

**Audit Date: 7 – 21/12/2021 - December
2021**

RTO: The Suzan Johnston Organization (Aust) Pty Ltd

Applicant Details			
Applicant Name	The Suzan Johnston Organization (Aust) Pty Ltd	TOID	0170
Address	Level 6, 246 Bourke Street MELBOURNE VIC 3000		
		Website	www.sj.vic.edu.au
Registration Contact	Mrs Donna Leigh, CEO,		
Phone Number	03 9654 0999,	Email	donna@sj.vic.edu.au
Audit Team			
Audit Firm	Considered Compliance Services Pty Ltd	Auditor/s	Anna-Louise Allen
Auditor/s	Sandra Gallagher	Other Attendees	
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Extension to Scope Audit		
Conditions Audited	8		
Standards Audited	1.2, 1.3, 1.4, 1.5	2.4	
2016 VRQA Guidelines Audited	4.1,4.2,		
Audit Date/s	December 2021		
RTO Background			
<p>The Suzan Johnston Training Organization has been operating for sixty-two years and an RTO for twenty-eight years. The RTO delivers Nationally Recognised fee for service and government funded training programs in:</p> <ul style="list-style-type: none"> • Business Administration • Child Education and Care • Travel and Tourism. <p>The Suzan Johnson Training Organization also provides non accredited short courses in</p> <ul style="list-style-type: none"> • Customer Service • Modelling • Finishing and department • Children's courses. 			

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Qualifications/Units Audited¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site(s)
CHC30121	Certificate III in Early Childhood Education and Care	Melbourne
CHC50121	Diploma of Early Childhood Education and Care	Melbourne

Interviewee(s) – Staff name and position; employer name and position	
Anne Jandula	Co-ordinator
Jelena Bunjevac	Trainer and Assessor
Tina Trajanovski	Trainer and Assessor
Shelley Jacobson	Trainer Assessor
Donna Leigh	CEO
Martine Hall	Curriculum & Compliance Manager

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:		

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		Compliant	Non - Compliant	Not audited
Place an X in the appropriate column				
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation			X
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment			X
7	Recognition of Qualifications Issued by other RTOs			X
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses			X
Summary of Non-Compliance²				
No non compliances were identified by the quality review.				

² 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
Standard 1			
1.1 – Continuous Improvement Strategy			x
1.2 – Training and Assessment Strategies	x		
1.3 – Training and Assessment Resources	x		
1.4 – Trainer and Assessor Competency	x		
1.5 – Assessment Strategies	x		
Standard 2			
2.1 – Meeting the Needs of Clients			x
2.2 – Continuous Improvement of Client Services			x
2.3 – Provision of Information to Clients			x
2.4 – Third-Party Engagement in Training and Assessment	x		
2.5 – Provision of Support Services to Clients			x
2.6 – Learner Access to Records of Participation			x
2.7 – Complaints and Appeals Strategy			x
Standard 3			
3.1 – Operations Management			x
3.2 – Continuous Improvement of Operations			x
3.3 – Third-Party Training and/ or Assessment Services			x
3.4 – Records Management			x
Summary of Non-Compliance³			
No non compliances were identified by the quality review.			
Strengths			
The RTO's submission was well organised, and the RTO's staff were appropriately skilled, had participated in the development of the course materials and could explain how they met the standards.			

³ 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
1. Governance, Financial viability and Management systems			
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
2. Transparency and oversight of third parties			
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)			
3.1 – Vocational & Industry skill requirements			X
3.2 – Training and Assessment (TAE) skill requirements			X
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
4. Delivery of training and assessment services			
4.1 – Training and assessment practices	X		
4.2 – Amount of training	X		
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
5. Annual Declaration of Compliance			
5.1 – Annual Declaration of Compliance			X

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Summary of Non-Compliance⁴
No non compliances were identified by the quality review.
Strengths
The RTO's staff had participated in the development of the course materials and were able to explain how the materials met the Guideline requirements.

⁴ GF = Guideline Finding. Finding references are aligned to the Detailed Findings section of this report.

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Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance	Not audited
CONDITION 2 - Interactions with the Registering Body	Not audited
CONDITION 3 - Compliance with Legislation	Not audited
CONDITION 4 - Insurance	Not audited
CONDITION 5 - Financial Management	Not audited
CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment	Not audited
CONDITION 7 - Recognition of Qualifications Issued by other RTOs	Not audited

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CONDITION 8 - Accuracy and Integrity of Marketing	Compliant
Evidence/Documentation Reviewed	
<p>Detail of evidence reviewed relating to findings:</p> <p>The following were reviewed and met this Condition:</p> <ul style="list-style-type: none"> • Advertising and Marking Policy • RT website www.sj.vic.edu.au <p>The RTO supplied an Advertising and Marking Policy, which outlines, current advertising and future advertising. The website www.sj.vic.edu.au was accessed during the audit period and the current advertising is for the current Training Packages, and not for the proposed Training Packages. The current marketing complies with the requirements of this condition.</p> <p>The RTO did not supply marketing material for the new qualifications, however, demonstrated that processes were in place to enable development of compliant materials.</p> <p>The RTO demonstrated compliance with this Condition.</p>	
CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses	Not audited

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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.

Not audited

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

Detail of evidence reviewed relating to findings:

The following documents were reviewed and met the training package requirements:

- Code of Practice
- Pre-Training LLN
- Privacy confidentiality
- RPL and Credit Transfer
- TAS Development
- Training and Assessment
- Validation and Moderation

Training and Assessment Strategies:

- TAS - CHC30121 Certificate III in ECEC CC - FT February 2022 v2
- TAS - CHC30121 Certificate III in ECEC CC February 2022 v2
- TAS - CHC50121 Diploma of ECEC DIP - FT February 2022 v2
- TAS - CHC50121 Diploma of ECEC DIP February 2022 v2

Industry consultation was demonstrated in the following documents and summarised in the training and assessment strategies.

Industry consultation:

- Industry Board Summary Responses Electives 24.10.2021
- Industry Board Summary Responses Placement Tasks 06.11.2021
- Practical Placement Hosts 2022

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The RTO demonstrated compliance with element 1.2.

Improvement Opportunities

It is suggested that the RTO add a table of contents to all the documents for ease of use.

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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>Detail of evidence reviewed relating to findings:</p> <p>The following documents were reviewed and were consistent with the requirements of the Training Package:</p> <p>Learning Tools:</p> <p>CHCECE031 Support children's health, safety and wellbeing</p> <ul style="list-style-type: none"> • Learning Activities – student and assessor version • Lesson Plan • Mapping • Practical Guide Assessor • Practical Guide Student • Theory Guide Assessor • Theory Guide Student <p>CHCECE032 Nurture babies and toddlers</p> <ul style="list-style-type: none"> • Learning Activities – student and assessor version • Lesson Plan • Mapping • Practical Guide Assessor • Practical Guide Student • Theory Guide Assessor • Theory Guide Student <p>CHCECE035 Support the holistic learning and development of children</p> <ul style="list-style-type: none"> • Learning Activities – student and assessor version • Lesson Plan • Mapping • Practical Guide Assessor 	

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- Practical Guide Student
- Theory Guide Assessor
- Theory Guide Student

CHCECE043 Nurture creativity in children

- Learning Activities – student and assessor version
- Lesson Plan
- Mapping
- Practical Guide Assessor
- Practical Guide Student
- Theory Guide Assessor
- Theory Guide Student

CHCECE044 Facilitate compliance in a children’s education and care service

- Learning Activities – student and assessor version
- Lesson Plan
- Mapping
- Practical Guide Assessor
- Practical Guide Student
- Theory Guide Assessor
- Theory Guide Student

Training and Assessment Strategies:

- TAS - CHC30121 Certificate III in ECEC CC - FT February 2022 v2 – Full Time
- TAS - CHC30121 Certificate III in ECEC CC February 2022 v2 – Block Cohort
- TAS - CHC50121 Diploma of ECEC DIP - FT February 2022 v2– Full Time
- TAS - CHC50121 Diploma of ECEC DIP February 2022 v2 – Block Cohort

Training Facility documentation:

- 9B Building Permit Suzan Johnston Premises
- Statutory Declaration Suitable Premises

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- Susan Johnston Lease 246 Bourke Street, Melbourne
- Suzan Johnston Australia Training Facility and Resources – presentation of training facilities

Additional information reviewed:

- Internal and External Audit documents
- Staff Recruitment documents
- Student complaints documents
- TAS development
- Training and Assessment guidelines
- Validation and moderation

The RTO demonstrated that they have access to sufficient and appropriate staff, facilities, equipment and training and assessment materials to meet the requirements of the Training Package and the own training and assessment strategies.

The RTO demonstrated compliance with element 1.3.

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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>Detail of evidence reviewed relating to findings:</p> <p>The following policies and trainer files (see below) were reviewed and met the requirements of this element.</p> <ul style="list-style-type: none"> • Orientation • Staff Orientation • Code of Practice • Continuous Improvement • Internal and External Audit procedures • Privacy and confidentiality • Staff Handbook • Staff recruitment • Storage and Retention of files • Training and Assessment Guidelines <p>3 of 4 trainers were interviewed and the trainers had completed professional development including actively being involved in the development of the new units of competency and could explain the differences between the old and new units.</p> <p>The RTO demonstrated that they have access to a sufficient number of qualified and current trainers and assessors.</p> <p>The RTO demonstrated compliance with element 1.4.</p>	

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Trainer files audited:				
Name of trainer/assessor	Qualification/s delivered	Vocational qualifications held (if any)- please include code and title, RTO where qualification achieved and date	Training and assessment qualification held - please include code and title, RTO where qualification achieved and date	Professional Development Last 2 years
Anne Jandula	CHC30121 - Certificate III in Early Childhood Education and Care CHC50121 - Diploma of Early Childhood Education and Care	CHC50113 Diploma of Early Childhood Education & Care KAL Multimedia Training 20/05/2014 CHC30113 Certificate III in Early Childhood Education and Care KAL Multimedia Training 25/03/2014 Skills Matrix mapping to new qualification	TAE40116 - Certificate IV in Training and Assessment Blueprint Career Development 5/04/2019	Detailed in the Trainer Matrix and Resume <ul style="list-style-type: none"> • Industry Placement • EDUCA webinars • Early Childhood Training: Mandatory Reporting Refresher • Early Childhood Training: Supporting Additional Needs • Education and Training Department: (Early Childhood) Protecting Children – Mandatory Reporting & Other Obligations for the Early Childhood Sector • Early Childhood Training: QIP Why we do what we do • Early Childhood Training: Leadership in Childcare • Early Childhood Training: Health and Safety • Early Childhood Training: How to Write Observations • VDC: deafConnectEd – Practical Strategies for Teachers with Learners who are Deaf or Hard of Hearing • Early Childhood Training: Reflective Practices • Early Childhood Training: Positive Behaviour • Early Childhood Training: Provide Care for Babies • The Empowered Educator How to simplify the Planning Cycle Steps.
Jelena Bunjevac	CHC30121 - Certificate III in Early Childhood Education and Care	CHC30113 – Certificate III in Early Childhood Education and Care Selmar Institute of Education 22/03/2018	TAE40110 - Certificate IV in Training and Assessment Selmar Institute of Education (Includes TAEASS502B - Design and develop assessment tools & TAELLN411 Address adult	Detailed in the Trainer Matrix and Resume <ul style="list-style-type: none"> • Industry Placement • EDUCA webinars • Early Childhood Training: Mandatory Reporting Refresher • Early Childhood Australia: Playing with Gratitude

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

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	CHC50121 - Diploma of Early Childhood Education and Care	CHC50113 Diploma in Early Childhood Education and Care Selmar Institute of Education 14/11/2017	language, literacy, and numeracy skills) 25/02/2016	<ul style="list-style-type: none"> • Early Childhood Training: QIP Why we do what we do • Early Childhood Training: Leadership in Childcare • Early Childhood Training: Health and Safety • Early Childhood Training: How to Write Observations • Early Childhood Training: Reflective Practices • Early Childhood Training: Positive Behaviour • Early Childhood Training: Provide Care for Babies
Shelley Jacobson	<p>CHC30121 - Certificate III in Early Childhood Education and Care</p> <p>CHC50121 - Diploma of Early Childhood Education and Care</p>	<p>Graduate Certificate of Education (Early Childhood) University of Southern Queensland) 13/05/2020</p> <p>Bachelor of Early Childhood (Teaching) 20/12/2014</p> <p>CHC60208 Advanced Diploma of Children's Services Selmar Institute 18/02/2013</p> <p>Diploma of Children's Services Box Hill Institute of TAFE (letter of confirmation) 9/03/2005</p>	TAE40116 - Certificate IV in Training and Assessment Inspire Education 19/05/2021	<p>Detailed in the Trainer Matrix and Resume</p> <ul style="list-style-type: none"> • Currently the Centre Director at Templestowe World of Learning • Edu Tribe: Critical Reflection • Early Childhood Australia: Music in Early Childhood • Dr Kaylene Henderson Child Psychiatrist: Trauma Series • Early Childhood Australia: Supporting Language Development in the Early Years • Early Childhood Australia: Acting Ethically – Exploring the ECA Code of Ethics • Early Childhood Australia: Developing and Maintaining A Quality Improvement Plan • Early Childhood Australia: Introduction to the National Quality Framework for Early Childhood and Care • Early Childhood Australia: Professional Partnerships for Early Childhood Inclusion • Healthy Eating Advisory Service: Healthy Eating in a Long Day Care • Dr Kaylene Henderson Child Psychiatrist: Handling Transitions and Separations • Early Childhood Training: Positive Behaviour • Early Childhood Australia: Partnerships with Communities • Early Childhood Training: Care for Babies • Early Childhood Australia: Outdoor Learning • Early Childhood Australia: Visual Art and Creativity in Your Curriculum • Let's Talk About Practice: Indoor Learning Environments

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				<ul style="list-style-type: none"> • Dr Kaylene Henderson Child Psychiatrist: Speech and Language Development Milestones • Early Childhood Australia: Putting Art in Place • G8 Education: Child Protection Sexual Abuse and Grooming • Early Childhood Australia: The Planning Cycle: Rediscovered • DoFoodSafely: Do Food Safely Assessment • Food Allergy Aware: All About Allergens for Children's education and care • Early Childhood Australia: A Good Place to be a Child: Creating Effective Early Learning Environments • Early Childhood Australia: Start Early – Gender, Respect and Identity • Dr Kaylene Henderson Child Psychiatrist: Understanding and settling infants – guide to sleep and settling
Tina Trajanovski	CHC50121 - Diploma of Early Childhood Education and Care	CHC50113 Diploma of Early Childhood Education & Care KAL Multimedia Training 20/01/2015	TAE40116 - Certificate IV in Training and Assessment Blueprint Career Development 04/01/2019	<p>Detailed in the Trainer Matrix and Resume</p> <ul style="list-style-type: none"> • Industry placement • Early Childhood Training: Supporting Additional Needs • Early Childhood Training: QIP Why we do what we do • Early Childhood Training: Leadership in Childcare • Early Childhood Training: Health and Safety • Early Childhood Training: How to Write Observations • Victorian State Government: Protecting Children – Mandatory Reporting and other Obligations • Early Childhood Training: Reflective Practices • Early Childhood Training: Positive Behaviour • Early Childhood Training: Provide Care for Babies • Empowered Educator: How to simplify the planning cycle webinar

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Improvement Opportunities

The trainers demonstrated professional development in training, assessment and industry skills, however, it is suggested that the trainers enhance their professional development in respect to Vocational Education and Training skills, ie the VET sector requirements.

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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>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Detail of evidence reviewed relating to findings</p> <p>The following documents were reviewed and met the Assessment including Recognition of Prior Learning (RPL) requirements:</p> <p>Training and Assessment Strategies:</p> <ul style="list-style-type: none"> • TAS - CHC30121 Certificate III in ECEC CC - FT February 2022 v2 – Full Time • TAS - CHC30121 Certificate III in ECEC CC February 2022 v2 – Block Cohort • TAS - CHC50121 Diploma of ECEC DIP - FT February 2022 v2– Full Time • TAS - CHC50121 Diploma of ECEC DIP February 2022 v2 – Block Cohort <p>Assessment Tools</p> <p>CHCECE031</p> <ul style="list-style-type: none"> • CHCECE031 Mapping • CHCECE031 Practical Guide Assessor • CHCECE031 Practical Guide Student • CHCECE031 Theory Guide Assessor • CHCECE031 Theory Guide Student <p>CHCECE032</p> <ul style="list-style-type: none"> • CHCECE032 Mapping • CHCECE032 Practical Guide Assessor • CHCECE032 Practical Guide Student 	

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- CHCECE032 Theory Guide Assessor
- CHCECE032 Theory Guide Student

CHCECE035

- CHCECE035 Mapping
- CHCECE035 Practical Guide Assessor
- CHCECE035 Practical Guide Student
- CHCECE035 Theory Guide Assessor
- CHCECE035 Theory Guide Student

CHCECE043

- CHCECE043 Mapping
- CHCECE043 Practical Guide Assessor
- CHCECE043 Practical Guide Student
- CHCECE043 Theory Guide Assessor
- CHCECE043 Theory Guide Student

CHCECE044

- CHCECE044 Mapping
- CHCECE044 Practical Guide Assessor
- CHCECE044 Practical Guide Student
- CHCECE044 Theory Guide Assessor
- CHCECE044 Theory Guide Student

Policies reviewed:

- Issuing authenticating qualifications
- TAS Development Implementation Policy
- Validation and Moderation
- Training and Assessment Guidelines

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- Version Control

Recognition of Prior Learning (RPL) and Credit Transfer Policy

- RPL Process chart
- Step 1 – Application form
- Step 2 – Initial Interview
- Step 3 – Candidate Self-Evaluation
- Step 4 – Third Party Verification
- Step 5 – Competency conversation
- Step 6 – Workplace assessment Tasks
- Step 7 – Finalising the assessment decision and RPL Process
- Step 8 – Training Plan Schedule/Certificates Issued.

The trainers interviewed had been actively involved in the development of the new units of competency and could explain the differences between the old and new units.

The RTO demonstrated that Assessment including Recognition of Prior Learning (RPL):

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

The RTO demonstrated compliance with element 1.5.

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2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.	Not audited
2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.	Not audited
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.	Not audited
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	
<p>Detail of evidence reviewed relating to findings:</p> <p>The following documents were reviewed and met the requirements of this element:</p> <ul style="list-style-type: none"> • Cert III in Early Education and Care Practical Placement Agreement • Diploma of Early Childhood Education and Care Practical Placement Agreement • Practical Placement Hosts 2022 • Practical Placement Policy <p>The RTO demonstrated that 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.</p> <p>The RTO demonstrated compliance with element 2.4.</p>	

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2.5 - Learners receive training, assessment and support services that meet their individual needs.	Not audited
2.6 - Learners have timely access to current and accurate records of their participation and progress.	Not audited
2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	Not audited
3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.	Not audited
3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.	Not audited
3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.	Not audited
3.4 - The RTO manages records to ensure their accuracy and integrity.	Not audited

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Detailed Findings – 2016 VRQA Guidelines for VET Providers

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

Not Audited

- 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

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:

Not audited

- a) projected student enrolments by qualifications
- b) a range of financial indicators, including
 - i. cash flow
 - ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1)
 - iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1)
- c) the VET provider shows that it has a financial guarantor with the capacity to service the guarantee and/or to demonstrate sufficient working capital to operate for at least 6 months without tuition fees.
- d) details about whether any person involved in the management or provision of courses by the RTO meets any of the descriptions listed in section 4.3.11(2) of the Act.

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GUIDELINE 1.3 - An RTO ensures that it has management systems that include:

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

Non-Audited

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

- a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management
- b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that:
 - i. for an RTO with anticipated ongoing operation of less than 150 equivalent full time students or an annual student fee turnover of less than \$1.5m per annum, persons are appointed with suitable qualifications and experience; and
 - ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience
- c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience.

Not audited

Audit Date: 7/12/2021 - December 2021 RTO: The Suzan Johnston Organization (Aust) Pty Ltd

GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.

- A *third party* means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO.
- *Services* mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services.

Not audited

GUIDELINE 2.2 – An RTO ensures that any third-party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:

- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- b) for the purposes of the conduct of any audit or monitoring of its operations.

Not audited

GUIDELINE 2.3 – An RTO notifies the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:

- a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
- b) within 30 calendar days of the agreement coming to an end.

Not audited

GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:

- a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and
- b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party.

Not audited

Audit Date: 7/12/2021 - December 2021 **RTO: The Suzan Johnston Organization (Aust) Pty Ltd**

GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO provides, in print or through referral to an electronic copy, current and accurate information that:

- a) enables the student to make informed decisions about undertaking training with the RTO and
- b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf

Not audited

GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.

Not Audited

GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:

- a) the RTO, its trainers, assessors or other staff;
- b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or
- c) a student of the RTO.

Not-Audited

GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.

Not-Audited

Audit Date: 7/12/2021 - December 2021 **RTO:** The Suzan Johnston Organization (Aust) Pty Ltd

<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>	Not-Audited
<p>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.</p>	Not-Audited
<p>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.</p>	Not-Audited
<p>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.</p>	Not-Audited
<p>GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:</p> <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. 	Not Audited

Audit Date: 7/12/2021 - December 2021 **RTO: The Suzan Johnston Organization (Aust) Pty Ltd**

GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.

Compliant

Detail of evidence reviewed relating to findings

The following documents were reviewed and met the requirements of this Guideline.

Training and assessment tools

CHCECE031 Learning Material

- Learning Activities – student and assessor version
- Lesson Plan
- Mapping
- Practical Guide Assessor
- Practical Guide Student
- Theory Guide Assessor
- Theory Guide Student

CHCECE032 Learning Material

- Learning Activities – student and assessor version
- Lesson Plan
- Mapping
- Practical Guide Assessor
- Practical Guide Student
- Theory Guide Assessor
- Theory Guide Student

CHCECE032 Learning Material

- Learning Activities – student and assessor version
- Lesson Plan
- Mapping
- Practical Guide Assessor

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- Practical Guide Student
- Theory Guide Assessor
- Theory Guide Student

CHCECE035 Learning Material

- Learning Activities – student and assessor version
- Lesson Plan
- Mapping
- Practical Guide Assessor
- Practical Guide Student
- Theory Guide Assessor
- Theory Guide Student

CHCECE043 Learning Material

- Learning Activities – student and assessor version
- Lesson Plan
- Mapping
- Practical Guide Assessor
- Practical Guide Student
- Theory Guide Assessor
- Theory Guide Student

CHCECE044 Learning Material

- Learning Activities – student and assessor version
- Lesson Plan
- Mapping
- Practical Guide Assessor
- Practical Guide Student
- Theory Guide Assessor
- Theory Guide Student

Training and Assessment Strategies:

Audit Date: 7/12/2021 - December 2021 **RTO: The Suzan Johnston Organization (Aust) Pty Ltd**

- TAS - CHC30121 Certificate III in ECEC CC - FT February 2022 v2 – Full Time
- TAS - CHC30121 Certificate III in ECEC CC February 2022 v2 – Block Cohort
- TAS - CHC50121 Diploma of ECEC DIP - FT February 2022 v2– Full Time
- TAS - CHC50121 Diploma of ECEC DIP February 2022 v2 – Block Cohort

The trainers interviewed had been actively involved in the development of the new units of competency and how explain how training was consistent with the requirements of the training package and their student's learning requirements.

The RTO's training and assessment strategies and practices, including the amount of training it provides, were consistent with the requirements of the training package to enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.

The RTO demonstrated compliance with this Guideline.

Audit Date: 7/12/2021 - December 2021 **RTO: The Suzan Johnston Organization (Aust) Pty Ltd**

<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. 	<p>Compliant</p>
<p>Detail of evidence reviewed relating to findings</p> <p>The following documents were reviewed and met the requirements of this Guideline.</p> <p>Training and Assessment Strategies:</p> <ul style="list-style-type: none"> • TAS - CHC30121 Certificate III in ECEC CC - FT February 2022 v2 – Full Time • TAS - CHC30121 Certificate III in ECEC CC February 2022 v2 – Block Cohort • TAS - CHC50121 Diploma of ECEC DIP - FT February 2022 v2– Full Time • TAS - CHC50121 Diploma of ECEC DIP February 2022 v2 – Block Cohort <p>The trainers interviewed had been actively involved in the development of the new units of competency and how explain how the amount of training was suitable for the RTO's students.</p> <p>The Training and Assessment Strategies determined the amount of training the RTO provides to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.</p> <p>The RTO demonstrated compliance with this Guideline.</p>	