

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

Audit Date: 14 & 15 November 2023

RTO: 3969 Mountain District Women's Co-operative

Applicant Details			
Applicant Name	Mountain District Women's Co-operative Ltd (Mountain District Learning Centre)	TOID	3969
Address	13-15 The Avenue, FERNTREE GULLY, VIC, 3156		
	Website	http://www.mdlc.org.au	
Registration Contact	Ms Janet Claringbold, CEO		
Phone Number	Phone: (03) 9758 7859 Mobile: 0418 839 503	Email	janetc@mdl.org.au
Audit Team			
Audit Firm	ShineWing Australia	Lead Auditor	John Molenaar
Auditor/s	John Molenaar	Other Attendees	Janet Claringbold, CEO Alison Percy, Education and Training manager Sue Dunn, RTO Compliance Manager
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9059 4537	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-Registration Audit		
Audit Date/s	14 & 15 November 2023		
RTO Background			
Organisation background <p>Mountain District Learning Centre was established in 1974 as Mountain District Women's Co-op. The Co-op focused on the interests of local women supporting the sale of hand-made craft items, providing an independent income for the women. The Co-op offered access to local community education, making academic achievement a reality. Today, the Centre provides programs for education, skill development, friendship and enjoyment. MDLC has a strong community development focus and participates in activities that help to strengthen the community including acting as publishers of the Ferntree Gully News, participating in collaborative networks and consultative committees that advance community interests.</p> <p>The centre operates as a Registered Training Organisation, Learn Local and Neighbourhood House, in Ferntree Gully and provides high quality community education and programs to local people and with a focus on youth re-engagement, adult literacy and social inclusion.</p> <p>In addition to education and training programs, MDLC conducts a series of social support programs for vulnerable people in the community, along with groups and workshops that allow people to foster their interests and improve their wellbeing and social connections.</p>			
RTO Operations			

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MDLC was registered as an RTO in 1995 and offers a customised youth re-engagement program, known as The Cottage Program, which is designed for young people who may be experiencing Social Anxiety/Generalised Anxiety or similar issues which make attending mainstream school too difficult. The Cottage Program combines the Certificate of General Education for Adults with a wellbeing program and is supported by highly experienced staff and a team of youth workers. In 2023 MDLC was nominated as a Finalist in the Victorian Training Awards in the community provider category. In 2022 MDLC received an overall satisfaction rating of 97.45% in the annual quality survey.

Other accredited skill development courses include Responsible Service of Alcohol and Work Safely in the Construction Industry (White Card).

The Centre is funded through a number of sources including, support from local council; in kind support from the Uniting Church through provision of facilities, ACFE Learn Local support, the SVTS program and government grants in support of disengaged learners.

The Re-registration Audit

MDCL registration as an RTO expires in June 2024. A renewal of registration audit was conducted as a one-day desk audit of documentation and evidence and a one day site audit to clarify evidence provided, review facilities and interview Trainer/Assessors and students and review completed student assessments.

Summary of Audit Findings

The audit identified that MDCL delivers training and assessment services designed specifically for young people who have been disengaged from learning and may have stopped attending school.

The Cottage Program combines the Certificates of General Education for Adults with a wellbeing program and is supported by highly experienced staff and a team of youth workers.

The learning and assessment strategies have been developed through an understanding of the needs of the learners and to motivate them to continue their education and complete qualifications that will enable them to access further education.

Carefully selected trainers/assessors, with skills and experience in youth development, are employed and deliver training in a small class environment, supported by social workers who provide individual support to learners. The course units are delivered in creative ways that relate to the students' lives, to motivate learners to develop the required knowledge and skills.

Learning resources and assessment tools were developed to be appropriate to the amplitude of the learner cohort, setting them up for success.

The audit identified a few minor non compliances at Standards 2.2 and 3.4 and Guideline 4.2 and 6.1.

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Qualifications/Units Audited¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
22473VIC	Certificate II in General Education for Adults VU22412 Implement and review a project VU22418 Create a range of complex texts for personal purposes	13-15 The Avenue, FERNTREE GULLY, VIC,
CPCWHS1001	Prepare to work safely in the construction industry.	13-15 The Avenue, FERNTREE GULLY, VIC,

Interviewee(s) – Staff name and position; employer name and position	
Sue Dunn	RTO Compliance Manager
Alison Percy	Education and Training Manager
Magdalena Delport	Trainer/Assessor Certificate II in General Education for Adults
Stephen Robertson	Trainer/Assessor Certificate II in General Education for Adults
Class 4 students	Students, Certificate II in General Education for Adults
Kaleb	Student, Certificate II in General Education for Adults

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

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Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
All training is delivered at: 15 The Avenue FERNTREE GULLY VIC 3156 212 Mt Dandenong Road, Croydon VIC		

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

Delivery to students under the age of 18 years	Yes	No
	X	
Training and Assessment services are delivered to students under the age of 18 years. Many of these students are secondary school age students who are completing a Certificate 11 and III of General Education for Adults as part of the secondary school education.		

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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	
Summary of Non-Compliance			
Strengths			
Summary of strengths to be listed here			

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
6. Child Safe Standards			
6.1 – First Nations cultural safety	X		

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6.2 – Child safety and wellbeing is embedded	X		
6.3 – Empowerment of young people	X		
6.4 – Families of young people are informed and involved	X		
6.5 – Equity is upheld and diversity respected	X		
6.6 – RTO supports employees working with young people	X		
6.7 – Complaints processes respond to child safety concerns	X		
6.8 – Staff and volunteers receive child safety training	X		
6.9 – RTO environments are child safe	X		
6.10 – Child safety processes are reviewed	X		
6.11 – Policies and procedures ensure child safety practices	X		

Summary of Non-Compliance²
GF.1.3.1 Short description of first finding relating to guideline 1.1 GF.1.3.2 Short description of second finding relating to guideline 1.1 GF.2.1.1 Short description of first finding relating to guideline 2.1...etc.
Strengths
Summary of strengths to be listed here

² GF = Guideline Finding. Finding references are aligned to the Detailed Findings section of this report.

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Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration Audit.		
CF.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit.	N/A

CONDITION 2 - Interactions with the Registering Body		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration Audit.		
CF. 2	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit.	N/A

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CONDITION 3 - Compliance with Legislation

Compliant

Evidence/Documentation Reviewed

Review of:

Compliance Obligations Policy (6.16 MDLC Compliance Obligations Version 3.3) The purpose of this policy is to ensure the following elements of organisational practices meet regulatory requirements:

- Delivery of vocational education and training within Victoria.
- Maintaining the welfare and safety of students, staff and visitors
- Financial management
- and compliance with:
 - AQTF – Australian Quality Training Framework,
 - VRQA - The Victorian Registration and Qualifications Authority,
 - SKILLS FIRST – Higher Education and Skills Group,
 - Data Integrity for Reporting,
 - ACFE - The Adult, Community and Further Education,
 - VCAA - The Victorian Curriculum and Assessment Authority
- MDLC General Obligations - table of specific obligations and compliance requirements
- Staff Contracts – outliners the: Position and Duties of the Employee, Declaration of Interest,
- Student Handbook – Vocational Education and Training and Student Code of Conduct
- Trainer Handbook – includes Accredited Training – Trainer Requirements, Responsibilities Towards Maintaining RTO Compliance, MDLC Education Department Policies and Procedures
- Cottage Team Meetings – sample Agenda 6-7-2023 – legislation update.
- Training and Assessment Strategies- Legislative and regulatory requirements.

Supporting documents:

- 6.16 MDLC Compliance Obligations Version 3.3
- MDLC - NHACE Agreement
- Cottage Program Student Handbook 2023
- MDLC Trainer Handbook 2023 v3
- The Cottage Meeting Agenda 6-7-2023

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- Privacy Statement
- About us – website
- Student Code of Conduct – sets out student obligations
- ICT Agreement - encourages students to develop responsible self-discipline and respect for the rights of others.

CF.3.1	Finding	Required Rectification(s)
	<p>A review of the legislation identified in the 'Compliance Obligations Policy' and 'notations of implications of changes in legalisation' in the Cottage Team Meetings minutes, confirmed that the Mountain District Learning Centre had identified and implemented relevant Commonwealth, State or Territory legislation and regulatory requirements that were relevant to its operations and its scope of registration. It ensured that its staff and clients were fully informed of these requirements that affected their duties or participation in vocational education and training through the Staff Handbook, Cottage Team Meetings and Student Handbook.</p> <p>It was noted that the legislation identified in the Compliance Obligations Policy did not specifically reference the Education Training Reform Act 2006 and the Education Training Reform Amendment Act 2010.</p>	N/A

Improvement Opportunities
Mountain District Learning Centre would benefit by including the Education Training Reform Act 2006 and the. Education Training Reform Amendment Act 2010 in the Compliance Obligations Policy

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CONDITION 4 – Insurance		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration audit.		
CF. 4	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A

CONDITION 5 - Financial Management		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration audit.		
CF. 5	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A

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CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Policy - Issuance of Certificates & Statements of Attainment – refers to the Australian Skills Quality Authority (ASQA) Fact Sheet – Sample form of AQF certification documentation. • Certificate Template • Statement of Attainment Template • Register of Certificates • Student Training Plans Procedure – includes detailed information on training and assessment agreed to by the student and the RTO • Training Plan Template – Example • Sample of template certificate and Statement of Attainment • Sample of issued certificate and Statement of Attainment <p>Supporting documents:</p> <ul style="list-style-type: none"> • 6.09 MDLC _Issuance of Certificates & Statements of Attainment Version 4.1 (Generated by VETtrak) • VETtrak – Reports – Standard Reports – Awards- • Awards Register Report. Copy in Compliance VETtrak reports • 6.06P2 MDLC Student Training Plans 		
CF.6.1	Finding	Required Rectification(s)
	<p>The Policy - Issuance of Certificates & Statements of Attainment – referring to the Australian Skills Quality Authority (ASQA) Fact Sheet – Sample form of AQF certification documentation, provides the guidelines for issuing credentials.</p> <p>A review of template Certificate and Statement of Attainment and sample of Certificate and Statements of Attainment issued, confirmed that Mountain District Learning Centre had issued testamurs in accordance with the requirements of the Training Packages and Accredited Courses that meet the requirements of the Australian Qualifications Framework (AQF). The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.</p>	N/A

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CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> Policy and Procedures – Record Keeping and Archiving – identifies how Mountain District Learning Centre (MDLC) retains and stores a range of information and documents as required by their funding and registering bodies, government departments and for administrative purposes. Register of Certificates and Statements of Attainment issued 1995 – 2023, as maintained in VETtrak. <p>Supporting documents:</p> <ul style="list-style-type: none"> 6.11 MDLC Records Management and Archiving Version 6.1 - MDLC utilises the Skills Victoria Training System (SVTS) for reporting all student statistical data and claims for funding in accordance with the Victorian VET Student Statistical Collection Guidelines and the Guide to SVTS 6.11 P4 MDLC Archiving Procedures for Student Records Version 2.1 Identifies document and data retention procedures. 6.11A1 MDLC Document Retention Schedule_3.01 Identifies that student records will be retained for 30 year following completion 		
CF.6.2.1	Finding	Required Rectification(s)
	A review of the Records Management and Archiving Policy and the Document Retention Schedule confirmed that Mountain District Learning Centre has a system in place to retain client records of attainment of units of competency and qualifications for a period of 30 years.	N/A

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Condition 6 – Certification & Issuing of Qualifications & Statements of Attainment		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> Record Keeping and Archiving Policy – identifies that MDLC maintains a Student Management System (SMS) that complies with the Victorian VET Student Statistical Collection Guidelines. VETtrak is maintained as the Student Data management System. Enrolment Form – includes AVETMISS data collection. <p>Supporting documents</p> <ul style="list-style-type: none"> VETtrak Invoice 6.11.2023 P1 MDLC Records Management and Archiving Version 6.1 6.01 Student Selection and enrolment – identifies that all enrolment forms will be checked each calendar year to ensure they meet compliance requirements in accordance with all funding body contracts including notifications received through the Skills Victoria Training System on-line portal (SVTS). 2023_Accredited enrolment form_2023 2023_Cottage_Program_Enrolment_Form_2023_Version 1 Sample of records maintained in the VETtrak 		
CF.6.3.1	Finding	Required Rectification(s)
	A review of the Record Keeping and Archiving Policy and a sample of records maintained in the VETtrak Student Data management System confirms Mountain District Learning Centre that has a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data.	N/A

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Condition 6 – Certification & Issuing of Qualifications & Statements of Attainment		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> Compliance Manager Position Description – identifies the role to ensure student data entry via the MDLC Student Management System is carried out and the systematic digital storage of all RTO training and assessment and operational documents. <p>Support documents:</p> <ul style="list-style-type: none"> MDLC Compliance Manager_2023_Version 1 Sample of SVTS monthly uploads – last upload 27/10/2023 		
CF.6.4.1	Finding	Required Rectification(s)
	A review of the VETtrak Records and monthly SVTS reports confirms that Mountain District Learning Centre provides returns of its client records of attainment of units of competency and qualifications to the Higher Education and Skills Group on a monthly basis. The November report identified an error which the Compliance Manager explained how this would be rectified, confirming that the Compliance manager was well conversed with the operation of the data management System.	N/A

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Condition 6 – Certification & Issuing of Qualifications & Statements of Attainment		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • USI Procedure - Unique Student Identifier (USI) • Enrolment Form page 4 Unique Student Identifier (USI) - From 1 January 2015, Mountain District Learning Centre, can be prevented from issuing a nationally recognised VET qualification or statement of attainment for completed programs if you do not have a Unique Student Identifier (USI). • VETtrak – Client Wizard – screen 1 • VETtrak – USI verification • Samples of Student Records maintained in VETtrak. <p>Supporting documents</p> <ul style="list-style-type: none"> • 6.11 P3 MDLC Location and Creation of USIs Version 2.1 • 2023_Accredited enrolment form_2023 • 2023_Cottage_Program_Enrolment_Form_2023_Version 		
CF.6.5.1	Finding	Required Rectification(s)
	A review of the template Enrolment Form, samples of completed Enrolment Forms and USI Procedure - Unique Student Identifier (USI), and the VETtrak verification process, confirming that Mountain District Learning Centre meets the requirements for implementation of a national unique student identifier.	N/A

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CONDITION 7 - Recognition of Qualifications Issued by other RTOs		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Pre-training Review Procedure - identify competencies previously acquired (Recognition of Prior Learning or Recognition of Current Competency or Credit Transfer. • Recognition of Prior Learning Policy and Procedures - Mountain District Learning Centre (MDLC) recognises qualifications gained by students at other training organisations and to ensure students have a clear understanding of the options for Recognition of Prior Learning (RPL), Credit Transfer (CT) and Recognition of Current Competency (RCC) in keeping with the required standards. • Student Handbook - Recognition of Prior Learning (RPL), Credit Transfer (CT) and Recognition of Current Competency (RCC) • Sample of Student Records in VETtrak and Student training Plans (See Standard 1.5) Recognition – Common units in Certification 11 and Certificate III Certificate of Education for Adults. <p>Supporting documents</p> <ul style="list-style-type: none"> • 6.01 P MDLC Pre-training Review Version 8.2 • 6.17 MDLC _Recognition of Prior Learning, Credit Transfer and Recognition of Current Competency Version 5.0 • 6.17P MDLC _Recognition of Prior Learning (RPL), Credit Transfer (CT) and Recognition of Current Competency (RCC) _Version 2.0 • Cottage Program Student Handbook 2023 page 13 		
CF.7.1	Finding	Required Rectification(s)
	<p>The Pre-training Review Procedure, Recognition of Prior Learning Policy and Procedures and the Student Handbook - Recognition of Prior Learning (RPL), Credit Transfer (CT) and Recognition of Current Competency, (RCC) confirms that Mountain District Learning Centre has a process in place for recognition of qualifications, statements of attainment issued by other RTOs and potential learners are informed of national recognition process.</p> <p>Evidence of Implementation was provided through a sample of Student Training Plans and VETtrak records, where units for Credit Transfer were identified. Sample certificates identified CT units.</p>	N/A

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CONDITION 8 - Accuracy and Integrity of Marketing		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Marketing Policy, annexures, and checklists. • MDLC Website Checklist, MDLC Social Media Checklist, MDLC Marketing Material Checklist • Course Program • Publicity Permission form • Enrolment Form page - Publicity Consent <p>Supporting documents</p> <ul style="list-style-type: none"> • 1.13 MDLC Marketing policy Version 3.0 • 1.13A1 Marketing Annexure Website checklist Version 3.0 • 1.13A2 Marketing Annexure Social Media checklist Version 1.0 • 1.13A3 MDLC Marketing Material Checklist Version 3.1 • 2023_Cottage_Program_Enrolment_Form_2023_Version 1 • 2023 Course Outlines – sample: The Cottage Program Group 1 - 22473VIC Certificate II in General Education for Adults and/or 22474VIC Certificate III in General Education for Adults • Course Outline 2023 • Skills First Quality Charter • Marketing Material Checklist 1.13_A1 • Marketing Policy Annexure Website Checklist 1.13_A2 		
CF.8.1	Finding	Required Rectification(s)
	A review of the Marketing Policy and the Checklists for Reviewing Marketing and Informational Materials confirms that Mountain District Learning Centre has strategies in place to ensure that its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.	N/A

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Samples of marketing materials prepared and approved were reviewed and found to be compliant, including the use of the NRT Logo.

Students complete Publicity Permission forms to provide consent for the use of their image in marketing materials.

Improvement Opportunities

Mountain District Learning Centre would benefit by maintaining a register of all marketing and information materials prepared and approved.

Students complete a Publicity Permission form to provide consent for the use of their image in marketing materials. This leaves the assumption that the students/guardians are comfortable to have images used in all promotional materials. This may not be consistent with protecting a student's privacy. Mountain District Learning Centre would benefit from implementing the use of a 'permission to use images' form which is completed for the use of every image in promotional materials and identifies where the image is to be used and for what period of time, signed and dated by the students/guardians.

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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed</p> <ul style="list-style-type: none"> • Transition to New Training Products Policy - to ensure Mountain District Learning Centre (MDLC) transitions to new training products within twelve (12) months from the date of release on the National Register and meets the Standards for RTOs 2015 and Training Package requirements. • Accredited unit update and development plan • Sample Accredited unit update and development plan - Assessor Guide to be updated - Instructions to assessor • Sample 22692VIC action plan <p>Support documents:</p> <ul style="list-style-type: none"> • 6.06 P3 MDLC Transition To New Training Products Version 2.0 • 22692VIC action plan 		
CF.9.1	Finding	Required Rectification(s)
	<p>Mountain District Learning Centre manages the transition from superseded Training Packages within 12 months of their publication on the TGA. Samples of transition plans confirmed effective implementation.</p> <p>Mountain District Learning Centre manages the transition from superseded accredited courses as identified in course transition plans.</p>	N/A

Improvement Opportunities	
<p>Mountain District Learning Centre manages the transition from superseded accredited courses as identified in course transition plans. The procedures did not identify that students will not be enrolled in a course after its expiry date. Mountain District Learning Centre would benefit by including in the Transition to New Training Products Policy, that students will not be enrolled in an accredited course after its expiry date.</p>	

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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		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Continuous Improvement Policy and Procedures • Continuous Improvement Registers <p>Support documents</p> <ul style="list-style-type: none"> • 6.05 MDLC Continuous Improvement Version 5.0 • 6.05 P MDLC Continuous Improvement Procedure Version 5.0 • 2021 Ci Register • 2022 CI Register • 2023 CI Register 		
SF.1.1.1	Finding	Required Rectification(s)
	<p>The Continuous Improvement Procedure identifies that feedback will be collected from stakeholders including students, staff, Pre-accredited training – Quality Framework tools, consultations with partner organisations, AQTF Quality Indicators.</p> <p>Monitoring and analysis strategies are identified. Internal audits, performance reviews, complaints and appeals contribute to identifying areas for improvement. The continuous improve schedule outlines the annual feedback collection activities.</p> <p>A sample of three Continuous Improvement registers for, 2021, 2022, 2023 include the feedback obtained and processes and actions implemented to improve learning and assessment.</p>	N/A

Improvement Opportunities

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RTO: 3969 Mountain District Women's Co-operative Ltd (Mountain District Learning Centre)

Mountain District Learning Centre would benefit by modifying the Continuous Improvement Register to include the source of feedback (as identified in the Continuous Improvement Procedures) and the proposed date for the review of the effectiveness of actions implemented.

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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		
<p>Reviewed: TAS Development Policy</p> <p>Training and Assessment Strategies for:</p> <ul style="list-style-type: none"> • 22473VIC - Certificate II in General Education for Adults <ul style="list-style-type: none"> ○ Training and Assessment Strategies Version 1.0 19-7-2023 ○ Assessment matrix ○ Delivery Structure • CPCWHS1001 - Prepare to work safely in the construction industry. <ul style="list-style-type: none"> ○ Training and Assessment Strategies Version 1.0 19-7-2023 ○ Assessment matrix ○ Delivery Structure <p>Support documents:</p> <ul style="list-style-type: none"> • 6.23 MDLC Training and Assessment Strategy (TAS) Development Version 2.0 • 6.23A2_MDLC_Training & assessment Strategy Template Cottage Program • 6.23A3_MDLC_Training & Assessment Strategy Template VET • CPCWHS1001 Training Assessment Strategy Final • TAS Cottage The Cottage Group 1 2023 		
SF.1.2.1	Finding	Required Rectification(s)
	Training and Assessment Strategies (TASs) for each qualification and units sampled at audit were reviewed and found to meet the requirements of the Training Package. The TASs included information about the industry consultation conducted, identifying the people and organisations consulted. Industry consultation forms identified the feedback provided and the recommendations for TAS development.	N/A

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An annual review of the TAS is conducted and they are further developed through Trainer/Assessor feedback, which is maintained in the Trainer/Assessor Feedback Evaluation Forms, which are completed at the end of each term.

A review of the sample of TASs identified that the training product is accurately identified and the selected with core and elective components meet packaging rules. The mode of delivery for all courses is through face-to-face delivery, consistent with the learning needs and preferred learning styles of learners.

Entry requirements are identified, consistent with the aptitudes of learners. Duration and scheduling are planned to accommodate learner preferences and needs.

Assessment methods are validated through regular validation meetings with staff of other organisations through the statewide CGEA Champions Group.

Learning resources and required equipment are sufficient to meet the size of the intended cohorts which mainly include small class sizes. Of up to twelve students.

Trainers and assessors for the sampled qualification and units, have the necessary training and assessment competencies and meet VRQA Guideline requirements.

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Duration and scheduling is planned to accommodate learner preferences and needs. The TASs identify the course duration however a rational of the amount for the amount of training based on the learners needs and learning methodology was not identified. (See Guideline 4.2)

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ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.

Compliant

Evidence/Documentation Reviewed

Reviewed:

- Student Handouts
- Laptop
- Projector
- Internet Access
- Training and Assessment Strategies:
 - 22473VIC - Certificate II in General Education for Adults
 - Assessment matrix
 - Required Trainer and assessor competencies.
 - Facilities and equipment lists
 - Trainer/Assessor personnel file for Magdalena Delport
 - CPCWHS1001 - Prepare to work safely in the construction industry.
 - Assessment matrix
 - Required Trainer and assessor competencies.
 - Facilities and equipment lists
 - Trainer/Assessor personnel file for Barry Campbell
- Training facilities
 - 13-15 The Avenue, FERNTREE GULLY which include 'The Studio', a dedicated learning space with capacity for up to twenty learners, though classes are usually no larger than twelve students.
 - The Nosh, Croydon – classroom, furniture to accommodate up 20 students, chillout area, games area, quiet area, youth work office, lockable area, commercial kitchen, outdoor court yard. Toilets – male, female, all gender. Location - close to train station.

VU22412 Implement and review a project

Learning Resources:

- 18 common barriers to success
- How do you transfer your learning to different contexts or situations

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- Interest exercise
- SMART Goals template
- Assessment Task 1 Portfolio Project Action Plan
- EOP Responses
- Evidence of Participation Coversheet
- Assessment Task Cover Sheet Portfolio
- Assessment Task Cover Sheet Observation
- Assessor Guide
- Assessment Mapping
- Student Assessment:
 1. Develop a Portfolio of work
 2. Observation.
- Unit Outcome record

VU22418 Create a range of complex texts for personal purposes

- Assessment matrix
- Required Trainer and assessor competencies.
- Facilities and equipment lists
- Trainer/Assessor personnel file for Barry Campbell

CPCWHS1001 - Prepare to work safely in the construction industry.

- Hazard report
- Incident report Form
- A handbook for workplaces - Controlling OHS hazards and risks, WorkSafe
- Information about How and when to prepare and use a safe work method statement (SWMS) for high-risk construction work (HRCW).
- Template Safe Work Method Statements
- Risk Assessment and Control Form
- Workplace Safety Worksheet
- Assessment tasks:

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- Assessment Task 1: Short answer questions PPE
- Assessment Task 2: Demonstration and Observation PPE
- Assessment Task 3: Short Answer Question Scenario – Hazard Identification
- Assessment Task 4: Complete Risk assessment form
- Assessment Task 5: Written Questions – Hazards and control measures
- Assessment Task 6: Verbal Questions
- Assessment Task 7: Written Questions – First Aid
- Assessment Task 8: Written Questions – Fire Safety Equipment
- Assessment Task 9: Multiple choice questions

SF.1.3.1	Finding	Required Rectification(s)
	<p>A review of TASs for the qualifications and units sampled identified learning and assessment resources and training facilities together with the Trainer/Assessor information confirmed that there are sufficient, accessible and appropriate resources for existing and planned delivery of services. The staffing structure is appropriate for the number of students and there are staff to deliver all training products on the scope of registration.</p> <p>Facilities reviewed are appropriate for the training delivery to the proposed number of students.</p> <p>Equipment was identified as suitable for the qualifications, courses and units delivered and consistent with the RTOs training and assessment strategy.</p> <p>Learning resources and assessment materials were identified as appropriate and sufficient for the cohort of learners.</p>	N/A

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ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:

- a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and
- b) have the relevant vocational competencies at least to the level being delivered or assessed, and
- c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and
- d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and Trainer/Assessor competence.

Compliant

Evidence/Documentation Reviewed

22473VIC - Certificate II in General Education for Adults

Reviewed:

- Trainer/Assessor personnel file for Magdalena Delport and Stephen Robertson

CPCWHS1001 - Prepare to work safely in the construction industry.

Reviewed:

- Trainer/Assessor personnel file for Barry Campbell

Support documents:

- MDLC PD Register
- MDLC trainer assessor Profiles
- Professional development plans
- MDLC CENTRE SAFETY REGISTER 2023

SF.1.4.1

Finding

Required Rectification(s)

22473VIC - Certificate II in General Education for Adults

N/A

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CPCWHS1001 - Prepare to work safely in the construction industry

For the qualification and units reviewed the Trainer/Assessor personnel files (which included certified copies of qualifications, PD Plans, PD registers, Trainer/Assessor profiles) provided evidence to support that each Trainer/Assessor held the required training/assessment and industry competence, their professional development had been planned and attended.

The Staff Safety Registers for each Trainer/Assessor included current Police Checks, WWC checks, VIT registration, Child Safe Training Record

Training and assessment is delivered by trainers and assessors who have the necessary training and assessment competencies and relevant vocational competencies and can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and Trainer/Assessor competence.

22473VIC - Certificate II in General Education for Adults

It was noted that the Certificate II in General Education for Adults qualifications have specific minimum qualification requirements of trainers/assessors as follows:

6.2 Assessor competencies

In the context of the delivery and assessment of the Core Skills Reading, Writing units, relevant vocational competencies refers to demonstrable expertise in teaching literacy. This can include holding an AQF level 7 or above teaching qualification with a relevant method. Where a teacher / assessor does not hold a formal relevant qualification they would need to demonstrate relevant knowledge of the theory of literacy development and its application. This can include adult literacy pedagogy and the socio – cultural factors affecting literacy learning, including language as a social and cultural phenomenon and the importance of context.

In the context of the delivery and assessment of the Core Skills Numeracy and Mathematics units, relevant vocational competencies refer to demonstrable expertise in teaching numeracy. This can include holding an AQF level 7 or above teaching qualification with a relevant method. Where a teacher / assessor does not hold a formal relevant qualification they would need to demonstrate knowledge of the

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theory of numeracy development and its application. This can include adult numeracy pedagogy and the importance of context.

Both trainers/assessors, Magdalena Delport and Stephen Robertson held post AQF level 7 qualifications:

Master of Arts in English Philology with Teaching and Bachelor of Teaching/Bachelor of Exercise Science consecutively. However, Stephen Robertson achieved his qualification in 2023 and has taught the Certificates in General Education for Adults qualifications since 2019. The Vocational Mapping Accredited Trainer & Assessor Profiles for 2019, 2020, 2021 and 2022 were reviewed at audit along with the subjects/units held to provide evidence of holding:

demonstrable expertise in teaching numeracy and demonstrated knowledge of the theory of numeracy development and its application.

relevant vocational competencies to demonstrable expertise in teaching literacy and to demonstrated relevant knowledge of the theory of literacy development and its application.

Following this task, it was confirmed that Stephen Robertson held the required adult numeracy pedagogy and the importance of context, adult literacy pedagogy and the socio-cultural factors affecting literacy learning.

CPCWHS1001 - Prepare to work safely in the construction industry

The Trainer/Assessor Barry Campbell is a Building and Construction Trainer at a local secondary school and delivers this unit annually to groups of learners. The Trainer/Assessor is contracted by the Mountain District Learning Centre to deliver the unit as a short course, in accordance with client demand, and holds a current Permission to Teach issued by the VIT.

For the qualification and unit reviewed, Trainer/Assessor personnel files which included certified copies of qualifications, PD Plans, PD registers, Trainer/Assessor profiles, provided evidence to support that each Trainer/Assessor held the required training/assessment and industry competence, their professional development had been planned and attended.

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Stephen Robertson achieved the qualifications Bachelor of Teaching/Bachelor of Exercise Science in 2023 and has taught the Certificates in General Education for Adults qualifications since 2019. The Vocational Mapping Accredited Trainer & Assessor Profiles for 2019, 2020, 2021 and 2022 were reviewed at audit along with the subjects/units held to provide evidence of holding:

demonstrable expertise in teaching numeracy and demonstrated knowledge of the theory of numeracy development and its application.

relevant vocational competencies to demonstrable expertise in teaching literacy and to demonstrated relevant knowledge of the theory of literacy development and its application.

Following this task, it was confirmed that Stephen Robertson held the required adult numeracy pedagogy and the importance of context, adult literacy pedagogy and the socio – cultural factors affecting literacy learning’.

Mountain District Learning Centre would benefit by reviewing its strategies for course requirements and identify a process for reviewing Trainer/Assessor qualifications requirements and documentation of each Trainer/Assessor qualifications aligned to the qualifications/courses contracted to delivery, to ensure that these readily confirm that trainers/assessors hold the required credentials, as identified in qualification/course requirements.

Mountain District Learning Centre would benefit including a section in the Vocational Mapping Accredited Trainer & Assessor Profiles document, which the CEO signs and dates, to confirm that each Trainer/Assessor holds the required qualifications/credentials to delivery and assess the qualification/unit/course that they are contract to deliver.

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ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):

- a) meets the requirements of the relevant Training Package or accredited course**
- b) is conducted in accordance with the principles of assessment and the rules of evidence**
- c) meets workplace and, where relevant, regulatory requirements**
- d) is systematically validated.**

Compliant

Evidence/Documentation Reviewed

Reviewed:

MDLC Validation Industry consultation schedule

22473VIC - Certificate II in General Education for Adults

- Training and Assessment Strategy - TAS Cottage The Cottage Group 1 2023
- Assessor Guides
- Assessment Tools
- Industry Consultation records
- Assessment Task Cover Sheets
- Unit Outcome records

VU22412 Implement and review a project

- Evidence of Participation Coversheet Task 1 - Portfolio
- Evidence of Participation Coversheet Task 2 Observation
- VU22412 assessor Guide
- VU22412 Student assessment
- VU22412 assessment mapping
- VU22412 Mapping
- Assessment tasks
 - Task 1 Portfolio
 - Task 2 Direct Observation
- Completed Student Assessments: 6 students 2022/2023

VU22418 Create a range of complex texts for personal purposes

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- VU22418 Assessor Guide
- VU22418 Student assessment
- VU22418 assessment mapping
- VU22418 Mapping
- VU22418 Assessor Guide
- VU22418 Student assessment
- Assessment Task Cover Sheet
- Unit Outcome Record sheet
- Assessment Tasks:
 - Report – Collection of Texts
 - Research Assignment – An inspirational person
 - Product
 - Observation – Create a digital Brochure
 - Completed Student Assessments: 6 students – 2022/2023

CPCWHS1001 - Prepare to work safely in the construction industry.

- Training and Assessment Strategy
- Assessor Guide
- Assessment Tool
- Industry Consultation record
- Assessment Task Cover Sheet
- Unit Outcome record
- CPCWHS1001 Training Assessment Strategy Final
- CPCWHS1001 assessor Guide
- CPCWHS1001 Student assessment Tasks
- CPCWHS1001 Assessment mapping
- Assessment Task Cover Sheet
- Unit Outcome Record sheet
- Victorian Workcover Tax Invoice 20-6-2023 11 students
- Accredited course enrolment forms

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- Unit Out records.
- Assessments:
 - Scenario
 - Observation
 - Verbal Questions
 - Multiple Choice Questions
 - Activity 1 – Personal Protective Equipment (PPE)
 - Activity 2 – Observation Checklist
 - Activity 2 – Practical Demonstration (PPE)
 - Activity 3 – Identify construction hazards
 - Activity 4 – Risk assessments and hazards
 - Activity 5 – Hazards and risk control measures
 - Activity 6 – Verbal Questions
 - Activity 7 – First Aid procedures
 - Activity 8 – Fire safety equipment
 - Activity 9 – Multiple Choice Questions
- Completed Student Assessments: 6 students - 2022

SF.1.5.1	Finding	Required Rectification(s)
	<p>22473VIC - Certificate II in General Education for Adults</p> <p>A review of the assessment arrangements, assessment instruments and sample of completed student assessments (six students for each unit sampled) confirms that assessments meet the requirements of the relevant Training Package and accredited courses.</p> <p><i>Evidence was provided of the systematic validation of units, conducted in conjunction with the statewide CGEA Champions Group.</i></p> <p>Recording and reporting assessment outcomes were consistent and complete.</p> <p>A sample of six students files for each of the two units sampled confirmed that the identified assessment tools had been implemented and appropriate evidence of assessment decision making was maintained. The</p>	<p>N/A</p>

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assessors provided constructive feedback on assessments completed. Any risk of cheating or plagiarism was mitigated by ensuring individual task completion.	
SF.1.5.2 Finding	Required Rectification(s)
<p>CPCWHS1001 - Prepare to work safely in the construction industry.</p> <p>A review of the assessment arrangements, assessment instruments and sample of completed student assessments (six students for each unit sampled) confirms that assessments meet the requirements of the relevant Unit of Competency.</p> <p>Assessments were conducted in accordance with the principles of assessment and the rules of evidence and for the <i>CPCWHS1001 - Prepare to work safely in the construction industry</i> met workplace and regulatory requirements.</p> <p>Recording and reporting assessment outcomes were inconsistent and not complete.</p> <p>A sample of six students files for the unit confirmed that the identified assessment tools had been implemented and appropriate evidence of assessment decision making was maintained, however recording and reporting of assessment outcomes were inconsistent and incomplete. (See Standard 3.4 – Records management.)</p>	N/A

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

Compliant

Evidence/Documentation Reviewed

Reviewed:

- Expression of Interest 2023_V1
- Student Wellbeing referral V2
- Completed ASCF assessments - ASCF Testing – samples of completed Tests for 6 students (See 1.5)
- ASCF Review Report 2023
- Pre-Training Review checklist samples of completed Tests for 6 students (See 1.5)
- Enrolment checklist samples of completed Tests for 6 students (See 1.5)
- Cottage Continuing _Student Checklist2023
- MDLC Enrolment Process RACI _2023 (Responsible, Accountable, Consulted, Informed)
- Cottage Program Student Handbook 2023
- Student Handbook -general

Support documents:

- Expression of Interest form
- Student wellbeing referral form
- Student Handbook
- Trainer Handbook
- Ready to Learn plans
- Case management meetings
- Student Pathway meetings
- MDLC Trainer Handbook 2023 v3
- 2023 Ready to Learn Plans Group 1
- Student Pathway Meeting Letter Group 1

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SF.2.1.1	Finding	Required Rectification(s)
	<p>A review pre-enrolment interviews and Student Pathway meeting records, confirm that Mountain District Learning Centre establishes the needs of clients and delivers services to meet these needs. Pre-enrolment Records maintained on student file (and sampled for 6 X 3 students), identify the aptitude and needs of learner.</p> <p>The structure of the qualification/units delivery methods, which include small class sizes, ensures that client service needs are identified on an ongoing basis. Students interviewed at audit confirmed that services offered to clients are sufficient to meet their needs.</p> <p>Student support services provided by the centre were identified in the Student Handbook</p>	N/A

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2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Non-Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Quality Indicators • 2021 CI Register • 2022 CI Register • 2023 CI Register • MDLC Quality indicators survey 2022 <p>Support documents:</p> <ul style="list-style-type: none"> • Child Safe Questionnaire • Child Safe Questionnaire – student Progress Meetings 		
SF.2.1	Finding	Required Rectification(s)
	<p>Mountain District Learning Centre offers and provides learners with comprehensive support services to ensure that each learner is able to effectively complete their course, with a focus on achievement and wellbeing. Feedback on the effectiveness of these services is obtained informally and mainly through staff feedback.</p> <p>Students interviewed at audit confirmed that services offered to clients are sufficient to meet client needs.</p> <p>Evidence of the implementation of feedback strategies to obtain feedback from students which results in identifying improvement opportunities was not provided. The Continuous Improvement registers did not include feedback from students, analysis and improvement actions related to student support services.</p> <p>It was not clear how Mountain District Learning Centre systematically improves client services by collecting, analysing and acting upon relevant data or how the RTO monitors implementation of improvement opportunities.</p>	<p>Mountain District Learning Centre is required to develop and implement a systematic process for collecting and analysing data relating to client services and provide evidence that this is acted upon.</p>
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Mountain District Learning Centre would benefit by identifying strategies for obtaining feedback from students on the effectiveness of student support accessed, that is most relevant and effective to the cohorts of learners, and instead of surveys that provide responses of 1 – 4, to look at strategies such as focus groups, youth meetings where information could be obtained anecdotally and recorded for further review by the leadership group to identify opportunities for improvement.

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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

Reviewed:

- Student Handbook
- Course Outline
- Course Trial opportunity – Enrolment RACI
- Cottage Program Student Handbook 2023
- Pre-enrolment information and interviews
- Career pathway interviews

Support documents

- MDLC Trainer Handbook 2023 v3
- The Cottage Program Group 1 Course Outline
- MDLC Enrolment Process RACI 2023

SF.2.3.1 Finding

Required Rectification(s)

A review of the Course Outlines, Cottage Program Student Handbook 2023 and information provided at pre-course interviews and Student Pathway Meetings, confirms that students are adequately informed about the training, assessment and support services to be provided, and about their rights and obligations, prior to enrolment and completing the Enrolment Form.

Students interviewed at audit confirmed that that they were adequately informed about the courses that they had enrolled in, and that the information provided prior to enrolment was accurate and consistent with the services offered.

N/A

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2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.

Compliant

Evidence/Documentation Reviewed

Reviewed:

- Trainer Handbook
- Cottage Team Meetings
- Position Descriptions
- Associated Duties

Support documents:

- MDLC Trainer Handbook 2023 v3
- The Cottage Meeting Agenda 6-7-2023
- Trainer-Assessor Position Description 2023 V1.1
- Associated Duties and Additional Conditions

SF.2.4.1

Finding

Required Rectification(s)

Whilst Students enrolled in the qualification and unit sampled did not complete Supported Workplace Learning activities employers have been involved in the development of the programs through reviewing training and assessment arrangements. This has been obtained by Trainer/Assessor interviews with feedback recorded by the Assessor in the Program Evaluation and Review Forms.

A review of a sample of the Program Evaluation and Review Forms confirm that employers have provided valuable input which has further developed the training and assessment arrangement confirming that employers and other parties are engaged in the development, delivery and monitoring of training and assessment.

N/A

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2.5 - Learners receive training, assessment and support services that meet their individual needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Student Records (sample files of 6 X 3 students) • 6.11P2 MDLC Student Records Management (Accredited Courses)_Version 2.1 • Student interviews at audit 		
SF.2.5.1	Finding	Required Rectification(s)
	A review of learners files, pre enrolment information, interview reports and records, and face to face interviews with students at audit, and processes employed to structure learning and assessment arrangements for cohorts of students confirms that learners receive training, assessment and support services that meet their individual needs.	N/A

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2.6 - Learners have timely access to current and accurate records of their participation and progress.		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Trainer Handbook - Student access to records • Student Handbook - Student access to records • Sample of student files • Parent/teacher interview program • Career Pathway Interviews <p>Support documents:</p> <ul style="list-style-type: none"> • MDLC Trainer Handbook 2023 Version 3 page 14 • Cottage program Student Handbook 2023 page 15 		
SF.2.6.1	Finding	Required Rectification(s)
	A review of student information sources, a sample of student records maintained on file, the Centre interview program and interviews with students at the time of audit confirms that Mountain District Learning Centre provide the opportunities for learners to have timely access to current and accurate records of their participation and progress.	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

Reviewed:

- Complaints and concerns policy
- Trainer Handbook
- Cottage Program Student Handbook – page 15
- Trainer Handbook page 10
- Confidential folder of formal complaints received and processed: 2010 – 2023, includes 14 complaints.

Support documents

- 6.14 MDLC Complaints and Concerns Version 1.1
- 6.25 MDLC Training Course Complaints and Appeals Version 4.2
- 6.25MDLC_P_training Course Complaints and appeals procedure Version 4.2
- Cottage Program Student Handbook – page 15
- Trainer Handbook page 10

SF.2.7.1 Finding

Mountain District Learning Centre has developed and implements a Complaints and Concerns procedure which identifies an informal, formal, appeals and an Independent Mediation and Consultation process. The VRQA Complaints procedures and the National Complaints Hotline are identified as independent sources of information and mediation.

Information is provided to students in the Student Handbook – Complaints and Appeals.

The review of a Confidential Folder (maintained securely in the CEO's office) of complaints received and processed confirms that that organisation complaints resolution processes are effectively implemented.

Required Rectification(s)

N/A

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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	
<p>Reviewed:</p> <ul style="list-style-type: none"> • Enrolment Forms – signed agreements • Student Handbook – Rights and responsibilities, Code of Conduct. • Trainer Handbook – Legal Duty of Care • Assessor Guides • Student Assessment Tasks • Assessment, Moderation and Validation Policy • Quality Assurance Procedure • Sample of Policies and Procedures <p>Support documents:</p> <ul style="list-style-type: none"> • 2023_Accredited enrolment form_2023 • 2023_Cottage_Program_Enrolment_Form_2023_Version 1 • Cottage Program Student Handbook • Trainer Handbook • CPCWHS1001 assessor Guide • CPCWHS1001 Student assessment Tasks • VU22412 assessor Guide • VU22412 Student assessment • VU22413 VU22418 Assessor Guide • VU22413 VU22418 Student assessment • 6.07 assessment, Moderation and Validation • 6.21 Quality Assurance 	
SF.3.1.1 Finding	Required Rectification(s)

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Mountain District Learning Centre has developed and implements policies and procedures to ensure smooth and effective operations in the provision of quality services. Students attend pre-enrolment sessions, complete an Enrolment Form which identifies services to be provided and review a Student Handbook which outline the centre's services and identifies student rights and responsibilities, including a Code of Conduct.

The Quality Procedures outline the strategies for the review of operations in maintaining and delivering quality programs by preparing and adhering to policies that ensure it is delivering effective and compliant services.

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

The agreements in place with students are identified in signed Enrolment Forms and information in the Student Handbook and identified procedures are implemented to protect clients' consumer rights. Students interviewed at audit confirmed that they receive the services as outlined prior to commencing their courses.

N/A

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

Compliant

Evidence/Documentation Reviewed

Reviewed:

- CI Registers
- Child Safe Questionnaire
- Quality Indicators Reports
- Compliance Meetings
- MDLV Internal Audit reports
- Quality Policy
- Sample of compliance meeting minutes
- Policies and Processes AQTF Standards and Conditions
- Re-registration Audit Evidence Guide 2023

Support documents

- 2021 Ci Register
- 2022 Ci Register
- 2023 Ci Register
- Child Safe Questionnaire – student Progress Meetings
- MDLC_vetregQualsIndicatorrs2022
- Compliance Meeting Minutes September 7
- MDLC Policies and Processes AQTF Standards and Conditions

SF.3.2.1 Finding

Required Rectification(s)

Mountain District Learning Centre has developed and implements a Quality Procedure which outlines the strategies for the review of operations in maintaining and delivering quality programs by preparing and adhering to policies that ensure it is delivering effective and compliant services.

N/A

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The re-registration Audit Evidence Guide, completed prior to audit, provides evidence of an effective review of operations and identifies the strategies implemented to ensure compliance with each AQTF Condition and Standard and the VRQA Guidelines for RTOs.

The conduct of Trainer/Assessor meetings collects feedback from staff on the effectiveness of procedures to ensure compliance with quality and compliance requirements. Compliance meetings are conducted with senior staff to analyse feedback obtained and to identify actions for improvement.

Mountain District Learning Centre management of its operations ensures clients receive the services detailed in their agreement with the RTO. Data is collected through a number of strategies and analysed at Compliance Meetings to identify areas for improvement. The RTO uses a systematic and continuous improvement approach to the management of operations.

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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
Evidence/Documentation Reviewed		
Mountain District Learning Centre has not engaged third parties in relation to any aspect of the AQTF Essential Conditions and Standards for Registration		
SF.3.3.1	Finding	Required Rectification(s)
	Mountain District Learning Centre has not engaged third parties in relation to any aspect of the AQTF Essential Conditions and Standards for Registration	N/A

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3.4 - The RTO manages records to ensure their accuracy and integrity.		Non-Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Records Management Policy • Compliance Obligations • Archive register • Iron Mountain Contract for secure storage of files. <p>Support documents</p> <ul style="list-style-type: none"> • 6.16 Compliance Obligations Version 3.2 • Archive register • 6.11 Records Management and Archiving Policy • 6.11 P1 Records Management and Archiving Procedure Document • 6.11 P3 Location and Creation of USIs • 6.11 A1 Document Retention Schedule • 6.11 A2 Archive Box Content Sheet • 6.11 A3 Authorisation for Destruction of Records • Skills First Program 2018-2019 Standard VET Funding Contract (Section 10.6), • Public Records Office of Victoria (PROV) • Standards for Registered Training Organisations (RTOs) 2015 • AQTF Essential Conditions and Standards for Continuing Registration. 		
SF.3.4.1	Finding	Required Rectification(s)
	Mountain District Learning Centre has identified compliance obligations related areas of registration and funding and has established procedures to identify and apply date management requirements. These include:	N/A

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compliance with the Australian Quality Training Framework: which has a strong focus on continuous improvement, and the requirement to gather information on their performance against three Quality Indicators.

The Victorian Registration and Qualifications Authority which provides regulation to ensure quality education and training is delivered by providers registered in Victoria, and to promote informed choice when it comes to education and training decisions.

Higher Education and Skills Group Skills First manages the Government funded training market and regulates the governance and accountability of Registered Training Organisations. MDLC has the responsibility to ensure the ongoing integrity of data for reporting.

The Adult, Community and Further Education Board provides financial support for Learn Local programs for which MDCL is required to demonstrate ongoing accountability.

The Victorian Curriculum and Assessment Authority requires MDLC to demonstrate ongoing compliance in reporting for all students enrolled in Victorian Certificate of Education (VCE), Victorian Certificate of Applied Learning (VCAL) and Vocational Education and Training (VET) as part of VCE and VCAL.

The Mountain District Learning Centre Records Management Policy outlines the procedures to ensure accurate and effective management of data. A review of sample of data maintained in compliance with the numerous programs regulated by government authorities, confirmed that effective strategies have been implemented including:

the effective maintenance of Student Record for accredited courses:

Student Administration/Enrolment File management

Management of Hardcopy Student Records

Student's Work, Assessment and Evidence of Participation

Archiving of Hardcopy Student Records

Retention and Destruction of documents

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The RTO manages records to ensure their accuracy and integrity and provided evidence of accurate, complete and consistent records	
SF.3.4.2 Finding	Required Rectification(s)
<p>CPCWHS1001 - Prepare to work safely in the construction</p> <p>A sample of six students files for the unit confirmed that the identified assessment tools had been implemented and appropriate evidence of assessment decision making was maintained, however recording and reporting of assessment outcomes was inconsistent and incomplete. (See Standard 3.4 – Records management).</p> <p>The assessor had provided evidence of marking all students' responses. For the six student assessment files reviews, all included student responses to written questions which were not consistent with the assessment marking guide. And the assessor had not identified these.</p>	<p>CPCWHS1001 - Prepare to work safely in the construction</p> <p>Mountain District Learning Centre is required to review the procedures implemented by the assessor for the unit <i>CPCWHS1001 - Prepare to work safely in the construction</i> and ensure that all completed assessments provide evidence that the assessor has marked all student responses on an assessment and that assessment records are accurately completed and to provide for complete and compliant student files.</p>

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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**

Not audited as part of this re-registration audit.

GF 1.1	Finding	Required Rectification(s)
	Not audited as part of this re-registration audit.	N/A

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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**

Not audited as part of this re-registration audit.

GF 1.2	Finding	Required Rectification(s)
	Not audited as part of this re-registration audit.	N/A

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**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
- 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 as part of this re-registration audit.

GF 1.3.1	Finding	Required Rectification(s)
	Not audited as part of this re-registration audit.	N/A

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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.		
Not audited as part of this re-registration audit.		
GF 1.4	Finding	Required Rectification(s)
Not audited as part of this re-registration audit.		N/A

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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. <ul style="list-style-type: none"> • A <i>third party</i> 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. • <i>Services</i> 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
Evidence/Documentation Reviewed		
N/A		
GF 2.1.1	Finding	Required Rectification(s)
	N/A	N/A

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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

Evidence/Documentation Reviewed

N/A

GF 2.2.1

Finding

Required Rectification(s)

N/A

N/A

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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

Evidence/Documentation Reviewed

N/A

GF 2.3.1

Finding

Required Rectification(s)

N/A

N/A

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GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by: <div><div>a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and</div><div>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.</div></div>		Not audited
Evidence/Documentation Reviewed		
N/A		
GF 2.4.1	Finding	
N/A		Required Rectification(s)
N/A		N/A

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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:

- 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

Evidence/Documentation Reviewed

N/A

GF 2.5.1 Finding

Required Rectification(s)

N/A

N/A

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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
Evidence/Documentation Reviewed		
N/A		
GF 2.6.1	Finding	Required Rectification(s)
	N/A	N/A

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GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:		Not audited
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.		
Evidence/Documentation Reviewed		
N/A		
GF 2.7.1	Finding	Required Rectification(s)
	N/A	N/A

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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
Evidence/Documentation Reviewed		
N/A		
GF 2.8.1	Finding	Required Rectification(s)
	N/A	N/A

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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.

Evidence/Documentation Reviewed

- Trainer / assessor Files
- Trainer Profiles
- Trainer PD Plans
- Trainer PD register
- Hard Copy Folders in Compliance Filing Cabinet
- MDLC PD Register
- MDLC trainer assessor Profile
- Professional development plans
- MDLC CENTRE SAFETY REGISTER 2023

See Standard 1.4

GF 3.1.1	Finding	Required Rectification(s)
	<p>A review of Trainer/Assessor information confirmed that training and assessment was conducted by trainers/assessors who had vocational competencies at least to the level being delivered and assessed, current industry skills directly relevant to the training and assessment being provided, and current knowledge and skills in vocational training and learning that informed their training and assessment.</p> <p>All trainers/assessors (teachers) delivering training and assessment for the RTO courses also maintained current VIT Registration or VIT Permission to Teach authorisation.</p>	N/A

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Improvement Opportunities

Mountain District Learning Centre would benefit by reviewing its strategies for course requirements and identify a process for reviewing Trainer/Assessor qualifications requirements and documentation of each Trainer/Assessor qualifications aligned to the qualifications/courses contracted to delivery, to ensure that these readily confirm that trainers/assessors hold the required credentials, as identified in qualification/course requirements.

Mountain District Learning Centre would benefit including a section in the Vocational Mapping Accredited Trainer & Assessor Profiles document, where the CEO signs and dates to confirm that each Trainer/Assessor holds the required qualifications/credentials to delivery and assess the qualification/unit/course that they are contract to deliver.

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GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4		
GF 3.2.1	Finding	Required Rectification(s)
	A review of Trainer/Assessor information confirmed that training and assessment was delivered by appropriately qualified trainers/assessors.	N/A

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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

Evidence/Documentation Reviewed

Mountain District Learning centre does not provide assessment only services.

GF 3.3.1 Finding

Required Rectification(s)

Mountain District Learning centre does not provide assessment only services.

N/A

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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
Evidence/Documentation Reviewed		
Mountain District Learning centre does not engage individuals who are not a qualified trainer and/or assessor,		
GF 3.4.1	Finding	Required Rectification(s)
	Mountain District Learning centre does not engage individuals who are not a qualified trainer and/or assessor,	N/A

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GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:		Not audited
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.		
Evidence/Documentation Reviewed		
Mountain District Learning centre does not engage individuals who are not a qualified trainer and/or assessor,		
GF 3.5.1	Finding	Required Rectification(s)
	Mountain District Learning centre does not engage individuals who are not a qualified trainer and/or assessor,	N/A

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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
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Student assessment Tasks • Assessor Guides • Training and Assessment Strategies • CPCWHS1001 assessor Guide • CPCWHS1001 Student assessment Tasks • VU22412 assessor Guide • VU22412 Student assessment • VU22413 VU22418 Assessor Guide • VU22413 VU22418 Student assessment • 6.07 assessment, Moderation and Validation • 6.21 Quality Assurance <p>See Standard 1.2</p>		
GF 4.1.1	Finding	Required Rectification(s)
	Mountain District Learning Centre training and assessment strategies and practices, including the amount of training it provides, is 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.	N/A

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GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:		Non-compliant
a) the existing skills, knowledge and the experience of the student; b) the mode of delivery; and c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.		
Evidence/Documentation Reviewed		
<ul style="list-style-type: none">• Training and assessment Strategy• Unit Development Plan • CPCWHS1001 Training Assessment Strategy Final• TAS Cottage The Cottage Group 1 2023• Accredited unit update and development plan <p>See Standard 1.2</p>		
GF 4.2.1	Finding	Required Rectification(s)
Mountain District Learning Centre has carefully structured programs to meet the needs of learners and delivers the training within the durations identified by AQF Volume of Learning and Implementation Guide Nominal Hours. The training and assessment strategies did not provide a rational for the amount of training to be delivered based on the existing skills, knowledge and the experience of the student and the mode of delivery.		Mountain District Learning Centre is required to identify in the training and assessment arrangements for each qualification and course, a rational for the amount of training based on existing skills, knowledge and the experience of the student and the mode of delivery.

Improvement Opportunities

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Mountain District Learning Centre would benefit by including in training and assessment arrangements for each qualification and course, a rationale for the amount of training to be delivered that identifies small class sizes (no more than 12 students), support provided by a social worker present in all classes, the extensive experience of trainers/assessors in working with disengaged learners and special support services available to learners.

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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
Evidence/Documentation Reviewed		
Mountain District Learning Centre does not deliver a qualification or assessor skill set from the Training and Education Training Package.		
GF 4.3.1	Finding	Required Rectification(s)
	Mountain District Learning Centre does not deliver a qualification or assessor skill set from the Training and Education Training Package.	N/A

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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
Evidence/Documentation Reviewed		
Mountain District Learning Centre does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
GF 4.4.1	Finding	Required Rectification(s)
	Mountain District Learning Centre does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A

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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:		Not audited
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.		
Evidence/Documentation Reviewed		
Mountain District Learning Centre does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
GF 4.5.1	Finding	Required Rectification(s)
	Mountain District Learning Centre does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A

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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
Evidence/Documentation Reviewed		
Mountain District Learning Centre does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
GF 4.6.1	Finding	Required Rectification(s)
	Mountain District Learning Centre does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A

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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:		Not audited
<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. 		
Not audited as part of this Re-registration Audit.		
GF 4.7	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit.	N/A

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:		Not audited
<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. 		
Not audited as part of this Re-registration Audit.		
GF 5.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit.	N/A

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GUIDELINE 6.1 - Organisations establish a culturally safe environment in which the diverse and unique identities and experiences of Aboriginal children and young people are respected and valued

Compliant

Evidence/Documentation Reviewed

Reviewed:

- Student Welfare Policy
- Child Safety and Wellbeing Policy and Procedures
- Child Safety Responding and Reporting Policy
- Child Safety Code of Conduct
- Empowerment Program Timetable
- Empowering Students Framework
- Complaints and Concerns Policy
- Complaints and Concerns Form

Support documents:

- Ministerial Order 1359 (for schools)
- The law of the Commonwealth or of the relevant state or territory;
- Child Safe Standards Victoria
- Victoria Police Reporting Guidelines
- Reportable Conduct Scheme
- Children Youth & Families Act
- 1.01 Policy development, dissemination, and review
- 2.03 Risk Management Policy
- 3.06 Recruitment Policy
- 3.02 Induction Policy
- 3.06 A1 Reference Check Template
- 3.06 A2 Child Safety Staff Recruitment Checklist
- 5.04 Student Behaviour Management
- 5.03 Student Code of Conduct

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- 5.10 Child Safety Responding and Reporting Obligations
- 5.10 A1 Four Critical Actions
- 5.10 A2 Child Safety & Wellbeing Incident Report Form
- 5.11 A1 Child Safety Code of Conduct
- 5.11 A2 Child Safety Information Sheet- CSIS 2 Recognising Signs of Child Abuse
- 5.11 A3 Child Safety Information Sheet- CSIS 1 Signs of Sexual and Other Abuse in Teenagers
- 5.11 A4 Child Safety Information Sheet- CSIS 3 Empowerment - Education Program Timetable
- 5.11 A5 Child Safety & Wellbeing Risk Management Plan
- 5.11 A6 Child Safety & Wellbeing Review Checklist
- 5.11 A7 Child Safety & Wellbeing Student Placement Checklist
- 5.11 A8 Child Safety & Wellbeing Training Action Plan
- 5.11 A9 Empowering Student Framework
- 5.11 A10 Child Safe Questionnaire
- 6.05 Continuous Improvement Policy
- 6.05 A1 Continuous Improvement Register
- 6.13 Privacy Policy
- 6.16 Compliance Obligations Policy
- 6.14 Complaints and Concerns Policy
- 4.01A3 Register of Contractors
- 5.17 Student Internet and ICT Usage
- 5.17A1 Internet Usage Agreement
- 6.29 IT Security
- 6.27 Acceptable Use for ICT Systems and IT usage

GF 6.1	Finding	Required Rectification(s)
	Mountain District Learning Centre has developed <i>Student Welfare Policy, Child Safety and Wellbeing Policy and Procedures, Child Safety Responding and Reporting Policy</i> and <i>Child Safety Code of Conduct</i> that identify and include systems/practices to ensure the ongoing safety of students. Staff are informed of their responsibilities	Mountain District Learning Centre is required to identify how participation of Aboriginal children and their families are supported.

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through induction, the Staff Handbook and Child Safe professional development activities, including Education Department conducted sessions.

MDCL has developed *Statement of Commitment to Child Safety and Wellbeing* which identified that particular attention is given to the child safety needs of Aboriginal students and the importance of creating a culturally safe and inclusive environment and meet the needs of Aboriginal children, young people, and their families. A half day online workshop delivered by an Aboriginal agency forms part of the professional development plan for staff and volunteers relating to Aboriginal culture.

GUIDELINE 6.2 - Child safety and wellbeing is embedded in organisational leadership, governance and culture

Compliant

Evidence/Documentation Reviewed

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Reviewed:

- Student Welfare Policy
- Child Safety & Wellbeing Training Action Plan
- Child Safe Risk Register
- Child Safety Review Checklist
- Child Safety & Wellbeing Code of Conduct
- Staff Safety Register
- Statement of Commitment to Child Safety & Wellbeing
- Induction Checklist
- Risk Management Register

Support documents

- 5.11A8 MDLC Child Safety & Wellbeing Training Action Plan Version 2.1
- 5.11A5 MDLC Child Safe Risk Register Version 3.0
- 5.11A6 Child Safety Review Checklist Version 1.0
- 5.11A1 Safety Code of Conduct Version 6.0
- MDLC Centre Staff Safety Register 2023
- Statement of Commitment to Child Safety & Wellbeing
- 3.02A1 MDLC Staff Induction plan and checklist Version 5.0
- MDLC Risk Register 2023_Version 2.1

GF 6.2	Finding	Required Rectification(s)
	<p>The Mountain District Learning Centre <i>Statement of Commitment to Child Safety and Wellbeing</i> confirms the organisation's commitment to Child Safety and Wellbeing.</p> <p>A <i>Code of Conduct</i> provides guidelines for staff and volunteers on expected behavioural standards and responsibilities. The Risk Management Plan identifies for strategies for preventing, identifying, and mitigating risks to children and young people.</p>	N/A

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The *Child Safety & Wellbeing Training Action Plan* identifies induction training for staff volunteers and Board Members, Board child safe governance training, child safe recruitment training culture safety training. Regular supervision and management of staff and volunteers and ongoing support training and communications through newsletters for members and volunteers are implemented.

Improvement Opportunities

Mountain District Learning Centre would benefit by including on its website home page, the child safety statement that confirms its commitment to child safety and refers members to its *Child safe and Wellbeing Policy* and *Child Safe Code of Practice*.

Mountain District Learning Centre would benefit by including on notice boards around the centre child safety statement that confirms its commitment to child safety and refers members to its *Child safe and Wellbeing Policy* and *Child Safe Code of Practice*.

Mountain District Learning Centre would benefit by including on its website, the key Child Safe Standards and procedures that will inform all stakeholders of their responsibilities.

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GUIDELINE 6.3 – Children and young people are empowered about their rights, participate in decisions affecting them and are taken seriously		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Empowerment Program Timetable • Empowering Students Framework • Child Safe Questionnaire for parents/guardians and students. • Child Safety & Wellbeing Training Action Plan • Child Safe Information Sheets • Respectful Relationship Training provided by Knox City Council Youth Services team member <p>5.11A4 CSIS 3_MDLC_Empowerment_Education Program Timetable</p> <p>Support documents:</p> <ul style="list-style-type: none"> • 5.11A9 Empowering Students Framework Version 1.0 • CHILD SAFE QUESTIONNAIRE • 5.11A8 MDLC Child Safety & Wellbeing Training Action Plan Version 2.1 • 5.11A2 CSIS 1_MDLC_Recognising Signs of Child Abuse • 5.11A3 CSIS 2_MDLC_Signs of Sexual and other Abuse in Teenagers • 5.11A4 CSIS 3_MDLC_Empowerment_Education Program Timetable 		
GF 6.3	Finding	Required Rectification(s)
	A <i>Child Safe Information Sheet</i> , available to learners and staff has been developed to inform young people about all their rights, including safety, information and participation and provides information about access to sexual abuse prevention programs and to relevant related information in an age-appropriate way. This also informs staff and volunteers about signs of harm and how to facilitate child-friendly ways for children and young people to express their views, participate in decision-making and raise their concerns.	N/A

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The *Empowerment of Children – Education Program* highlights the importance of friendships peer support, to help children and young people feel safe and be less isolated.

The *Empowering Students Framework* identifies ways in which young people can contribute to develop confidence and engagement.

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GUIDELINE 6.4 - Families and communities are informed, and involved in promoting child safety and wellbeing			Compliant
Elements to consider	Audit Test	Minimum Evidence Required	
Evidence/Documentation Reviewed			
<p>Reviewed:</p> <ul style="list-style-type: none">• Complaints and Concerns Policy• Complaints and Concerns Form• Child Safe Questionnaire for parents/guardians and students.• Youth Newsletter• Child Safety Policy on website.• Student/Family Surveys <p>Support documents:</p> <ul style="list-style-type: none">• 6.14 MDLC Complaints and Concerns Version 1.1• 6.14 A1_MDLC Complaints & Concerns Form Version 1.0• Child Safe Questionnaire			
GF 6.4	Finding	Required Rectification(s)	
A review of <i>Child Safe Information Sheet - Empowerment of Children</i> identifies how students are encouraged to participate in decision making.		N/A	
Strategies for families participating in decisions affecting their children, and how they have a say in the development and review of the organisation's policies and practices, and how they have a say in the development and review of the organisation's policies and practices, though implemented, were not documented.			
Improvement Opportunities			
Mountain District Learning Centre would benefit by documenting the process that it implements to engage students' families and communities in RTO policies and procedures which identify strategies:			

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- To involve families the students' communities and identify the steps taken to ensure students' parents and carers are aware, and can respond to, decisions affecting their child.
- Enabling families to participate in decisions affecting their children and how they have a say in the development and review of the organisation's policies and practices.

and maintain evidence of consultation with students' families and communities that represent students during the development and continuous improvement of child safe policies and practices

GUIDELINE 6.5 - Equity is upheld and diverse needs respected in policy and practice

Compliant

Evidence/Documentation Reviewed

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Reviewed:

- Access and Equity Policy and Procedures
- Child Safe Training Action Plan

Supporting documents:

- 6.10 MDLC Access, Equity and Inclusion Version 4.0
- 6.10 P MDLC Access, Equity and Inclusion Procedure Version 4.1
- 5.11A8 MDLC Child Safety & Wellbeing Training Action Plan Version 2.1

GF 6.5	Finding	Required Rectification(s)
	<p>Mountain District Learning Centre has developed and implemented strategies to consult with, inform and clarify responsibilities, with staff and volunteers, to assist them in understanding young people's diverse circumstances, and particularly those of the Centre clients, and how to provide support and respond to those who are vulnerable.</p> <p>This is demonstrated by information provided and professional development programs for staff and volunteers. The organisation's <i>Child Safe Code of Conduct</i> emphasises the needs of young people with disability, young people from culturally and linguistically diverse backgrounds, those who are unable to live at home, and lesbian, gay, bisexual, transgender and intersex children and young people, including Aboriginal children and young people and promotes a culturally safe environment for them.</p>	N/A

GUIDELINE 6.6 - People working with children and young people are suitable and supported to reflect child safety and wellbeing values in practice

Compliant

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Evidence/Documentation Reviewed

Reviewed:

- Recruitment Policy
- Child Safety Policy
- Child Safety Training Action Plan
- Sample position description that is issued with job advertisements.
- Child Safe recruitment checklist
- Reference Check Template
- Standard Interview Questions
- Staff Safety Register
- Staff Appraisal Questionnaire
- Staff Induction Plan and Checklist

Support documents:

- MDLC Recruitment of Staff-Version 5.0
- MDLC Child Safety and Wellbeing Version 4.0
- 5.11A8 MDLC Child Safety & Wellbeing Training Action Plan Version 2.1
- Position Description Sample
- 3.06A2 MDLC _Child Safety Staff Recruitment Checklist Version 3.0
- 3.06A1 MDLC Reference Check Template
- 3.06A5 Interview Questions_ Standard
- MDLC Staff Safety Register
- MDLC Centre Staff Safety Register 2023
- 3.04A1 Staff Appraisal Questionnaire Version 4 (1)
- 3.02A1 MDLC Staff Induction plan and checklist Version 5.0

GF 6.6	Finding	Required Rectification(s)
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Mountain District Learning Centre has developed and implements a *Recruitment Policy, Child Safety Policy and Child Safety Training Action Plan* to support its staff and volunteers, through recruitment processes with emphasis on child safety and wellbeing. The centre requires that all staff, volunteers and visitors to the centre who may have contact with students under 18 years of age, have current Crime Checks and Working with Children Checks. A proposal is currently with the Board to require all visitors to the Centre to show their Working with Children Card and that a copy is maintained on file for future visits.

The Centre's Induction Program ensures that all staff and volunteers receive appropriate induction to the Centre and are aware of their responsibilities to children and young people, including record keeping, information sharing and reporting obligations, as outlined in the Recruitment Policy and Induction Plan and Checklist. A sample position description and job advertisement were provided at audit.

N/A

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GUIDELINE 6.7 - Processes for complaints and concerns are child focused		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed</p> <ul style="list-style-type: none"> • Complaints and Concerns Policy • Complaints and Concerns Form <p>Support documents:</p> <ul style="list-style-type: none"> • 6.25 Training Course Complaints and Appeals • 6.25P Training Course Complaints and Appeals Procedure • Continuous Improvement Policy and Register • Complaints or Concerns Form • Complaints Register 		
GF 6.7	Finding	Required Rectification(s)
	<p>Consistent with the organisation's key role and focus in support of young people who have been disengaged from learning, the Centre has developed and implements a <i>Child safe and Wellbeing Procedure</i> and has a well defined <i>Complaints and Appeals Procedure</i>, appropriate to the cohort of learners, which are review/ed at orientation and included in student information.</p> <p>A review of the confidential complaints folder confirms that complaints are taken seriously and are effectively processed, resolved and records maintained confidentially.</p> <p><i>The Child Safety - Responding and Reporting Obligations Policy</i> informs centre staff of monitoring and reporting responsibilities and identifies the Child Safe contact person. This identifies relevant legislative requirements including reporting, privacy, and employment law.</p>	N/A

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GUIDELINE 6.8 - Staff and volunteers are equipped with the knowledge, skills and awareness to keep children and young people safe through ongoing education and training		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Child Safety Training Action Plan • Staff Safety Register • Staff Meetings <p>Support documents:</p> <ul style="list-style-type: none"> • 5.11A8 MDLC Child Safety & Wellbeing Training Action Plan Version 2.1 • MDLC Centre Staff Safety Register 2023 		
GF 6.8	Finding	Required Rectification(s)
	Mountain District Learning centre has developed and implements a <i>Child Safety Training Action Plan</i> which identifies the initial induction training for Board Members, staff and volunteers and the ongoing training that is to be implemented. This includes opportunities for training and updating, provided by government departments, relevant authorities and support groups and opportunities to review how to respond effectively to issues of child safety and wellbeing and support colleagues who disclose harm.	N/A

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GUIDELINE 6.9 - Physical and online environments promote safety and wellbeing while minimising the opportunity for children and young people to be harmed		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Occupational Health & Safety Policy • Risk Registers • Student Internet and ICT usage policy and agreement <p>Support documents</p> <ul style="list-style-type: none"> • 4.01 MDLC Occupational Health and Safety Version 4.0 (1) • MDLC Risk Register 2023_Version 2.1 (1) • 5.11A5 MDLC Child Safe Risk Register Version 3.0 (1) • 5.17 Student Internet and ICT Usage • 5.17A1 Internet Usage Agreement 		
GF 6.9	Finding	Required Rectification(s)
	<p>Mountain District Learning Centre has developed and implements a <i>Student Internet and ICT System Usage Policy</i> which explores ways in which staff and volunteers may identify and mitigate risks in the online and physical environments without compromising a child's right to privacy, access to information, social connections and learning opportunities.</p> <p>The organisation's <i>Child safe Code of Conduct</i> and' <i>Child Safety and Wellbeing Policy</i> is provided to Centre students, staff and volunteers to ensure that all are aware of their responsibilities and appropriate conduct.</p>	N/A

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GUIDELINE 6.10 - Implementation of the Child Safe Standards is regularly reviewed and improved		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Child Safety & Wellbeing Policy • Child Safety Review Checklist <p>Support documents:</p> <ul style="list-style-type: none"> • MDLC Child Safety and Wellbeing Version 4.0 • 5.11A6 Child Safety Review Checklist Version 1.0 • 6.13 Privacy Policy • 6.16 Compliance Obligations Policy • Risk Management Policy • 6.14 Complaints and Concerns Policy • 5.11A1 Child Safety Code of Conduct • Child Safety and Wellbeing Policy • 5.11A6 MDLC Child Safety and Wellbeing Incident Report Form 		
GF 6.10	Finding	Required Rectification(s)
	<p>The Centre's <i>Child Safety - Responding and Reporting Obligations Policy</i> identifies the four critical actions in response to child abuse, reporting procedures and related legislative responsibilities.</p> <p>The <i>Complaints and Concerns Policy</i> identifies strategies for the analysis of complaints and concerns and safety incidents to identify causes and systemic failures to inform continuous improvement. Staff meeting and communications provide the forum for reporting on the findings of relevant reviews to staff and volunteers. Regular communications and letters inform community and families and young people.</p>	N/A

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GUIDELINE 6.11 - Policies and procedures document how the organisation is safe for children and young people		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed:</p> <ul style="list-style-type: none"> • Child Safety & Wellbeing Policy • Child Safety Responding & Reporting Policy <p>Support documents:</p> <ul style="list-style-type: none"> • 6.13 Privacy Policy • 6.16 Compliance Obligations Policy • 2.03 Risk Management Policy • 6.14 Complaints and Concerns Policy • 5.11A1 Child Safety Code of Conduct • 5.11 Child Safety and Wellbeing Policy • 5.11A6 MDLC Child Safety and Wellbeing Incident Report Form 		
GF 6.11	Finding	Required Rectification(s)
	<p>The <i>Child Safety & Wellbeing Policy</i> and the <i>Child Safety Responding & Reporting Policy</i> are the main documents that address the Child Safe Standards. The <i>Risk Management Policy</i>, <i>Complaints and Concerns Policy</i> and the <i>Child Safety Code of Conduct</i> support the implementation of the standards.</p> <p>Induction, orientation and regular communications provide the vehicles to ensure that each stakeholder group is aware of the responsibilities as appropriate to that group and how to obtain feedback on the effectiveness and suitability of procedures for the improvement of the arrangements.</p>	N/A