

Audit Date: February 1st & 15th 2022

RTO: 21203 VICSEG New Futures

Applicant Details			
Applicant Name	VICSEG New Futures	TOID	21203
Address	11 Munro Street COBURG VIC 3058		
Website	http://www.vicsegnewfutures.org.au/		
Registration Contact	Ms Maree Raftis		
Phone Number	(03) 9383 2533	Email	mraftis@vicsegnewfutures.org.au
Audit Team			
Audit Firm	ShineWing Australia	Lead Auditor	Casey Helman
Auditor/s		Other Attendees	Maree Raftis Caspar Zika Klaudia Krysztofek Sara Jahanshiri
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
VRQA Guidelines	3.1, 3.2	4.1, 4.2	
Audit Date/s	February 1 st & 15 th 2022		
RTO Background			
<p>VICSEG New Futures is a not-for-profit organisation who predominantly provides a range of accredited and non-accredited training to refugees, asylum seekers and migrants.</p> <p>This audit is for re-registration. The following qualifications and units of competency were sampled in audit.</p> <p>CHC32015 Certificate III in Community Services</p> <ul style="list-style-type: none"> • HLTWHS002 Follow safe work practices for direct client care • CHCCOM005 Communicate and work in health or community services <p>CHC43115 Certificate IV in Disability</p> <ul style="list-style-type: none"> • CHCCCS015 Provide individualised support • CHCDIS008 Facilitate community participation and social inclusion <p>The COVID-19 pandemic has had a significant impact on the programs delivered by VICSEG New Futures. The face-to-face delivery and practical placement aspects of the programs were severely impacted throughout the last 24 months with fluctuating levels of State Government restrictions being enforced.</p>			

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VICSEG New Futures implemented a range of strategies to assist their primary cohorts to continue their studies via online facilitated sessions and added extra learning support sessions for those who initially struggled with accessing learning sessions via an online platform. VICSEG New Futures also had to extend their course completion dates to allow students to get their practical placement requirements completed.

VICSEG New Futures has also invested heavily in full simulated assessment environments. Students can undertake practical assessments in fully simulated aged care or hospital environment, using real equipment such as chair lifts, beds, care equipment etc

It was evidence through the audit that VICSEG New Futures has a number of systematic processes that contribute to the overall operations of the RTO. VICSEG New Futures has also updated a number of policies and procedures as a result of adjusting to, and planning for, COVID interruptions. VICSEG New Futures has a detailed pre training review process where they advise students of the potential for delays in practical assessment training where the workplace is required. There are also a number of contingencies detailed in their Training and Assessment Strategies if interruptions were to occur again.

VICSEG New Futures hopes to return to pre-COVID enrolment numbers over the next 24 months to continue to service refugees, asylum seekers and migrant communities

Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
CHC32015	Certificate III in Community Services <ul style="list-style-type: none"> • HLTWHS002 Follow safe work practices for direct client care • CHCCOM005 Communicate and work in health or community services 	RTO
CHC43115	Certificate IV in Disability <ul style="list-style-type: none"> • CHCCCS015 Provide individualised support • CHCDIS008 Facilitate community participation and social inclusion 	RTO

Interviewee(s) – Staff name and position; employer name and position	
Maree Raftis	Executive Director
Caspar Zika	General Manager
Klaudia Krysztofek	VET Standards & ACFE Manager
Sara Jahanshiri	Compliance Manager

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	

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

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

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Audit Summary - AQTF Conditions of Registration				
AQTF Conditions		Compliant	Non - Compliant	Not audited
Place an X in the appropriate column				
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		

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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)			
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

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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		
<ul style="list-style-type: none"> • Completed Sample-Statement-of-Understanding • GOVERNANCE POLICY AND PROCEDURE V3.1 • Induction & Orientation Checklist 2020 • Induction Policy • NFT- Regulatory Framework Diagram • VICSEG COVIDSafe Plan_December 2021 • VICSEG HR Policy and Procedure Manual • VICSEG OHS MANUAL • NFT-StudentHandBook_V6.9 2022 • Welcome to VICSEG New Futures 		
CF.3.1.1	Finding	Required Rectification(s)
	VICSEG New Futures has processes in place to ensure they comply with relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration. It ensures that its staff and clients are fully informed of these requirements that affect their duties or participation in vocational education and training through staff and client inductions.	N/A

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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		
<ul style="list-style-type: none"> • Register of Certificates and Statements of Attainment issued 2021 • Template of Statement of Attainment • Template of Certificate • QUALIFICATIONS ISSUANCE POLICY V4 • Record Keeping Schedule V4 • VETtrak option- certificates can be created if USI is verified • 2021 EVIDENCE OF PARTICIPATION POLICY - ATTENDANCE POLICY V7.3 • USI-Instructions • Completion administration procedure updated • VETtrak Service Agreement – 2022 • RECORD MANAGEMENT POLICY V3.2 • 2021 Intake and Enrolment process V9 Jan 2021 		
CF.6.1	Finding	Required Rectification(s)
	<p>VICSEG New Futures has processes in place to issue students whom it has assessed as competent in accordance with the requirements of the Training Package, a qualification or statement of attainment that.</p> <ul style="list-style-type: none"> i. Meets the Australian Qualifications Framework (AQF) requirements ii. Identifies the RTO by its national provider number, and, 	N/A

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iii. Includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service		
CF.6.2.1	Finding	Required Rectification(s)
VICSEG New Futures has processes and systems in place to 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)
VICSEG New Futures have a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data		N/A
CF.6.4.1	Finding	Required Rectification(s)
VICSEG New Futures has a process and systems in place to provide returns of its client records of attainment of units of competency and qualifications to its registering body on a regular basis, as determined by the registering body.		N/A
CF.6.5.1	Finding	Required Rectification(s)
VICSEG New Futures has met the requirements for collecting the prospective student's national unique student identifier via the enrolment form and provided evidence of a student's unique student identifier file being verified.		N/A

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CONDITION 7 - Recognition of Qualifications Issued by other RTOs		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • 2021 Intake and Enrolment process V9 Jan 2021 • QUALIFICATIONS ISSUANCE POLICY V4 • 2022 Initial Engagement Checklist • CREDIT TRANSFER APPLICATION FORM V2 • Credit transfer step by step admin process • How to check student's transcript • How to give USI permission to NFT for students • 2021 Credit transfer and RPL report 		
CF.7.1	Finding	Required Rectification(s)
	VICSEG New Futures has a process in place to recognise AQF Qualifications and Statements of Attainments issued by other RTO's. Potential students are engaged during the enrolment process about potential credit transfers.	N/A

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CONDITION 8 - Accuracy and Integrity of Marketing		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Brochure - Cert III in Com Services - Marketing Review Checklist • Brochure - CertIV Disability - Marketing Review Checklist • NFT_CB_Certificate III in Community Services • NFT_CB_CHC43115_Cert IV_Disability_In Class • NFT-StudentHandBook_V6.9 2022 • Marketing material consent 1-5 		
CF.8.1.1	Finding	Required Rectification(s)
<p>VICSEG New Futures has ensured its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. The NRT logo has also been employed in accordance with its conditions of use.</p> <p>Permission for use of personal images has been obtained via the marketing material consent form.</p>		N/A
Opportunity for Improvement		
<p>The RTO should consider advising students on the marketing brochure that a COVID-19 vaccination is required to gain employment in fields such as disability and community services.</p>		

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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> - TRAINING PACKAGE TRANSITIONS POLICY V3.1 MAY 2020 - TRANSITION CHECKLIST V2.0 MAY 2020 <p>Completed transition checklists</p> <ul style="list-style-type: none"> - Transition Checklist-Clothing and Textile - Transition Checklist-Asthma - Student ID_39189 Transition Document - Copy 		
CF.9.1	Finding	Required Rectification(s)
	VICSEG New Futures has provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA.	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		
<ul style="list-style-type: none"> - CONTINUOUS IMPROVEMENT POLICY_PROCESS V5 - QUALITY INDICATORS 2019_VICSEG New Futures - QUALITY INDICATORS REPORT_VICSEG New Futures 21203 - Sample Groups for AQTF Learner Engagement Survey 2020 - Sample Groups for AQTF Learner Engagement Survey 2021 - Schedule of classes for end of Program surveys - Survey timeline per course - Performance Measures_compared with the previous - VETStat-Detailed-Report-VICSEG New Futures - VETStat-Summary-Report-VICSEG New Futures 2019 - VETStat-Summary-Report-VICSEG New Futures - VETStat-VICSEG New Futures-data - Management Operations Meeting Minutes- 10 07 2020 - Management Operations Meeting Minutes- 11-12-2020 - Management Operations Meeting Minutes- 10-09-2021 - Management Operations Meeting Minutes- 12-11-2021 		
SF.1.1.1	Finding	Required Rectification(s)
	VICSEG New Futures has mechanisms in place to collect data relevant for continuous improvement of training and assessment. Information collected through surveying participants has been used to improve training and assessment materials and logged into a continuous improvement register.	N/A

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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		
Training and Assessment Strategies: <ul style="list-style-type: none"> • TAS CHC32015 Certificate III in Community Services_Standard BLENDED V1.1 COV 2021 • TAS CHC32015 Certificate III in Community Services_Standard CLASSBASED V2.0 August 2021 • TAS CHC43115 Certificate IV in Disability V 1.2 2021 IN CLASS FACE TO FACE Full • TAS CHC43115 Certificate IV in Disability V1.2 2021 IN CLASS BLENDED Full • TAS CHC43115 Certificate IV in Disability V1.2 2021 IN CLASS BLENDED IS GRADUATES 		
SF.1.2.1	Finding	Required Rectification(s)
	VICSEG New Futures strategies for training and assessment that meet the requirements of the relevant Training Package. VICSEG New Futures also have strategies in place for work placement interruptions by further COVID-19 restrictions from placement hosts.	N/A

<p>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.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p><u>CHC32015 Certificate III in Community Services</u></p> <ul style="list-style-type: none"> • HLTWHS002 Follow safe work practices for direct client care • Learner Guide HLTWHS002 • PowerPoint HLTWHS002 • Assessment Book HLTWHS002 • Mapping HLTWHS002 Follow safe work practices for direct client care • Structured Prescribed Learning HLTWHS002 • Trainer Guide HLTWHS002 <p>CHCCOM005 Communicate and work in health or community services</p> <ul style="list-style-type: none"> • Learner Guide CHCCOM005 • PowerPoint CHCCOM005 • Assessment Book CHCCOM005 • Mapping CHCCOM005 • Structured Prescribes Learning CHCCOM005 • Trainer Guide CHCCOM005 <p>TRAINER HANDBOOK CHC32015 Certificate III in Community Services</p> <p><u>CHC43115 Certificate IV in Disability</u></p> <p>CHCCCS015 Provide individualised support</p> <ul style="list-style-type: none"> • CHCCCS015 Provide individualised support PowerPoint • Learner Guide CHCCCS015 2020 • Mapping CHCCCS015 V 1.1 • Trainer Guide CHCCCS015 2020 	

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- Written+Practical CHCCCS015 2020

CHCDIS008 Facilitate community participation and social inclusion

- CHCDIS008 Facilitate community participation and inclusion PowerPoint
- Learner Guide CHCDIS008 2018
- Mapping CHCDIS008 V 1.1 2019
- Trainer Guide CHCDIS008 V 2.2 2019
- Written+Practical CHCDIS008 2019.

TRAINER HANDBOOK CHC43115 Certificate IV in Disability

CHC43115 Structured Prescribed Learning Full

Mary Dital Care Plan

- Kate Megor Care Plan
- policies and procedures2020
- Tommy Bokim Care Plan

Community Services- photos of classroom and PPE station

Practical Room Equipment and operating conditions

Photographic Evidence FIRST AID

Staff- See Standard 1.4

Assessment See Standard 1.5

Statutory declaration confirming facilities

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

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<p>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Trainer files for:</p> <p>CHC32015 Certificate III in Community Services</p> <ul style="list-style-type: none"> • Rosemary Johnston • Sue Paten <p>CHC43115 Certificate IV in Disability</p> <p>The audit sampled the following Trainers and Assessors.</p> <ul style="list-style-type: none"> • Carlos Alberto Gasset • Jose Stella Elizabeth Sahaya Rani • Sovannara (Linda) Suth • Karen Buot 	
<p>SF.1.4.1 Finding</p>	<p>Required Rectification(s)</p>
<p>The audit reviewed a total of six trainer and assessor files across the two qualifications being reviewed. VICSEG New Futures ensures staff holds the necessary training and assessment competencies and has completed continuing professional development in Vocational Education and Training (VET) knowledge and skills.</p> <p>VICSEG New Futures could demonstrate relevant vocational competencies at least to the level being delivered or assessed and current industry skills directly relevant to the training/assessment being undertaken.</p>	<p>N/A</p>

<p>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.</p>	Non-Compliant
Evidence/Documentation Reviewed	
<p>Training and Assessment resources for:</p> <p><u>CHC32015 Certificate III in Community Services</u></p> <p>HLTWHS002 Follow safe work practices for direct client care</p> <ul style="list-style-type: none"> • Learner Guide HLTWHS002 • PowerPoint HLTWHS002 • Assessment Book HLTWHS002 • Mapping HLTWHS002 Follow safe work practices for direct client care • Structured Prescribed Learning HLTWHS002 • Trainer Guide HLTWHS002 <p>CHCCOM005 Communicate and work in health or community services</p> <ul style="list-style-type: none"> • Learner Guide CHCCOM005 • PowerPoint CHCCOM005 • Assessment Book CHCCOM005 • Mapping CHCCOM005 • Structured Prescribes Learning CHCCOM005 • Trainer Guide CHCCOM005 <p>TRAINER HANDBOOK CHC32015 Certificate III in Community Services</p> <p><u>CHC43115 Certificate IV in Disability</u></p>	

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CHCCCS015 Provide individualised support

- CHCCCS015 Provide individualised support PowerPoint
- Learner Guide CHCCCS015 2020
- Mapping CHCCCS015 V 1.1
- Trainer Guide CHCCCS015 2020
- Written+Practical CHCCCS015 2020

CHCDIS008 Facilitate community participation and social inclusion

- CHCDIS008 Facilitate community participation and inclusion PowerPoint
- Learner Guide CHCDIS008 2018
- Mapping CHCDIS008 V 1.1 2019
- Trainer Guide CHCDIS008 V 2.2 2019
- Written+Practical CHCDIS008 2019.

TRAINER HANDBOOK CHC43115 Certificate IV in Disability

CHC43115 Structured Prescribed Learning Full

Mary Dital Care Plan

- Kate Megor Care Plan
- policies and procedures2020
- Tommy Bokim Care Plan

SF.1.5.1	Finding	Required Rectification(s)
	<p>CHC32015 Certificate III in Community Services HLTWHS002 Follow safe work practices for direct client care VICSEG New Futures provided learning and assessment that meets the requirements of the relevant Training Package, is conducted in accordance with the principles of assessment and the rules of evidence and meets workplace and, where relevant, regulatory requirements</p>	N/A
SF.1.5.2	Finding	Required Rectification(s)

CHC32015 Certificate III in Community Services

CHCCOM005 Communicate and work in health or community services

The evidence provided does not confirm that VICSEG New Futures has an assessment system that addresses the training product requirements and does not ensure that all assessments are conducted in accordance with the Principles of Assessment and the Rules of Evidence

Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. Examples include but are not limited too;

The following knowledge requirements are not adequate addressed through the current assessments.

legal and ethical considerations in relation to communication:

- privacy, confidentiality and disclosure
- discrimination
- duty of care
- mandatory reporting
- translation
- informed consent
- work role boundaries – responsibilities and limitations
- child protection across all health and community services contexts, including duty of care when child is not the client, indicators of risk and adult disclosure

organisation structure and different models to support optimum client service:

- principles underpinning person-centred service delivery
- principles of rights-based service delivery
- different roles and responsibilities of team
- characteristics of multi-disciplinary teams and how they are used
- relationships between different members of the health and community services workforces
- role of support services
- links and interrelationships with other services

VICSEG New Futures is required to review their assessment system to ensure the assessments address the training product requirements.

VICSEG New Futures is required to review their assessment system to ensure appropriate instructions are available to the assessor and students to ensure the student and assessor are clear on the assessment objectives and requirements.

<ul style="list-style-type: none"> • funding environment <p>Instructions for the simulated role play are not clear for the assessor. The assessment requires the student to select two scenarios from a list of six, however, there is no additional information about the scenario for the assessor apart from the heading.</p>	
<p>SF 1.5.3 Finding</p>	<p>Required Rectification(s)</p>
<p>CHC43115 Certificate IV in Disability CHCCS015 Provide individualised support</p> <p>VICSEG New Futures provided learning and assessment that meets the requirements of the relevant Training Package, however, is not conducted accordance with the principles of assessment and the rules of evidence.</p> <p>Instructions for the practical assessments are not clear for the assessor. The instructions do not provide adequate instructions on how to set up the practical tasks, how the practical tasks are to be conducted and what equipment and resources are required.</p>	<p>VICSEG New Futures is required to review their assessment system to ensure appropriate instructions are available to the assessor and students to ensure the student and assessor are clear on the assessment objectives and requirements.</p>
<p>SF 1.5.4 Finding</p>	<p>Required Rectification(s)</p>
<p>CHC43115 Certificate IV in Disability CHCDIS008 Facilitate community participation and social inclusion</p> <p>VICSEG New Futures provided learning and assessment that meets the requirements of the relevant Training Package, is conducted in accordance with the principles of assessment and the rules of evidence and meets workplace and, where relevant, regulatory requirements</p>	<p>N/A</p>

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

Compliant

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Evidence/Documentation Reviewed	
<ul style="list-style-type: none"> PTR CHC43115 Certificate IV in Disability V1 2022 updated Updated 2021 PTR CHC32015 Certificate III in Community Services-2020 V1 NFT-StudentHandBook_V6.9 2022 STUDENT SUPPORT AND WELFARE POLICY V7 (1) Sample of Enrolment Pack_LLN 00897- sample of Training plan and Timetable Welcome to VICSEG New Futures 	
SF.2.1.1 Finding	Required Rectification(s)
VICSEG New Futures 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	
<ul style="list-style-type: none"> CONTINUOUS IMPROVEMENT POLICY_PROCESS V5 QUALITY INDICATORS 2019_VICSEG New Futures QUALITY INDICATORS REPORT_VICSEG New Futures 21203 Sample Groups for AQTF Learner Engagement Survey 2020 Sample Groups for AQTF Learner Engagement Survey 2021 Schedule of classes for end of Program surveys Survey timeline per course Performance Measures_compared with the previous VETStat-Detailed-Report-VICSEG New Futures VETStat-Summary-Report-VICSEG New Futures 2019 	

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<ul style="list-style-type: none"> VETStat-Summary-Report-VICSEG New Futures VETStat-VICSEG New Futures-data 	
SF.2.2.1	Finding
<p>VICSEG New Futures has mechanisms in place to collect data relevant for continuous improvement of client services. Information collected through surveying participants has been used to improve training and assessment materials and other client service areas and logged into a continuous improvement register.</p>	
Required Rectification(s)	
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		
<ul style="list-style-type: none"> PTR CHC43115 Certificate IV in Disability V1 2022 updated Updated 2021 PTR CHC32015 Certificate III in Community Services-2020 V1 NFT-StudentHandBook_V6.9 2022 STUDENT SUPPORT AND WELFARE POLICY V7 (1) Sample of Enrolment Pack_LLN 00897- sample of Training plan and Timetable Welcome to VICSEG New Futures 2022 Initial Engagement Checklist Student Agreement Normal 2022 SAP Sample-12537_Access Plan (1) SAP Sample-42385_Access Plan_Diploma of Early Childhood Education and Care (CHC50113) 		
SF.2.3.1	Finding	Required Rectification(s)
<p>VICSEG New Futures 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.</p>		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
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2.5 - Learners receive training, assessment and support services that meet their individual needs.	Compliant
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Evidence/Documentation Reviewed	
<ul style="list-style-type: none"> PTR CHC43115 Certificate IV in Disability V1 2022 updated Updated 2021 PTR CHC32015 Certificate III in Community Services-2020 V1 NFT-StudentHandBook_V6.9 2022 STUDENT SUPPORT AND WELFARE POLICY V7 (1) Sample of Enrolment Pack_LLN 00897- sample of Training plan and Timetable Welcome to VICSEG New Futures 	
SF.2.5.1 Finding	Required Rectification(s)
VICSEG New Futures 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
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Evidence/Documentation Reviewed	
<ul style="list-style-type: none"> NFT-StudentHandBook_V6.9 2022 (1) 2021 EVIDENCE OF PARTICIPATION POLICY - ATTENDANCE POLICY V7.3 RECORD MANAGEMENT POLICY V3.2 (2) 	
SF.2.6.1 Finding	Required Rectification(s)
VICSEG New Futures 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 process.	N/A

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2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> Complaints and Appeals Policy and Procedure V3.3 April 2021 NFT-StudentHandBook_V6.9 2022 (1) Minor Issues Register 2017 -Current 		
SF.2.7.1	Finding	Required Rectification(s)
VICSEG New Futures 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, including the VRQA.		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		
<ul style="list-style-type: none"> Student Agreement Normal 2022 (2) Work placement agreement letter Cert IV Disability V2.0 Application for Enrolment RECORD MANAGEMENT POLICY V3.2 (4) 		
SF.3.1.1	Finding	Required Rectification(s)
VICSEG New Futures management of its operations ensured clients received the services detailed in their agreement with the RTO.		N/A

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3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.		Compliant
<ul style="list-style-type: none"> - CONTINUOUS IMPROVEMENT POLICY_PROCESS V5 - QUALITY INDICATORS 2019_VICSEG New Futures - QUALITY INDICATORS REPORT_VICSEG New Futures 21203 - Sample Groups for AQTF Learner Engagement Survey 2020 - Sample Groups for AQTF Learner Engagement Survey 2021 - Schedule of classes for end of Program surveys - Survey timeline per course - Performance Measures_compared with the previous - VETStat-Detailed-Report-VICSEG New Futures - VETStat-Summary-Report-VICSEG New Futures 2019 - VETStat-Summary-Report-VICSEG New Futures - VETStat-VICSEG New Futures-data 		
SF.3.2.1	Finding	Required Rectification(s)
	VICSEG New Futures has mechanisms in place to collect data relevant for continuous improvement of the operations of the RTO. Information collected through surveying participants has been used to improve training and assessment materials and other client service areas and logged into a continuous improvement register	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
<ul style="list-style-type: none"> • RECORD MANAGEMENT POLICY V3.2 (4) • Version Control Register_Enrolment Documentations • Record Keeping Schedule V4 • Full fee box destruction process 		

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- 2021 ITelligent Agreement_SIGNED
- DESTRUCTION OF RECORDS V5
- LLNROBOT Invoice
- VETtrak Service Agreement – 2021
- VicSeg Security Review

SF.3.4.1	Finding	Required Rectification(s)
	<p>VICSEG New Futures had a major data breach in late 2021 from web hackers who demanded a large ransom for the return of company files. VICSEG New Futures notified the VRQA and other relevant authorities. With the help of their insurance company, VICSEG New Futures was able to recover a majority of their company files. VICSEG New Futures has since had a full security review and improved a number of functions to protect their data.</p> <p>VICSEG New Futures has policies and processes in place to manage, store and destroy records and ensure their accuracy and integrity.</p>	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

Not Audited in Phase 2 audit

- v. training and assessment delivery including proposed facilities and delivery hours

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:

- 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

Not Audited

- 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.

**Not audited in
Phase 2 audit**

GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:

- 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.

Not audited

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.

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:

- by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- 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:

- within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
- 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:

- clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and
- 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 provides, in print or through referral to an electronic copy, current and accurate information that:

Not Audited

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- 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

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.

Compliant

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

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See Standard 1.4		
GF 3.1.1	Finding	
	<p>The audit reviewed a total of six trainer and assessor files across the two qualifications being reviewed. VICSEG New Futures ensures staff holds the necessary training and assessment competencies and has completed continuing professional development in Vocational Education and Training (VET) knowledge and skills.</p> <p>VICSEG New Futures could demonstrate relevant vocational competencies at least to the level being delivered or assessed and current industry skills directly relevant to the training/assessment being undertaken.</p>	
		Required Rectification(s)
		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)
	<p>The audit reviewed a total of six trainer and assessor files across the two qualifications being reviewed. VICSEG New Futures ensures staff holds the necessary training and assessment competencies and has completed continuing professional development in Vocational Education and Training (VET) knowledge and skills.</p>	N/A

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VICSEG New Futures could demonstrate relevant vocational competencies at least to the level being delivered or assessed and current industry skills directly relevant to the training/assessment being undertaken.	
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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
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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
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GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:	Not Audited
<ul style="list-style-type: none"> 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. 	

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
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See Standard 1.2	
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GF 4.1.1	Finding	Required Rectification(s)
	VICSEG New Futures 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

<p>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:</p> <ul style="list-style-type: none"> 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)
	VICSEG New Futures 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.	N/A

<p>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.</p>	Not Audited
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<p>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.</p>	<p>Not Audited</p>
<p>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:</p> <ul style="list-style-type: none"> a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines. 	<p>Not Audited</p>
<p>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.</p>	<p>Not Audited</p>
<p>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:</p> <ul style="list-style-type: none"> 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. 	<p>Not audited</p>
<p>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:</p> <ul style="list-style-type: none"> 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. 	<p>Not audited</p>