack v1.6 January 2021 • Student Handbook - January 2021 v5.0 • Student Induction Checklist v1.6 April 2020 • Trainer Induction Checklist v1.5 February 2020	
SF.2.7.1 Finding	**Required Rectification(s)**
Parker Brent Pty Ltd provided appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. The complaints and appeals procedures included procedures for students to escalate complaints to an external source.	N/A

3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.	Compliant

Evidence/Documentation Reviewed

- CPC40110 Application Pack v1.6 January 2021
- CPC50210 Application Pack v1.6 January 2021

Student files CPC40110

- [redacted]

Student files CPC50210

- [redacted]

Each student file contained

- Completed enrolment form

- Pre training review
- LLN report (LLN robot)
- Student induction checklist
- Training plan

SF.3.1.1 Finding	Required Rectification(s)
Parker Brent Pty Ltd management of its operations ensured clients received the services detailed in their agreement with the RTO.	N/A

3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.	Compliant

- Client Feedback v1.5 May 2018
- Continuous Improvement Log v1.8 Jan 2019
- Continuous Improvement Log v1.9 Jan 2020
- Continuous Improvement Log v2.0 Jan 2021
- Course Feedback - September 2018
- Course Feedback Form - 12-11-19
- Internal Feedback Summary Procedure v1.3 May 2018
- Student Feedback Form - 08-05-19
- Student Feedback Form - 17-09-18
- Student Feedback Form - May 2019
- Student Survey Procedure v1.4 May 2018
- Agenda Operational Meeting 4 February 2019
- Agenda Operational Meeting 9 September 2019
- Agenda Trainer Workshop June 2020
- Minutes Operational Meeting 4 February 2019
- Minutes Operational Meeting 9 September 2019

- Minutes Trainer Meeting 6 June 2020

SF.3.2.1 Finding	Required Rectification(s)
Parker Brent Pty Ltd uses a systematic and continuous improvement approach to the management of their operations.	N/A

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.	Not Audited

3.4 - The RTO manages records to ensure their accuracy and integrity.	Compliant

Student files CPC40110

- [redacted]

Student files CPC50210

- [redacted]

[redacted]

- Government Funding SOPs January 2021 v2.7
- Intellectual Property Security v1.0 May 2018
- Policy Manual v3.3 January 2021
- Records Back Up v1.4 May 2020
- Records Security v1.3 January 2020
- Staff Handbook - January 2021 v3.3
- Staff Records - v1.2 March 2017
- Student Handbook - January 2021 v5.0
- Student Records - Integrity,Retention, Archiving, Retrieval & Transfer v1.7 January 2020
- Version Control Policy v1.1 May 2016

SF.3.4.1 Finding	Required Rectification(s)
Parker Brent Pty Ltd managed records to ensure their accuracy and integrity.	N/A

Detailed Findings – 2016 VRQA Guidelines for VET Providers

GUIDELINE 1.1 - An RTO must ensure that it has a current strategic plan and a detailed business plan which have been approved by its governing body. a) An RTO ensures the strategic plan details the overall vision, mission, board of directors and strategic directions of the RTO and clearly indicates that provision of vocational education is a primary purpose of the RTO. b) An RTO ensures the business plan details the operational and workforce development arrangements for a three year period that incorporates: i. description of the business including an organisation chart, courses, location(s) and facilities ii. a continuous improvement plan or risk management strategy iii. a work force development plan iv. strategic alliances with other education or service providers or third party arrangements v. training and assessment delivery including proposed facilities and delivery hours	**Not Audited in Phase 2 audit**

GUIDELINE 1.2 - An RTO demonstrates its financial viability and its capacity to sustain quality VET into the future by ensuring it has a three year financial plan that includes: a) projected student enrolments by qualifications b) a range of financial indicators, including i. cash flow ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1) iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1) c) the VET provider shows that it has a financial guarantor with the capacity to service the guarantee and/or to demonstrate sufficient working capital to operate for at least 6 months without tuition fees. d) details about whether any person involved in the management or provision of courses by the RTO meets any of the descriptions listed in section 4.3.11(2) of the Act.	**Not audited in Phase 2 audit**

GUIDELINE 1.3 - An RTO ensures that it has management systems that include:	**Not Audited**
a) management information including: I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds) II. a physical address of the company in Victoria for the purposes of serving notices III. details of the directors, CEO/PEO and senior management members with associated police checks and Working With Children Checks if students are under 18 years of age IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria V. contact arrangements for the CEO/PEO including during holidays and other closure periods VI. a physical addresses for the location of financial, student and staff records including archives and computer back up storage b) a financial management system including a system for managing student fee payments and student refunds c) a student records management system that includes the capacity to provide the VRQA with AVETMISS compliant data and to ensure that copies of student records are I. not able to be withheld from the RTO; and II. able to be provided in electronic and print versions, at no cost to the VRQA in the event that the VET provider ceases operations d) a staff records management system including arrangements which ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills.	

GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:	**Not audited in Phase 2 audit**
a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that: i. for an RTO with anticipated ongoing operation of less than 150 equivalent full time students or an annual student fee turnover of less than $1.5m per annum, persons are appointed with suitable qualifications and experience; and ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience.	

GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement. • A *third party* means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO. • *Services* mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services.	**Not audited**

GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA: a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and b) for the purposes of the conduct of any audit or monitoring of its operations.	**Not Audited**

GUIDELINE 2.3 – An RTO notifies the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf: a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and b) within 30 calendar days of the agreement coming to an end.	**Not Audited**

GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by: a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party.	**Not Audited**

GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO t provides, in print or through referral to an electronic copy, current and accurate information that: a) enables the student to make informed decisions about undertaking training with the RTO and b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf	**Not Audited**

GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.	**Not Audited**

GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of: a) the RTO, its trainers, assessors or other staff; b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or c) a student of the RTO.	**Not Audited**

GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.	**Not Audited**

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: a) vocational competencies at least to the level being delivered and assessed; b) current industry skills directly relevant to the training and assessment being provided; and c) current knowledge and skills in vocational training and learning that informs their training and assessment. Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.	**Compliant**
See Standard 1.4	

GF 3.1.1 **Finding**	**Required Rectification(s)**
Parker Brent Pty Ltd provided a Register of Trainers Assessors for each qualification being audited. All Trainer and Assessors held the necessary training and assessment competencies, held relevant vocational competencies at least to the level being delivered or assessed and could demonstrate current industry skills directly relevant to the training/assessment being undertaken In response to COVID-19, Parker Brent Pty Ltd arranged staff to undertake the unit of competency TAEDEL501 Facilitate E-Learning to successfully transition their face-to-face classes to facilitated online classes.	N/A

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.	**Compliant**
See Standard 1.4	

GF 3.2.1 **Finding**	**Required Rectification(s)**
Parker Brent Pty Ltd provided a Register of Trainers Assessors for each qualification being audited.	N/A

All Trainer and Assessors held the necessary training and assessment competencies, held relevant vocational competencies at least to the level being delivered or assessed and could demonstrate current industry skills directly relevant to the training/assessment being undertaken In response to COVID-19, Parker Brent Pty Ltd arranged staff to undertake the unit of competency TAEDEL501 Facilitate E-Learning to successfully transition their face-to-face classes to facilitated online classes.	

GUIDELINE 3.3 Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.	**Not Audited**

GUIDELINE 3.4 Where the RTO, in delivering training and assessment, engages an individual who is not a qualified trainer and/or assessor, the individual works under the supervision of a qualified trainer and/or assessor and must not determine assessment outcomes.	**Not Audited**

GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer: a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines; b) has vocational competencies at least to the level being delivered and assessed; and c) has current industry skills directly relevant to the training and assessment being provided.	**Not Audited**

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.	**Compliant**
See Standard 1.2	

GF 4.1.1 **Finding**	**Required Rectification(s)**
Parker Brent Pty Ltd had strategies for training and assessment that meet the requirements of the relevant Training Package and determined the amount of training it provides to each student to enable each student to meet the requirements for each unit of competency in which the student is enrolled.	N/A

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: 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.	**Compliant**
See Standard 1.2	

GF 4.2.1 **Finding**	**Required Rectification(s)**
Parker Brent Pty Ltd had strategies for training and assessment that meet the requirements of the relevant Training Package and determined the amount of training it provides to each student to enable each student to meet the requirements for each unit of competency in which the student is enrolled.	N/A

GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation) of these Guidelines.	**Not Audited**
GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.	**Not Audited**
GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment: a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.	**Not Audited**
GUIDELINE 4.6 - An RTO ensures that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 of these Guidelines and does not determine assessment outcomes.	**Not Audited**
GUIDELINE 4.7 - An application to add any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor) to an RTO's scope of registration has only be granted if an RTO has: a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3.	**Not audited**
GUIDELINE 5.1 - An RTO registered with the VRQA has provided an annual declaration of compliance with the AQTF Essential Conditions and Standards for Continuing Registration (the AQTF Standards) and these Guidelines, and in particular whether it: a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and c) has training and assessment strategies and practices in place that ensure that all current and prospective students are or will be trained and assessed in accordance with the requirements of the AQTF Standards and these Guidelines.	**Not audited**