

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

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

Applicant Details			
Applicant Name	K.Y.M. (Victoria) Inc.	TOID	6325
Address	673 Mountain Highway, Bayswater VIC 3023		
	Website	www.kym.com.au	
Registration Contact	Ms Michele Van Looy		
Phone Number	03) 9722 5777	Email	mvanlooy@kym.com.au
Audit Team			
Audit Firm	ShineWing Australia	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Peter O'Connor, CEO Annette Hunkin, Operations Manager Michele Van Looy, Training Services and Quality Consultant Deborah Barry, Trainer/assessor
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.4
2016 VRQA Guidelines Audited	3.1, 3.2	4.1, 4.2	
Audit Date/s	17 April 2018		
RTO Background			
<p>K.Y.M. (Victoria) Ltd (K.Y.M.) is a not-for-profit organisation and provider of education, counselling, training and support services to the community, especially young people and people with disabilities, delivering programs and services across seven Local Government areas:</p> <ul style="list-style-type: none"> • Boroondara • Whitehorse • Manningham • Monash • Maroondah • Knox • Yarra Ranges <p>and works in partnership with Anglicare Victoria and has cooperative working arrangements with SalvoCare, Wesley Mission, Interchange, Nadrasca, Yooralla and Onemda.</p> <p>K.Y.M. registered as an RTO in 1994 and has focused on delivering foundation skill courses and courses to support people with an intellectual disability. Enrolments over the past years have been relatively low due to</p>			

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transition of courses and identifying the resources to effectively implement changes to learning and assessment materials.

Current enrolments include six learners in the Certificate I in Work Education and it is anticipated that following the initial transitioned course more learners will enrol next year. Accredited training is largely funded through the Skills First Program and K.Y.M. has entered into a Limited Agreement with HESG.

K.Y.M. also redelivers non-accredited programs and receives financial support from several sources. As a Learn Local provider, the RTO has been allocated 25,000 hours of training for pre-accredited programs in addition to two Reconnect programs – programs that provide community-based early intervention services to assist young people aged 12 to 18 years who are homeless, or at risk of homelessness, and their families, and assists young people to stabilise their living situation and improve their level of engagement with family, work, education, training and their local community.

K.Y.M. also delivers a Springboard program, funded through the Department of Human Services, a state-wide intensive support program to assist young people between the ages of 16 and 21 who are disengaged from education, training or employment and who are, or have been, in residential out-of-home care, including as lead tenant.

The organisation employs six fulltime staff members, four part-time staff members and up to nine consultants providing a variety of support services, ranging from finance, compliance and quality. The organisation has access to two highly skilled and experienced trainers/assessors for the delivery of accredited programs.

A Training Services and Quality Consultant is employed on a sessional basis to ensure that the organisation maintains its compliance regimes which include RTO compliance, funding agreement compliance, ISO business compliance and DHS program compliance.

K.Y.M. is an incorporated association and is governed by a Committee of Management that employs a CEO to oversee the organisation's operations and an Operations Manager who manages the day to day business. The RTO is located in a comfortable and spacious building in Bayswater, within walking distance to the railway station. Facilities include two classrooms, reception and office spaces, hospitality facilities and recreational space.

The Training Services and Quality Consultant was present at the audit and was able to access all the required evidence for compliance purposes and address a number of the non-compliance issues identified at the time of audit.

Though no accredited training classes were conducted on the day of the audit, three students who were enrolled in the Certificate I of Work Education, came to the centre to participate in face to face student interviews.

At the time of audit, a number of inconsistencies were identified in the assessment documentation, Policies and Procedures and Statement of Attainment. These were rectified at the time of audit.

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Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
22236VIC	Certificate I in General Education for Adults	673 Mountain Highway, Bayswater VIC 3153
22302VIC	Certificate I in Work Education	673 Mountain Highway, Bayswater VIC 3153

Interviewee(s) – Staff name and position; employer name and position	
Deborah Barry	Trainer/Assessor: <ul style="list-style-type: none"> • Certificate I in Work Education • Certificate I in General Education for Adults
Three current students: <ul style="list-style-type: none"> • [Redacted Name] • [Redacted Name] • [Redacted Name] 	Certificate I in Work Education

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
K.Y.M. delivers at only one site at 673 Mountain Highway, Bayswater. Sighted Certificate of Final Inspection prepared by the Lorenzini Group, confirmed BCA Class 9b – permitted use – Educational, 4 July 2013.		

Third party Arrangements –	Yes	No
Do the RTO's third party arrangements match the information provided by the VRQA?	X	
If 'No', please provided amended details below:		

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

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Audit Summary - AQTF Conditions of Registration

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

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Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1	X		
1.1 – Continuous Improvement Strategy	X		
1.2 – Training and Assessment Strategies	X		
1.3 – Training and Assessment Resources	X		
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies	X		
Standard 2	X		
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services	X		
2.3 – Provision of Information to Clients	X		
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy	X		
Standard 3	X		
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations	X		
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management	X		

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Audit Summary – 2016 VRQA Guidelines for VET Providers

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

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Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Detail of evidence reviewed relating to findings		
CF.1	Finding	Required Rectification(s)
	Detail of first finding relating to condition 1	Details of required rectification relating to finding condition 1
Improvement Opportunities		
Summary of improvement opportunities relating to condition 1		
CONDITION 2 - Interactions with the Registering Body		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Detail of evidence reviewed relating to findings		
CF. 2	Finding	Required Rectification(s)
	Detail of first finding relating to condition 2	Details of required rectification relating to finding condition 2
Improvement Opportunities		
Summary of improvement opportunities relating to condition 2		

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CONDITION 3 - Compliance with Legislation		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Legislation Policy and Procedures • Student Handbook, P.8 Governing Bodies, Laws and Regulations • Trainer-assessor Handbook, P.13 Operational Procedures and Arrangements • Legislation Register (QMS 100-08) 		
CF.3.1	Finding	Required Rectification(s)
	<p>K.Y.M. (Victoria) Inc. had identified 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 by including information in the RTO Staff handbook, Student Information Handbook and Training and Assessment strategies.</p>	N/A

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CONDITION 4 - Insurance		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Detail of evidence reviewed relating to findings		
CF. 4	Finding	Required Rectification(s)
	Detail of first finding relating to condition 4	Details of required rectification relating to finding condition 4
Improvement Opportunities		
Summary of improvement opportunities relating to condition 4		

CONDITION 5 - Financial Management		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Detail of evidence reviewed relating to findings		
CF. 5	Finding	Required Rectification(s)
	Detail of first finding relating to condition 5	Details of required rectification relating to finding condition 5
Improvement Opportunities		
Summary of improvement opportunities relating to condition 5		

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CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Template Certificate for 22302VIC Certificate I in Work Education On reverse: Record of Results included completed modules by code and date and C as outcome for all units listed. No date of commencement. (Rectified at audit) • Template Statement of Attainment, identified three modules and in partial completion of 22302VIC Certificate I in Work Education. Did not include the Statement: 'A Statement of Attainment is issued by a registered training organisation when an individual has completed one or more accredited units.' (Rectified at audit.) 		
CF.6.1	Finding	Required Rectification(s)
	<p>Following rectifications at the time of audit, K.Y.M. (Victoria) Inc. had in place a qualification and Statement of Attainment to issue to persons whom it had assessed as competent in accordance with the requirements of the accredited course and that:</p> <ol style="list-style-type: none"> Met the Australian Qualifications Framework (AQF) requirements Identified the RTO by its national provider number from the National Training Information Service Included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service. 	N/A
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Records Management Policy • Sample of VETtrak records 		
CF.6.2	Finding	Required Rectification(s)
	<p>K.Y.M. (Victoria) Inc. had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years.</p>	N/A

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Evidence/Documentation Reviewed		Required Rectification(s)
<ul style="list-style-type: none"> • Student Data Management System - VETtrak • Enrolment Form 		
CF.6.3	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. had implemented the VETtrak student records management system that had the capacity to provide the registering body with AVETMISS compliant data.	N/A
Evidence/Documentation Reviewed		Required Rectification(s)
Sample of monthly SVTS Reports.		
CF.6.4	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. had submitted returns of its client records of attainment of units of competency and qualifications to its registering body monthly via the SVTS.	N/A
Evidence/Documentation Reviewed		Required Rectification(s)
<ul style="list-style-type: none"> • Enrolment Application (Pre-training Review Record). • 2018 Student Details Form. • 2018 Course Eligibility and Application for Enrolment. • Enrolment confirmation letter. • Student Information Handbook. 		

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CF.6.5	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. met 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		
Student Handbook – Credit Transfer		
CF.7.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. had procedures in place for the recognition of AQF Qualifications and Statements of Attainment issued by any other RTO. Students were informed in the Student Information Handbook.	N/A

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CONDITION 8 - Accuracy and Integrity of Marketing		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Brochure CGEA 22236VIC Certificate I in General Education for Adults. • Brochure 22302VIC Certificate 1 in Work Education. • Register of marketing material 2016 – 2018. • Folder of marketing materials. • Web course information. • Course information session - Learning Methods and Assessment Methods. 		
CF.8.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. had ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration. The NRT logo was employed in accordance with its conditions of use.	N/A
Improvement Opportunities		
K.Y.M. (Victoria) Inc. would benefit by including in the brochure for the course - 22302VIC Certificate 1 in Work Education, the learning modes and assessment methods for the delivery and assessment of the course.		

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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses		Compliant
Evidence/Documentation Reviewed		
Transition to new Training Packages/Accredited Courses Policy and Procedures.		
CF.9.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. had managed the transition managed the transition from superseded accredited courses so that it delivers only currently accredited courses.	N/A

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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		
<ul style="list-style-type: none"> • Continuous Improvement Register July 2017/2018 – records of feedback and improvement actions. • Risk Management and Continuous Improvement Procedures • Incident Report 		
SF.1.1.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. had collected, analysed and acted on relevant data for continuous improvement of training and assessment.	N/A

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ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.		Compliant
Evidence/Documentation Reviewed		
<p>Reviewed learning and assessment strategies for the following courses:</p> <ul style="list-style-type: none"> • 22236VIC Certificate I in General Education for Adults TASs included 'Duration' but not clear on amount of training • 22302VIC Certificate I in Work Education TASs included 'Delivery period' and 'Duration' but not clear on amount of training – how many days attendance – number of days a week. The intent of two days classroom and two days placement was not clearly expressed. In essence, the learner was required to attend face to face classroom sessions for four days a week later in the course, two of these days would involve work placement. 		
SF.1.2.1	Finding	Required Rectification(s)
	<p>Following a number of rectifications at the time of audit, including the identification of the amount of training required to complete the course and the learner's attendance requirements, K.Y.M. (Victoria) Inc. had implemented strategies for training and assessment for units on scope that met the requirements of the relevant accredited courses and were developed in consultation with industry.</p>	N/A

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<p>ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Staff, facilities, equipment and training and assessment materials for the following qualification and units:</p> <ul style="list-style-type: none"> • 22236VIC Certificate I in General Education for Adults • 22302VIC Certificate I in Work Education <p>22302VIC Certificate I in Work Education</p> <p>The TAS identified resources as K.Y.M. developed learning tools. There were reviewed for:</p> <p><i>BSBWHS201 Contribute to health and safety of self and others</i> Learner Guide included content information Assessment Workbook Assessment Summary Marking Guide for each assessment Assessment Mapping Document</p> <p><i>VU21666 Participate in job seeking activities</i> Learner Guide included content information Assessment Workbook Assessment Summary Marking Guide for each assessment Assessment Mapping Document</p> <p>Two classrooms with appropriate facilities and audio-visual resources, kitchen and dining facilities, resource library area, bathrooms.</p> <p>Trainer/assessor information for the following two courses:</p> <ul style="list-style-type: none"> • 22236VIC Certificate I in General Education for Adults • 22302VIC Certificate I in Work Education 	

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The same trainer was identified for both courses: Trainer/assessor: Deborah Barry		
SF.1.3.1	Finding	Required Rectification(s)
	Staff, facilities, equipment and training and assessment materials used by the RTO were consistent with the requirements of the accredited courses and the RTO's own training and assessment strategies.	N/A

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<p>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>		<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p> <p>Trainer/assessor information for the following two courses:</p> <ul style="list-style-type: none"> • 22236VIC Certificate I in General Education for Adults • 22302VIC Certificate I in Work Education <p>The same trainer was identified for both courses: Trainer/assessor: Deborah Barry</p>		
SF.1.4.1	Finding	Required Rectification(s)
<p>Training and assessment was delivered by a trainer/assessor who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed, and could demonstrate current industry skills directly relevant to the training/assessment being undertaken, and continued to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>		<p>N/A</p>
<p>Improvement Opportunities</p> <p>K.Y.M. (Victoria) Inc. would benefit by identifying an additional trainer, to ensure that the learners' program would not be interrupted, should the identified trainer not be available for some reason.</p>		

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<p>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL): a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated.</p>	Compliant
Evidence/Documentation Reviewed	
<p>Assessment strategies and tools for the following qualification and units:</p> <ul style="list-style-type: none"> • 22236VIC Certificate I in General Education for Adults • 22302VIC Certificate I in Work Education <p>22236VIC Certificate I in General Education for Adults <i>VU21333 Work with a range of number and money in familiar and routine situations</i></p> <ul style="list-style-type: none"> • Assessment mapping documents • Assessment tasks • Marking Guides • Outcome records <p><i>VU21386 Investigate current issues</i></p> <ul style="list-style-type: none"> • Assessment mapping documents • Assessment tasks • Marking Guides • Outcome records <p>2302VIC Certificate I in Work Education <i>BSBWHS201 Contribute to health and safety of self and others</i></p> <ul style="list-style-type: none"> • Assessment tasks • Assessment workbook 	

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- Assessment summary
- Marking Guide for each assessment
- Assessment mapping document
- Outcome records

Completed Student Assessments:

- ~~Dominic Keefe~~
- ~~Isabella Chattock~~
- ~~Ashley Blood~~
- ~~Clayton Laffer~~
- ~~Tony Dimitri~~
- ~~Rebel Baller~~

VU21666 Participate in job seeking activities

- Assessment tasks
- Assessment results sheet
- Assessment workbook: four assessments
- Marking Guide
- Assessment mapping document

Completed Student Assessments:

- ~~Dominic Keefe~~
- ~~Isabella Chattock~~
- ~~Ashley Blood~~
- ~~Clayton Laffer~~
- ~~Tony Dimitri~~
- ~~Rebel Baller~~

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SF.1.5.1	Finding	Required Rectification(s)
	<p>Following some minor modifications to the consistency of format and terminology at the time of audit, K.Y.M (Victoria) Inc assessments, including Recognition of Prior Learning (RPL), met the requirements of the relevant accredited courses and were in accordance with the principles of assessment and the rules of evidence, met the workplace requirements and were systematically validated.</p>	<p>N/A</p>

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2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • 2018 Enrolment Application (Pre-training) Review Record. • Sample of quality indicators completed by students 2016 – 2017. • Student support needs. • Student Handbook – Support Services. 		
SF.2.1.1	Finding	Required Rectification(s)
	K.Y.M (Victoria) Inc. had established the needs of clients and delivered services to meet these needs.	N/A

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2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Student Needs Form template and examples of completed forms. • Continuous Improvement Register 		
SF.2.2.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. had identified and implemented a strategy for the continuous improvement of client services by collecting, analysing and acting upon relevant data.	N/A

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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		
<ul style="list-style-type: none"> • Course Brochure • Web information • Student Information Handbook • Information session agenda • Sample of completed pre-enrolment interview forms 		
SF.2.3.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. had provided sufficient information, before students enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.	N/A

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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		
<ul style="list-style-type: none"> • 22236VIC Certificate I in General Education for Adults Industry consultation records completed by four industry stakeholders, representing schools and disability service providers. • 22302VIC Certificate I in Work Education Industry consultation records completed by four industry stakeholders, representing disability service providers and the National Disability Insurance Scheme. • Work Placement Agreements, Information for Employers and Students, Workplace Logbook. 		
SF.2.4.1	Finding	Required Rectification(s)
	Employers were engaged in the development of training and assessment and arrangements and providing opportunities for work placement.	N/A

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2.5 - Learners receive training, assessment and support services that meet their individual needs.		Compliant
Evidence/Documentation Reviewed		
<p>Interview with three current students:</p> <ul style="list-style-type: none"> • [Redacted] • [Redacted] • [Redacted] 		
SF.2.5.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Ltd had provided sufficient support to ensure that learners received training, assessment and support services that met 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		
Student Handbook P.21 Student Access to Records.		
SF.2.6.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. had developed and implemented procedures to ensure that learners had 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		
<ul style="list-style-type: none"> • QMS-160 RTO Policy Student Complaints, Appeals and Resolution Policy and Procedures. • Continuous Improvement Register. • Student Information Handbook. 		
SF.2.7.1	Finding	Required Rectification(s)
The complaints and appeals procedures included procedures for students to appeal a complaints decision and the source for an independent external mediator was identified.		N/A

Improvement Opportunities
K.Y.M. would benefit by including the VRQA complaints contact in the Student Complaints, Appeals and Resolution Policy and Procedures and reviewing all documentation to ensure a consistency of terminology, i.e. 'Complaints and Appeals' rather than 'Grievances.'

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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>QMS-100 Quality Management System Manual QMS-155 RTO Policy Risk Management and Continuous Improvement Continuous Improvement Register</p>		
SF.3.1.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. management of its operations ensured clients received the services detailed in their agreement with the RTO.	N/A

Improvement Opportunities
The K.Y.M. (Victoria) Inc. would benefit by preparing mapping of policies and procedures to the AQTF, ISO and DHHS quality standards.

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.		Compliant
<p>Internal Audit Report March 2018 Continuous Improvement Register identified largely internal feedback and improvements Declaration of Compliance, March 2018 and related internal review documents.</p>		
SF.3.2.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. used a systematic and continuous improvement approach to the management of operations.	N/A

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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
K.Y.M. (Victoria) Ltd had not entered into any third party agreements.		
SF.3.3.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Ltd had not entered into any third party agreements.	N/A

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

3.4 - The RTO manages records to ensure their accuracy and integrity.		Compliant
<ul style="list-style-type: none"> • Records Management Policy • Examples of version control application. • Retention records for a sample of documents 		
SF.3.4.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Ltd managed records to ensure their accuracy and integrity.	N/A

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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.

**Not Audited in
Phase 2 audit**

- 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

Detail of evidence reviewed relating to findings

GF 1.1	Finding	Required Rectification(s)
	Detail of first finding relating to guideline 1.1	Details of required rectification relating to guideline 1.1.1

Improvement Opportunities

Summary of improvement opportunities relating to guideline 1.

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>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:</p> <ul style="list-style-type: none"> a) projected student enrolments by qualifications b) a range of financial indicators, including <ul style="list-style-type: none"> 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. 		<p>Not audited in Phase 2 audit</p>
<p>Detail of evidence reviewed relating to findings</p>		
GF 1.2	Finding	Required Rectification(s)
	<p>Detail of first finding relating to guideline 1.2</p>	<p>Details of required rectification relating to guideline 1.2.1</p>
Improvement Opportunities		
<p>Summary of improvement opportunities relating to guideline 1.2.</p>		

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>GUIDELINE 1.3 - An RTO ensures that it has management systems that include:</p> <ul style="list-style-type: none"> a) management information including: <ul style="list-style-type: none"> 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 address 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 <ul style="list-style-type: none"> 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
Detail of evidence reviewed relating to findings		
GF 1.3.1	Finding	Required Rectification(s)
Detail of first finding relating to guideline 1.3		Details of required rectification relating to guideline 1.3.1
SF.1.3.2	Finding	Required Rectification(s)
Detail of second finding relating to guideline 1.3		Details of required rectification relating to guideline 1.3.2

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

Improvement Opportunities
Summary of improvement opportunities relating to Guideline 1.3

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:</p> <ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> 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. 		<p>Not audited in Phase 2 audit</p>
<p>Detail of evidence reviewed relating to findings</p>		
GF 1.4	Finding	Required Rectification(s)
	<p>Detail of first finding relating to guideline 1.4</p>	<p>Details of required rectification relating to guideline 1.4</p>
Improvement Opportunities		
<p>Summary of improvement opportunities relating to Guideline 1.4</p>		

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>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.</p> <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
<p>K.Y.M. (Victoria) Ltd had not entered into any third party agreements.</p>		
GF 2.1.1	Finding	Required Rectification(s)
	<p>K.Y.M. (Victoria) Ltd had not entered into any third party agreements.</p>	<p>N/A</p>

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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:		Not Audited
<ul style="list-style-type: none"> 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. 		
<p>K.Y.M. (Victoria) Ltd had not entered into any third party agreements.</p>		
GF 2.2.1	Finding	Required Rectification(s)
	<p>K.Y.M. (Victoria) Ltd had not entered into any third party agreements.</p>	<p>N/A</p>

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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:		Not Audited
<ul style="list-style-type: none"> 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. 		
<p>K.Y.M. (Victoria) Ltd had not entered into any third party agreements.</p>		
GF 2.3.1	Finding	Required Rectification(s)
	<p>K.Y.M. (Victoria) Ltd had not entered into any third party agreements.</p>	<p>N/A</p>

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:</p> <ul style="list-style-type: none"> a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party. 		Not Audited
<p>K.Y.M. (Victoria) Ltd had not entered into any third party agreements.</p>		
GF 2.4.1	Finding	Required Rectification(s)
	<p>K.Y.M. (Victoria) Ltd had not entered into any third party agreements.</p>	<p>N/A</p>

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO t provides, in print or through referral to an electronic copy, current and accurate information that:</p> <ul style="list-style-type: none"> 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
<p>K.Y.M. (Victoria) Ltd had not entered into any third party agreements.</p>		
GF 2.5.1	Finding	Required Rectification(s)
	<p>K.Y.M. (Victoria) Ltd had not entered into any third party agreements.</p>	<p>N/A</p>

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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
K.Y.M. (Victoria) Ltd had not entered into any third party agreements.		
GF 2.6.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Ltd had not entered into any third party agreements.	N/A

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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.		
K.Y.M. (Victoria) Ltd had not entered into any third party agreements.		
GF 2.7.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Ltd had not entered into any third party agreements.	N/A

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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
K.Y.M. (Victoria) Ltd had not entered into any third party agreements.		
GF 2.8.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Ltd had not entered into any third party agreements.	N/A

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>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:</p> <ul style="list-style-type: none"> 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. <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		Compliant
<p>See evidence at Standard 1.4</p>		
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>N/A</p>

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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
K.Y.M. (Victoria) Ltd does not conduct assessment only.		
GF 3.3.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Ltd does not conduct assessment only.	N/A

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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
K.Y.M. (Victoria) Ltd, in delivering training and assessment, does not engage an individual who is not a qualified trainer and/or assessor.		
GF 3.4.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Ltd, in delivering training and assessment, does not engage an individual who is not a qualified trainer and/or assessor.	N/A

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:		Not Audited
<ul style="list-style-type: none"> a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines; b) has vocational competencies at least to the level being delivered and assessed; and c) has current industry skills directly relevant to the training and assessment being provided. 		
K.Y.M. (Victoria) Ltd in delivering training and assessment, does not engage individuals working under the supervision of a trainer:		
GF 3.5.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Ltd in delivering training and assessment, does not engage individuals working under the supervision of a trainer:	N/A

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</p>		<p>Compliant</p>
<p>Learning and assessment strategies for the following qualification and units:</p> <ul style="list-style-type: none"> • 22236VIC Certificate I in General Education for Adults • 22302VIC Certificate I in Work Education 		
<p>GF 4.1.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>K.Y.M. (Victoria) Inc. training and assessment strategies and practices, including the amount of training it provided, were consistent with the requirements of the Training Packages and enabled each student to meet the requirements for each unit of competency in which the student was enrolled and a rationale for this amount of training was provided.</p>		<p>N/A</p>

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:</p> <ul style="list-style-type: none"> a) the existing skills, knowledge and the experience of the student; b) the mode of delivery; and c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification. 		Compliant
<p>Reviewed learning and assessment strategies for the following qualification and units:</p> <ul style="list-style-type: none"> • 22236VIC Certificate I in General Education for Adults • 22302VIC Certificate I in Work Education 		
GF 4.2.1	Finding	Required Rectification(s)
<p>K.Y.M. (Victoria) Inc. had identified a duration for each qualification reviewed and had determined the amount of training it provided to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.</p>		<p>N/A</p>

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation) of these Guidelines.</p>		<p>Not Audited</p>
<p>K.Y.M. (Victoria) Inc. does not deliver or assess any qualifications, skill sets or units from the Training and Education Training Package.</p>		
<p>GF 4.3.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>K.Y.M. (Victoria) Inc. does not deliver or assess any qualifications, skill sets or units from the Training and Education Training Package.</p>		<p>N/A</p>

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.</p>		<p>Not Audited</p>
<p>K.Y.M. (Victoria) Inc. does not deliver or assess any qualifications, skill sets or units from the Training and Education Training Package.</p>		
<p>GF 4.4.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>K.Y.M. (Victoria) Inc. does not deliver or assess any qualifications, skill sets or units from the Training and Education Training Package.</p>		<p>N/A</p>

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

<p>GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment:</p> <p>a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.</p>		Not Audited
<p>K.Y.M. (Victoria) Inc. does not deliver or assess any qualifications, skill sets or units from the Training and Education Training Package.</p>		
GF 4.5.1	Finding	Required Rectification(s)
	<p>K.Y.M. (Victoria) Inc. does not deliver or assess any qualifications, skill sets or units from the Training and Education Training Package.</p>	<p>N/A</p>

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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
K.Y.M. (Victoria) Inc. does not deliver or assess any qualifications, skill sets or units from the Training and Education Training Package.		
GF 4.6.1	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. does not deliver or assess any qualifications, skill sets or units from the Training and Education Training Package.	N/A

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

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. 	

K.Y.M. (Victoria) Inc. does not deliver or assess any qualifications, skill sets or units from the Training and Education Training Package.

GF 4.7	Finding	Required Rectification(s)
	K.Y.M. (Victoria) Inc. does not deliver or assess any qualifications, skill sets or units from the Training and Education Training Package.	N/A

Improvement Opportunities

Summary of improvement opportunities relating to Guideline 4.7

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. 	

Detail of evidence reviewed relating to findings

GF 5.1	Finding	Required Rectification(s)
	Detail of first finding relating to guideline 5.1	Details of required rectification relating to guideline 5.1

Audit Date: 17 April 2018

RTO: K.Y.M. (Victoria) Inc.

Improvement Opportunities

Summary of improvement opportunities relating to Guideline 5.1
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