

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

Audit Date: 15/16 March 2019

RTO: The Academy of Hair and Beauty

Applicant Details			
Applicant Name	Fieldberg Pty Ltd T/A The Academy of Hair and Beauty	TOID	3572
Address	530 Victoria Street, North Melbourne VIC 3051		
	Website	www.thehairacademy.com.au	
Registration Contact	Ms Val Byrne		
Phone Number	(03) 9329 9544	Email	training@thehairacademy.com.au
Audit Team			
Audit Firm	ShineWing Australia	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Sue Huebner, Director Aimee Petersen, Chief Executive Assistant
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2,3.4
2016 VRQA Guidelines Audited	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8 (If applicable)		
	3.1, 3.2 and 3.3 3.4, 3.5 (if applicable),	4.1,4.2, 4.3 to 4.6 (If applicable)	
Audit Date/s	15 and 16 March 2018		
RTO Background			
<p>Fieldberg Pty Ltd, T/as the Australian Academy of Beauty, The Australian Academy of Hairdressing and the Academy of Hair and Beauty, was established in 1932 and thousands of students have qualified through non-accredited courses over the following 60 years, finding employment in salons and many becoming self-employed. Beauty courses were established 40 years ago.</p> <p>The Academy was started by an English couple who delivered the City and Guilds' developed courses, and was purchased in 1988 by the current owners, the Huebners, who continued to deliver the City and Guilds' courses.</p> <p>The Australian Academy of Beauty registered as an RTO in 1991 and operated from the Elizabeth Street location until 2015, providing accredited hairdressing and beauty qualifications.</p> <p>The Academy moved to a new location in North Melbourne in 2015. The facilities have been purposely fitted out with state of the art facilities for the delivery of both hairdressing and beauty qualifications. The location provides for a steady flow of clients, providing students with sufficient numbers of paying clients to provide the</p>			

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required services, consistent with qualification and individual unit of competency requirements. Where insufficient paying client groups attend the Academy, to satisfy the client service numbers for students, special promotions are conducted i.e. insufficient men for men's haircuts results in a reduced price haircut for men.

The Academy has developed its own resources for training and assessment. These have been reviewed and modified over time, the last revision ensuring that training and assessments met the requirements of the SHB15 Training Package.

The Academy enrolls approximately 300 students a year. Most students are eligible for Skills First funding. A small number of students are fee for service students.

The audit scope was to include the sampling of the following qualifications:

- SHB40115 Diploma of Beauty Therapy
- SHB40216 Certificate IV in Hairdressing
- SHB30416 Certificate III in Hairdressing

Prior to the audit, the SHB40216 Certificate IV in Hairdressing was deleted from the scope.

The Academy currently has four qualifications on scope, three beauty therapy qualifications and one hairdressing qualification, and continues to specialise in what it is good at – beauty and hairdresser training.

The current owner, Sue Huebner, has an education background and established the RTO to further the vision of the Academy through a focus on developing work ready students and competency based training, supporting independent learning, encouraging the development of competency through practical client contact to meet the minimum competency requirement of the units of competency, and formative skill development confirmed through summative assessment.

Students enrol with the Academy through rolling enrolment, with students exposed to flexible learning methodologies and provided with guidance to develop independent learning strategies. The learning is focused on providing maximum exposure to clients while learning at the Academy and completing theory learning and tasks through independent learning. The Academy has developed its own learning and assessment resources to support its learning methodologies.

The Academy director is a strong advocate of ensuring that the training package and related qualifications are truly representative of skill requirements of the industry and is becoming increasingly frustrated with training package reviews involving less industry consultation and industry representation, resulting in a focus on training that is no longer relevant or environmentally and health-wise sound for the industry. For example, the emphasis is still based on bleaching hair, requiring learners to demonstrate numerous bleaching techniques when it is difficult to identify clients who value these treatments.

The Academy has employed experienced and skilled practitioners, including a highly experienced and knowledgeable Chief Executive Assistant who takes on the responsibility of Compliance Manager. This has resulted in the development and implementation of a sound Quality Management System to meet the RTO's legislative and compliance requirements.

The audit identified only a few minor areas of non-compliance with the Conditions and Standards, most of which were readily rectified at the time of audit.

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Qualifications/Units Audited <sup>1</sup>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
SHB40115	Diploma of Beauty Therapy	530 Victoria Street, North Melbourne VIC 3051
SHB30416	Certificate III in Hairdressing	530 Victoria Street, North Melbourne VIC 3051

Interviewee(s) – Staff name and position; employer name and position	
Aimee Petersen	Chief Executive Assistant/Compliance
Sandra, trainer/assessor	Diploma of Beauty Therapy
Karen, trainer/assessor	Certificate III in Hairdressing
Class of five students	Certificate III in Hairdressing
Class of five students	Diploma of Beauty Therapy

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

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:		

<sup>1</sup> 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		
<b>Summary of Non-Compliance<sup>2</sup></b>			
<p><b>CF.8.1</b> The Academy of Hair and Beauty had not ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration. Newspaper advertisement headed 'Hairdressing' referred to 'Victorian and Commonwealth Government Training' however this did not refer to the qualification by code or title.</p>			

<sup>2</sup> CF = Condition Finding. Finding references are aligned to the Detailed Findings section of this report.

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**Audit Summary - AQTF Standards**

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<b>Standard 1</b>	<b>X</b>		
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		
<b>Standard 2</b>		<b>X</b>	
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		
<b>Standard 3</b>	<b>X</b>		
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		
<b>Summary of Non-Compliance<sup>3</sup></b>			
<b>SF.2.2.1</b>			
The Academy of Hair and Beauty had not identified and implemented a strategy for the continuous improvement of client services by collecting, analysing and acting upon relevant data.			

<sup>3</sup> SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.

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**Audit Summary – 2016 VRQA Guidelines for VET Providers**

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
<b>1. Governance, Financial viability and Management systems</b>			<b>X</b>
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
<b>2. Transparency and oversight of third parties</b>			<b>X</b>
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
<b>3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)</b>	<b>X</b>		
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
<b>4. Delivery of training and assessment services</b>	<b>X</b>		
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
<b>5. Annual Declaration of Compliance</b>			<b>X</b>
5.1 – Annual Declaration of Compliance			X

**Detailed Findings - AQTF Conditions of Registration**

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

Summary of improvement opportunities relating to condition 2

<b>CONDITION 3 - Compliance with Legislation</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• TASs for each qualification that identified relevant legislation.</li> <li>• Trainer Handbook and Trainer Guide.</li> <li>• Staff Induction Program Policy.</li> <li>• Staff Induction Book.</li> <li>• Student Handbook.</li> </ul>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
The Academy of Hair and Beauty had demonstrated compliance with 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.	N/A	

<b>Improvement Opportunities</b>
The Academy of Hair and Beauty would benefit from including in the relevant legislation in the TASs, Education Training and Reform Act 2006 (ETRA) as Victorian rather than Commonwealth legislation and the ETRA Amendment Act 2010 within the Victorian legislation and specifically identifying the AQRF and VRQA Guidelines as included in the Amended Act.



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

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

CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment		Compliant
<b>Evidence/Documentation Reviewed</b>		
Sighted: <ul style="list-style-type: none"> <li>• Sample Certificate, Certificate III in Hairdressing</li> <li>• Sample Statement of Attainment</li> <li>• Issuing/reissuing of Qualifications Policy</li> </ul>		
<b>CF.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Following rectification at the time of audit, The Academy of Hair and Beauty had modified testamurs and developed a Record of Results in order for them to be issued in accordance with the requirements of the Training Package and that met the Australian Qualifications Framework (AQF) requirements. The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.		N/A
The Statement of Attainment included the units on the reverse, as insufficient space was available to include all the units on the front of the statement.		
<b>Evidence/Documentation Reviewed</b>		
Sighted: <ul style="list-style-type: none"> <li>• Records Management – Storage and Security Policy</li> <li>• Sample of VETtrak entries.</li> </ul>		
<b>CF.6.2.</b>	<b>Finding</b>	<b>Required Rectification(s)</b>

The Academy of Hair and Beauty had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years.	N/A
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>• Sample of VETtrak entries</li> <li>• Enrolment Form – AVETMISS data</li> </ul>	
<b>CF.6.3. Finding</b>	<b>Required Rectification(s)</b>
The Academy of Hair and Beauty had implemented the VETtrak Student Data Management System that had the capacity to provide the registering body with AVETMISS compliant data.	N/A
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>• Sample of entries maintained in VETtrak.</li> </ul>	
<b>CF.6.4. Finding</b>	<b>Required Rectification(s)</b>
The Academy of Hair and Beauty had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2016.	N/A
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>• Enrolment Form</li> <li>• Sample of entries maintained in VETtrak.</li> </ul>	
<b>CF.6.5. Finding</b>	<b>Required Rectification(s)</b>

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The Academy of Hair and Beauty had met the requirements for implementation of a national unique student identifier.	N/A
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<b>CONDITION 7 - Recognition of Qualifications Issued by other RTOs</b>	<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>• Recognition of Qualifications Issued by other RTOs Policy.</li> <li>• Student Handbook – National Recognition/Credit Transfer.</li> <li>• RPL Policy.</li> </ul>	
<b>Finding</b>	<b>Required Rectification(s)</b>
The Academy of Hair and Beauty 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 Handbook 2017.	N/A

<b>CONDITION 8 - Accuracy and Integrity of Marketing</b>		<b>Non-Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Marketing Policy.</li> <li>• Course information for the Diploma of Beauty Therapy.</li> <li>• Advertisement for Bespoke Training in Hair and Beauty.</li> </ul>		
<b>CF.8.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>The Academy of Hair and Beauty had not ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration. Newspaper advertisement headed 'Hairdressing' referred to 'Victorian and Commonwealth Government Training' however this did not refer to the qualification by code or title.</p>	<p>The Academy of Hair and Beauty is required to review its procedures for marketing courses and ensure the qualification code and title of qualifications is included when reference is made to 'national accredited training' and 'government funded training' and that the RTO number and name is also included. The date of establishment should be consistent with the initial RTO registration date.</p>

<b>Improvement Opportunities</b>
<p>The Academy of Hair and Beauty would benefit by:</p> <ul style="list-style-type: none"> <li>• Developing a marketing checklist for all items of marketing, identifying all compliance requirements to be completed for each item of marketing before its publication and distribution.</li> <li>• Maintaining a register and accompanying folder that includes all marketing items that have been developed and approved.</li> </ul>

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<b>CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>Transition to Training Packages/Expiry of Accredited Courses Policy.</li> </ul>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
The Academy of Hair and Beauty had provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA.	N/A	
<b>Improvement Opportunities</b>		
The Academy of Hair and Beauty would benefit from including the proposed arrangements for teach out in the Transition to Training Packages/Expiry of Accredited Courses Policy.		

**Detailed Findings - AQTF Standards**

<b>ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>Sighted:</p> <ul style="list-style-type: none"> <li>• Continuous Improvement Policy.</li> <li>• Stakeholder Feedback Policy.</li> <li>• Continuous Improvement Log.</li> <li>• Industry Linkage feedback.</li> <li>• Completed Student Graduate Surveys.</li> <li>• Student Expectation Survey.</li> <li>• Sample of employer feedback forms</li> </ul>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
The Academy of Hair and Beauty collected, analysed and acted on relevant data for continuous improvement of training and assessment.	N/A	
<b>Improvement Opportunities</b>		
<p>The Academy of Hair and Beauty would benefit from developing and implementing a Continuous Improvement Register, to include all areas for improvements identified and implemented and that identifies, for each item, the source of the feedback, the issue, proposed actions, completion dates, person responsible and date for review of the effectiveness of the action implemented.</p>		

<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>Training and assessment strategies for the following qualifications:</p> <ul style="list-style-type: none"> <li>• SHB40115 Diploma of Beauty Therapy</li> <li>• SHB30416 Certificate III in Hairdressing</li> </ul>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
Strategies for training and assessment met the requirements of the relevant Training Package and were developed in consultation with industry.	N/A	

<b>Improvement Opportunities</b>
<p>The Academy of Hair and Beauty would benefit by identifying in qualification Training and Assessment Strategies (rather than having to review the range of qualification learning and assessment resources):</p> <ul style="list-style-type: none"> <li>• The intended number of weeks/days that the qualifications will be delivered over.</li> <li>• The intended LNN ASCF level for entry to a qualification.</li> <li>• A realistic breakdown of the types of required tasks that the learner is expected to complete as part of self-directed study.</li> <li>• The required level of industry experience of trainers/assessors, as confirmed through industry consultation.</li> <li>• Include a section in the TAS that identifies 'Amount of Training' and provides a rationale for training that students will access, based on indicators such as Volume of Learning, the experience of learners, the mode of delivery, and nominal hours if students access government funding.</li> </ul>



<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>Resources as identified in the TAS for each qualification:</p> <ul style="list-style-type: none"> <li>• Physical resources: text books and assessment tools</li> <li>• Training facilities</li> <li>• Facilities and resources</li> </ul> <p>Review of physical facilities – hairdressing salon, massage facility, manicure tables, study areas, meals area, administration area.</p>		
<b>SF.1.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Staff, facilities, equipment and training and assessment materials used by the Academy of Hair and Beauty were consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.	N/A
<b>Improvement Opportunities</b>		
<p>Students interviewed at the time of the audit identified that, at times, it was difficult to access a trainer/assessor to assist or provide advice at the time of conducting practical tasks. Some students also identified that, at times, the supply of products was insufficient to conduct certain tasks and procedures.</p> <p>The Academy of Hair and Beauty would benefit by reviewing staffing requirements and product requirements for each class and ensuring that adequate staffing was available.</p>		

<p><b>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</b></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>		<b>Compliant</b>
<p><b>Evidence/Documentation Reviewed</b></p>		
<p>Trainer/assessor personnel files for the following trainers/assessors:</p> <ul style="list-style-type: none"> <li>• SHB40115 Diploma of Beauty Therapy: Sandra Marlick</li> <li>• SHB30416 Certificate III in Hairdressing: Karen Tolaro</li> </ul>		
<b>SF.1.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Training and assessment was delivered by trainers and assessors who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed. They could demonstrate current industry skills directly relevant to the training/assessment being undertaken and provided evidence of continued development of 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><b>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):</b>  <b>a) meets the requirements of the relevant Training Package or accredited course</b>  <b>b) is conducted in accordance with the principles of assessment and the rules of evidence</b>  <b>c) meets workplace and, where relevant, regulatory requirements</b>  <b>d) is systematically validated.</b></p>	<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<p>Assessment strategies for the following qualifications and units:</p> <ul style="list-style-type: none"> <li>• SHB40115 Diploma of Beauty Therapy</li> <li>• SHB30416 Certificate III in Hairdressing</li> </ul> <p><b>SHB40115 Diploma of Beauty Therapy</b></p> <ul style="list-style-type: none"> <li>• Delivery Plan – identified sequence of units, formative tasks, summative assessment, resources.</li> </ul> <p>Units:</p> <p><b>SHBXCCS002 Provide salon services to clients</b></p> <ul style="list-style-type: none"> <li>• Hair design workbook – formative worksheets</li> <li>• Revision – formative questions</li> <li>• Table - Performed the following during assessment task completed</li> <li>• Table – elements, PCs aligned for formative assessments and summative assessments</li> <li>• Resource book</li> <li>• Diploma target/record sheet – the student must work in the salon for 12 X 3 hour sessions</li> </ul> <p>Student files included:</p> <ul style="list-style-type: none"> <li>• Summative Assessment - Elements, performance criteria, C or NYC. Statement of competency, assessor and student signature and date.</li> <li>• Work sheet – question sheets and activity sheets – questions completed and ticked by assessor.</li> <li>• Client analysis sheets waxing 1, waxing 2, waxing 3. Nails 1, nails 2, facials, pedicure – signed by trainer and dated. (Note: The form included a box of criteria not ticked as S or NYS).</li> </ul>	

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- Completed workbook with attachments – 6 Waxing/eyelash/eyebrow/tinting completed – Client Analysis Sheets signed by trainer and dated. (Note: The sheet did not have the student name on the top/front).

Students completed assessments reviewed:

- Flora Bektash 10/8/2017
- Lydia Well 3/7/17 (6/7/17)
- Van Hoang Oanh Dinh (Jammie) 12/9/17 (No assessor signature)
- Sarah Leckhart 16/10/2017
- Stella Sotinadis 10/10/2017 (No assessor signature)

***SHBBHRS001 Provide waxing services***

- Provide waxing services workbook – formative activities, signed off as S by the assessor.
- Resource Book, Knowledge and procedure information (Level of LLN skill requirement????)
- Summary Sheet: Elements and PC mapped to Formative assessments – Knowledge (Resource Book), Worksheet Assessment, Salon practice, Assignment, case study
- Completed student assessments:

Student files included:

- Summative Assessment - Elements, performance criteria C or NYC. Statement of competency, assessor and student signature and date.
- Wax knowledge recall sheet – questions completed and ticked by assessor.
- Waxing/eyelash/eyebrow/tinting – final practical assessment signed by trainer and dated (Note: The form included a box of criteria not ticked as S or NYS).
- Completed workbook with attachments – 6 Waxing/eyelash/eyebrow/tinting completed – Client Analysis Sheets signed by trainer and dated. (Note: The sheet did not have the student name on the top/front).

Students completed assessments reviewed:

- Flora Bektash 20/9/2017
- Van Hoang Oanh Dinh (Jammie) 9/10/17
- Sarah Leckhart 28/2/2018
- Stella Sotinadis 7/12/2017

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- Van Hoang Oanh Dinh (Jammie) 12/9/2017 (Note: No signature)

**SHB30416 Certificate III in Hairdressing**

Units:

***SHBHCUT001 Design haircut structures***

- Table: Performance Criteria, Formative Assessments, Summative Assessments
- Resource Book – Knowledge content
- Revision questions
- Worksheets – questions and activities
- Summative assessment – assignment - questions
- Sheet – I observed the following during the assessment task completed on (date), Criteria and S/ NYS.

Student files included:

- Summative/formative head sheet?? Element and PCs, C/NYS, Comments, assessor name and signature, student name and signature.
- Complete work sheets marked by assessor.
- Completed worksheets.
- Personal Training Plan A.
- Personal Training Plan B – completed units with assessor signature (e.g. not completed – four units to commence on 13/7/2017).
- Record of units of competency commenced and completed – units commencement date, student signature.
- Pre-training review Addenda A, rationale for the course.

Students files reviewed:

(Assessors: Lucy Tu and Nola Borlt, Karen Todaro, Karen)

- Rouja Mombeiniaboltath 13/11/2017
- Thuy Le 28/8/2017
- Olivia Damevski 30/1/2018
- Brooke Rumble 22/1/2018
- Alliesha Dean 25/1/2018. Same date as hair and scalp conditions.

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**Hair and Beauty**

***SHBHTRI001 Identify and treat hair and scalp conditions***

- Table: Performance Criteria, Formative Assessments, Summative Assessments
- Resource Book – Knowledge content
- Revision questions
- Worksheets – questions and activities
- Hair design workbook – questions
- Client record card hairdressing services (mapped scalp treatments)
- Summative assessment – assignment questions
- Sheet – I observed the following during the assessment task completed on (date). Criteria and S/NYS.

Student files included:

- Summative/Formative head sheet?? Element and PCs, C/NYS, comments, assessor name and signature, student name and signature
- Complete work sheets marked by assessor
- Completed worksheets
- Client consultation cards
- Hair design workbook - Identify and treat hair and scalp conditions
- Client analysis sheets – Basin services 1, Basin services 2, Basin services 3, Basin services 4, Basin services 5

Students files reviewed:

(Assessor: Karen)

- Rouja Mombeiniaboltath 13/9/2017
- Thuy Le 27/7/2017
- Olivia Damevski 6/2/2018
- Brooke Rumble 27/2/2018
- Alliesha Dean 25/1/2018. Same date design hair cut structures.
- 

Finding	Required Rectification(s)
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<p>Assessment, including Recognition of Prior Learning (RPL) met the requirements of the relevant Training Package and was conducted in accordance with the principles of assessment and the rules of evidence. Assessments met workplace requirements and were schematically validated.</p>	<p>N/A</p>
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<p><b>Improvement Opportunities</b></p>
<p>The Academy of Hair and Beauty would benefit by:</p> <p><b>SHB40115 Diploma of Beauty Therapy</b> <i>SHBXCCS002 Provide salon services to clients</i></p> <ul style="list-style-type: none"> <li>• Including the name of the student/candidate on the top of all assessment forms and records, rather than just in the signature box.</li> <li>• Ensuring that all assessor sign offs on completed assessment forms, are signed in the signature boxes, rather than leaving these blank, to confirm that the assessor has made a professional judgement of the student's competency.</li> </ul> <p><i>SHBBHRS001 Provide waxing services</i></p> <ul style="list-style-type: none"> <li>• Ensuring that all Resource Books are reviewed for the level of English language required to read content and that students have the required levels of English language to read and comprehend the material.</li> <li>• Ensuring that all the required criteria, as identified in the tables on the Final Practical Assessment Forms, are completed by assessors as S or NYS.</li> <li>• Ensuring that all assessor sign offs on completed assessment forms, are signed in the signature boxes, rather than leaving these blank, to confirm that the assessor has made a professional judgement of the student's competency.</li> </ul> <p><b>SHB30416 Certificate III in Hairdressing</b> <i>SHBHCUT001 Design haircut structures</i></p> <ul style="list-style-type: none"> <li>• Correctly heading the completed assessment forms e.g. 'Summative/formative' would not be consistent or appropriate.</li> </ul> <p><i>SHBHTRI001 Identify and treat hair and scalp conditions</i></p> <ul style="list-style-type: none"> <li>• Correctly heading the completed assessment forms e.g. 'Summative/formative' would not be consistent or appropriate.</li> </ul>



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

**Audit Date: 15/16 March 2018**

**Hair and Beauty**

**RTO: The Academy of**

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**Audit Date: 15/16 March 2018**

**Hair and Beauty**

**RTO: The Academy of**

<b>2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Pre-training Review Policy</li> <li>• Pre-training Review Questionnaire</li> <li>• Pre-training Review Addenda A</li> <li>• Pre-training Review Procedures</li> </ul>		
	<b>Finding</b>	<b>Required Rectification(s)</b>
	The Academy of Hair and Beauty had established the needs of clients and delivered services to meet these needs.	N/A

<b>2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.</b>		<b>Non-Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
No data available.		
<b>SF.2.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The Academy of Hair and Beauty had not identified and implemented a strategy for the continuous improvement of client services by collecting, analysing and acting upon relevant data.	The Academy of Hair and Beauty is required to develop and implement a strategy for the continuous improvement of client services by collecting, analysing and acting upon relevant data.

<b>Improvement Opportunities</b>
<p>The Academy of Hair and Beauty would benefit from including in the Student Feedback Focus Groups agenda, an item to collect information about student support services. For example:</p> <ul style="list-style-type: none"> <li>• Do you know what student support services are available to you?</li> <li>• Have you accessed any additional student support?</li> <li>• How effective were these?</li> <li>• Can you identify any areas for improvement?</li> <li>• Are there any additional services that you would recommend?</li> </ul>

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<p><b>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.</b></p>		<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>		
<ul style="list-style-type: none"> <li>• Website information</li> <li>• Course brochures</li> <li>• Information session details</li> <li>• Induction program materials</li> <li>• Information sessions</li> <li>• Telephone information and clarification</li> </ul> <p>Students interviewed confirmed that adequate information was provided.</p>		
<p><b>Finding</b></p>	<p><b>Required Rectification(s)</b></p>	
<p>The Academy of Hair and Beauty had provided sufficient information, before clients enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.</p>		<p>N/A</p>

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<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
Industry consultation reports for each qualification.		
<b>Finding</b>	<b>Required Rectification(s)</b>	
The employers were engaged in the development, delivery and monitoring of training and assessment.	N/A	

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<b>2.5 - Learners receive training, assessment and support services that meet their individual needs.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Student interviews</li> <li>• Students files – notes of progress and additional support provided.</li> </ul>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
The Academy of Hair and Beauty 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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<b>2.6 - Learners have timely access to current and accurate records of their participation and progress.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Student Handbook</li> <li>• Records Management – Storage/Security Policy</li> </ul>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
The Academy of Hair and Beauty 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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<b>2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Student Complaints Policy and Appeals Procedures.</li> <li>• Student Handbook.</li> <li>• Complaints Register</li> <li>• Record of informal complaints</li> </ul>		
<b>Finding</b>		<b>Required Rectification(s)</b>
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

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<b>3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>Sighted:</p> <ul style="list-style-type: none"> <li>• Policies and Procedures forming the Quality Management System.</li> <li>• Internal audit program to confirm compliance against AQTF Standards.</li> <li>• Student Enrolment Form</li> <li>• Fee for Service Agreement</li> <li>• Funded Student Agreement.</li> </ul>		
	<b>Finding</b>	<b>Required Rectification(s)</b>
	The Academy of Hair and Beauty management of its operations ensured clients received the services detailed in their agreement with the RTO.	N/A



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<b>3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.</b>		<b>Compliant</b>
<p>Sighted:</p> <ul style="list-style-type: none"> <li>• Internal AQTF and Skills First internal audits.</li> <li>• Folders containing information about the reviews and actions taken.</li> <li>• Staff input through staff meeting and informal discussions – Directors note book.</li> </ul>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
The Academy of Hair and Beauty used a systematic and continuous improvement approach to the management of operations.	N/A	

<b>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.</b>		<b>Not Audited</b>
The Academy of Hair and Beauty had not entered into arrangements for training and/or assessment services to be provided on its behalf.		
	<b>Finding</b>	<b>Required Rectification(s)</b>
	The Academy of Hair and Beauty had not entered into arrangements for training and/or assessment services to be provided on its behalf.	N/A

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<b>3.4 - The RTO manages records to ensure their accuracy and integrity.</b>		<b>Compliant</b>
<ul style="list-style-type: none"> <li>• Records Management – Storage/Security, Destroying Evidence, Security of Current Students' Records.</li> <li>• Version Control.</li> <li>• Version Control Policy.</li> </ul>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
The Academy of Hair and Beauty managed records to ensure their accuracy and integrity.	N/A	

**Detailed Findings – 2016 VRQA Guidelines for VET Providers**

**GUIDELINE 1.1 - An RTO must ensure that it has a current strategic plan and a detailed business plan which have been approved by its governing body.**

**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.

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<p><b>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:</b></p> <ul style="list-style-type: none"> <li>a) projected student enrolments by qualifications</li> <li>b) a range of financial indicators, including             <ul style="list-style-type: none"> <li>i. cash flow</li> <li>ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1)</li> <li>iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1)</li> </ul> </li> <li>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.</li> <li>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.</li> </ul>	<p><b>Not audited in Phase 2 audit</b></p>
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Detail of evidence reviewed relating to findings

GF 1.2	Finding	Required Rectification(s)
	Detail of first finding relating to guideline 1.2	Details of required rectification relating to guideline 1.2.1

Improvement Opportunities
Summary of improvement opportunities relating to guideline 1.2.

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<p><b>GUIDELINE 1.3 - An RTO ensures that it has management systems that include:</b></p> <p>a) management information including:</p> <ul style="list-style-type: none"> <li>I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds)</li> <li>II. a physical address of the company in Victoria for the purposes of serving notices</li> <li>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</li> <li>IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria</li> <li>V. contact arrangements for the CEO/PEO including during holidays and other closure periods</li> <li>VI. physical addresses for the location of financial, student and staff records including archives and computer back up storage</li> </ul> <p>b) a financial management system including a system for managing student fee payments and student refunds</p> <p>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</p> <ul style="list-style-type: none"> <li>I. not able to be withheld from the RTO; and</li> <li>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</li> </ul> <p>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.</p>		<p><b>Not audited in Phase 2 audit</b></p>
<p>Detail of evidence reviewed relating to findings</p>		
<b>GF 1.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Detail of first finding relating to guideline 1.3</p>		<p>Details of required rectification relating to guideline 1.3.1</p>
<b>SF.1.3.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Detail of second finding relating to guideline 1.3</p>		<p>Details of required rectification relating to guideline 1.3.2</p>

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<b>Improvement Opportunities</b>
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Summary of improvement opportunities relating to Guideline 1.3
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<p><b>GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:</b></p> <ul style="list-style-type: none"> <li>a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management</li> <li>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"> <li>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</li> <li>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</li> </ul> </li> <li>c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience.</li> </ul>		<p><b>Not audited in Phase 2 audit</b></p>
<p>Detail of evidence reviewed relating to findings</p>		
<b>GF 1.4</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Detail of first finding relating to guideline 1.4</p>	<p>Details of required rectification relating to guideline 1.4</p>
<b>Improvement Opportunities</b>		
<p>Summary of improvement opportunities relating to Guideline 1.4</p>		



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<p><b>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.</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• <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.</li> </ul>		<b>Not audited</b>
<p>No third party arrangements were entered into.</p>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
<p>No third party arrangements were entered into.</p>	<p>N/A</p>	

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<b>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:</b>		<b>Not audited</b>
<ul style="list-style-type: none"> <li>a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and</li> <li>b) for the purposes of the conduct of any audit or monitoring of its operations.</li> </ul>		
<p>No third party arrangements were entered into.</p>		
<b>GF 2.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>No third party arrangements were entered into.</p>	<p>N/A</p>

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<b>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:</b>		<b>Not audited</b>
<ul style="list-style-type: none"> <li>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</li> <li>b) within 30 calendar days of the agreement coming to an end.</li> </ul>		
<p>No third party arrangements were entered into.</p>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
<p>No third party arrangements were entered into.</p>		<p>N/A</p>

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<p><b>GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:</b></p> <ul style="list-style-type: none"> <li>a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and</li> <li>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.</li> </ul>		<b>Not audited</b>
<p>No third party arrangements were entered into.</p>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
<p>No third party arrangements were entered into.</p>	<p>N/A</p>	

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<p><b>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:</b></p> <ul style="list-style-type: none"> <li>a) enables the student to make informed decisions about undertaking training with the RTO and</li> <li>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</li> </ul>		<b>Not audited</b>
<p>No third party arrangements were entered into.</p>		
<b>Finding</b>	<b>Required Rectification(s)</b>	
<p>No third party arrangements were entered into.</p>	<p>N/A</p>	

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<b>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.</b>		<b>Not audited</b>
No third party arrangements were entered into.		
	<b>Finding</b>	<b>Required Rectification(s)</b>
	No third party arrangements were entered into.	N/A

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<b>GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:</b>		<b>Not audited</b>
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.		
No third party arrangements were entered into.		
<b>Finding</b>	<b>Required Rectification(s)</b>	
No third party arrangements were entered into.	N/A	

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<b>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.</b>		<b>Not audited</b>
No third party arrangements were entered into.		
	<b>Finding</b>	<b>Required Rectification(s)</b>
	No third party arrangements were entered into.	N/A



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<p><b>GUIDELINE 3.1</b> 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"> <li>a) vocational competencies at least to the level being delivered and assessed;</li> <li>b) current industry skills directly relevant to the training and assessment being provided; and</li> <li>c) current knowledge and skills in vocational training and learning that informs their training and assessment.</li> </ul> <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>	<p><b>Compliant</b></p>
<p>See Standard 1.4.</p>	
Finding	Required Rectification(s)
<p>The Academy of Hair and Beauty training and assessment was delivered only by persons who had:</p> <ul style="list-style-type: none"> <li>• vocational competencies at least to the level being delivered and assessed;</li> <li>• current industry skills directly relevant to the training and assessment being provided; and</li> <li>• current knowledge and skills in vocational training and learning that informs their training and assessment.</li> </ul>	<p>N/A</p>

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<b>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.</b>		<b>Compliant</b>
See Standard 1.4		
	<b>Finding</b>	<b>Required Rectification(s)</b>
	The Academy of Hair and Beauty training and assessment was delivered only by persons who had the required qualifications.	N/A

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<b>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.</b>		<b>Not audited</b>
Detail of evidence reviewed relating to findings		
<b>GF 3.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Detail of first finding relating to guideline 3.3		Details of required rectification relating to guideline 3.3.1
<b>GF.3.3.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Detail of second finding relating to guideline 3.3		Details of required rectification relating to guideline 3.3.2
<b>Improvement Opportunities</b>		
Summary of improvement opportunities relating to Guideline 3.3		

<b>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.</b>		<b>Not audited</b>
Detail of evidence reviewed relating to findings		
<b>GF 3.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Detail of first finding relating to guideline 3.4		Details of required rectification relating to guideline 3.4.1
<b>GF 3.4.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Detail of second finding relating to guideline 3.4		Details of required rectification relating to guideline 3.4.2
<b>Improvement Opportunities</b>		
Summary of improvement opportunities relating to Guideline 3.4		

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<b>GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:</b>		<b>Not audited</b>
<ul style="list-style-type: none"> <li>a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines;</li> <li>b) has vocational competencies at least to the level being delivered and assessed; and</li> <li>c) has current industry skills directly relevant to the training and assessment being provided.</li> </ul>		
Detail of evidence reviewed relating to findings		
<b>GF 3.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Detail of first finding relating to guideline 3.5		Details of required rectification relating to guideline 3.5.1
<b>GF 3.5.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Detail of second finding relating to guideline 3.5		Details of required rectification relating to guideline 3.5.2
<b>Improvement Opportunities</b>		
Summary of improvement opportunities relating to Guideline 3.5		

<p><b>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.</b></p>		<p><b>Compliant</b></p>
<p>See Standard 1.2</p>		
<p><b>Finding</b></p>	<p><b>Required Rectification(s)</b></p>	
<p>The Academy of Hair and Beauty training and assessment strategies and practices, including the amount of training it provided, was consistent with the requirements of the training packages and VET accredited courses and enabled each student to meet the requirements for each unit of competency or module in which the student was enrolled.</p>	<p>N/A</p>	

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<b>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:</b>		<b>Compliant</b>
<p>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.</p>		
See Standard 1.2		
<b>GF 4.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The Academy of Hair and Beauty 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.	N/A

<b>Improvement Opportunities</b>
<p>The Academy of Hair and Beauty would benefit by identifying, in qualification Training and Assessment Strategies (rather than having to review the range of qualification learning and assessment resources to access information about the amount of training to be completed):</p> <ul style="list-style-type: none"> <li>• The intended number of weeks/days that the qualifications will be delivered.</li> <li>• A realistic breakdown of the types of required tasks that learner is expected to complete as part of self-directed study.</li> <li>• Include a section in the TAS that identifies 'Amount of Training' and provides a rationale for training that students will access, based on indicators such as Volume of Learning, the experience of learners, the mode of delivery, and nominal hours if students access government funding.</li> </ul>

<b>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.</b>		<b>Not audited</b>
Detail of evidence reviewed relating to findings		
<b>GF 4.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Detail of first finding relating to guideline 4.3		Details of required rectification relating to guideline 4.3.1
<b>GF 4.3.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Detail of second finding relating to guideline 4.3		Details of required rectification relating to guideline 4.3.2
<b>Improvement Opportunities</b>		
Summary of improvement opportunities relating to Guideline 4.3		



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<p><b>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.</b></p>		<p><b>Not audited</b></p>
<b>GF 4.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>The Academy did not have the qualifications TAE40110 or TAE40116 on its scope of registration.</p>		<p>N/A</p>

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<p><b>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:</b></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>		<p><b>Not audited</b></p>
<p>The Academy did not have the qualifications TAE40110 or TAE40116 on its scope of registration.</p>		
<p><b>Finding</b></p>	<p><b>Required Rectification(s)</b></p>	
<p>The Academy did not have the qualifications TAE40110 or TAE40116 on its scope of registration.</p>	<p>N/A</p>	

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<b>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.</b>		<b>Not audited</b>
The Academy did not have the qualifications TAE40110 or TAE40116 on its scope of registration.		
	<b>Finding</b>	<b>Required Rectification(s)</b>
	The Academy did not have the qualifications TAE40110 or TAE40116 on its scope of registration.	N/A

<p><b>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:</b></p> <ul style="list-style-type: none"> <li>a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and</li> <li>b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3.</li> </ul>		<b>Not audited</b>
<p>The Academy did not have the qualifications TAE40110 or TAE40116 on its scope of registration.</p>		
<b>GF 4.7</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>The Academy did not have the qualifications TAE40110 or TAE40116 on its scope of registration.</p>		N/A
<p><b>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:</b></p> <ul style="list-style-type: none"> <li>a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and</li> <li>b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and</li> <li>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.</li> </ul>		<b>Not audited</b>
<p>Detail of evidence reviewed relating to findings</p>		
<b>GF 5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Detail of first finding relating to guideline 5.1</p>		Details of required rectification relating to guideline 5.1
<b>Improvement Opportunities</b>		
<p>Summary of improvement opportunities relating to Guideline 5.1</p>		