

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

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

Applicant Details			
Applicant Name	Northern College of the Arts and Technology	TOID	6736
Address	62 Murray Road, Preston, 3072		
	Website	https://ncat.vic.edu.au/	
Registration Contact	Ms Raffaella Galati-Brown		
Phone Number	9478 1333	Email	galati-brown.raffaella.r@edumail.vic.gov.au
Audit Team			
Audit Firm	Quorum QA	Auditor/s	Carol Macreadie
Auditor/s		Other Attendees	
Registering Body Details			
Contact Person	Julie Florence		
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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, 3.3, 3.4
2016 VRQA Guidelines Audited	4.3	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8 (If applicable)	
	3.1, 3.2, 3.3, 3.4, 3.5	4.1, 4.2, 4.3 to 4.6 (If applicable)	
Audit Date/s	5 & 6 December 2018		
RTO Background			
<p>The Northern College of the Arts and Technology (NCAT) was established in 2012. It caters for Year 10, VCE, VCAL, and other post-secondary students seeking a specialised education in the performing arts, visual arts, design, media, trades or technologies. In 2018, it has an internal enrolment of approximately 450 students, and an external enrolment (students from other schools in the Northern Melbourne VET Cluster who attend one day per week for their VETiS course) of approximately 440 students.</p> <p>NCAT delivers a wide range of VET courses using excellent facilities, including a \$17 million Trade Training Centre, purpose-built studios for a range of performing and visual arts, a modern recording studio and MIDI computer labs. It is currently in the middle of a further building program.</p> <p>The College has a strong focus on post-school pathways and has a solid record of working with tertiary institutions to ensure their courses are viable pathways; and of collaboration with industry for course advice, industry visits, donations of equipment and materials, and membership of the School Council.</p>			

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

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

Enrolments in the two audited courses are:

	2017	2018
• CUA31015 Certificate III in Screen and Media	116	119
• CUA30915 Certificate III in Music Industry	92	112

The College is shaped by a committed and experienced Principal and a capable leadership team.

Qualifications/Units Audited¹

QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
CUA31015	Certificate III in Screen and Media	NCAT, Preston
CUA30915	Certificate III in Music Industry	NCAT, Preston

Interviewee(s) – Staff name and position; employer name and position

Raffaella Galati-Brown	Principal
Louise Terranova	RTO Manager
Craig Illman	Trainer – CUA31015 Certificate III in Screen and Media
Marcus Newman	Trainer – CUA31015 Certificate III in Screen and Media
Zac Lister	Trainer – CUA30915 Certificate III in Music Industry
Rachel Sztanski	Trainer – CUA30915 Certificate III in Music Industry
Carmelina Rainone	Numeracy Teacher
Cate Button	Literacy Coordinator

Permanent Delivery Sites –

Do the RTO's permanent delivery sites match the information provided by the VRQA?

Yes No

X

If 'No', please provide amended details below:

Third party Arrangements –

Do the RTO's third-party arrangements match the information provided by the VRQA?

Yes No

X

If 'No', please provide amended details below:

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

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

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

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 and Issuing of Qualifications and 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				
Nil				
Strengths				
The College has a strong administrative and governance framework.				

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

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

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

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			
<p>SF 1.2.1 The Training and Assessment Strategies do not describe the training programs as delivered.</p> <p>SF 1.5.1 Assessment processes and tools are not systematically validated.</p> <p>SF 1.5.2 There is not appropriate evidence of assessment decision-making to ensure that judgement of competence is aligned to the unit of competency and assessment judgements are consistent and reliable.</p>			

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

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

SF 1.5.3

Given the nature of the cohort, learners' need to be clearly informed about the assessment process is not met, meaning it is not fair to learners.

SF 1.5.4

An assessment task is not designed to produce valid or sufficient evidence of the relevant knowledge and skills.

Strengths

The College has a strong focus on continuous improvement. It also has extensive support strategies in place for students.

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

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 and 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

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

4.7 – TAE – Registration requirements			X
5. Annual Declaration of Compliance			
5.1 – Annual Declaration of Compliance			X

Summary of Non-Compliance⁴

GF.4.1.1

The RTO has not shown how the amount of training provided for the Qualifications has been determined in order to meet the requirements of the training product or the needs of the learner cohort.

GF.4.1.2

Some training and assessment practices are not designed to meet the needs of the cohort of learners and enable them to meet the requirements for each unit of competency.

GF.4.2.1

The RTO has not shown how the amount of training provided for these Qualifications provides students with sufficient opportunity to practice and apply the skills and knowledge requirements of the training in the different contexts they would experience in the workplace.

Strengths

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



Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance		Not audited in Phase 2 audit
CONDITION 2 - Interactions with the Registering Body		Not audited in Phase 2 audit
CONDITION 3 - Compliance with Legislation Evidence/Documentation Reviewed	Compliant	
<ul style="list-style-type: none"> • Staff Handbook 2018 • VET and General Student Handbook 2019 • 2019 VET Enrolment Form • 2019 Application and Enrolment Form: Post-Secondary Courses • Pre-App and Arts Enrolment Package Checklist (Pre-Training procedure) • Staff Induction Checklist • VET Trainer Position Description • Interview with Louise Terranova, RTO Manager – the RTO uses VETTrak, and has a dedicated data entry person (both VET and VASS) for all students. There are information night sessions for prospective students. 		



CONDITION 4 - Insurance	Not audited in Phase 2 audit
CONDITION 5 - Financial Management	Not audited in Phase 2 audit
CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment	Compliant
Evidence/Documentation Reviewed	
<ul style="list-style-type: none"> • 1 x student AQF certificate • 1 x student Statement of Attainment • 20 x online student files • VET and General Student Handbook 2019 is accessible to learners • NCAT Policies and Procedures Manual v.4.4 – Issuing of Qualifications and Statements of Attainment • NCAT Policies and Procedures Manual v.4.4 – File content and retention, Retention of record, Back up of electronic data, Version control • Interview with RTO Manager Louise Terranova – VASS and VETTrak are used • 2019 Application and Enrolment Form: Post-Secondary Courses, including USI application privacy notice and authorisation notice. 	

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

CONDITION 7 - Recognition of Qualifications Issued by other RTOs	Compliant
Evidence/Documentation Reviewed	
<ul style="list-style-type: none"> • Student Handbook info on credit transfer • Staff Handbook v2018 • NCAT Policies and Procedures Manual v.4.4 – Recognition of Qualifications Issued by Another RTO 	

CONDITION 8 - Accuracy and Integrity of Marketing	Compliant
Evidence/Documentation Reviewed	
<ul style="list-style-type: none"> • Website https://necat.vic.edu.au/ • Brochures, also online, for CUA31015 Certificate III in Screen and Media and CUA30915 Certificate III in Music Industry • 2019 VET Handbook for Northern Melbourne VET Cluster covers full range of courses; it is commercially printed • NCAT Policies and Procedures Manual v.4.4 –Accuracy and Integrity of marketing 	

CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses	Compliant
Evidence/Documentation Reviewed	
<ul style="list-style-type: none"> • Website and print-based marketing materials for CUA31015 Certificate III in Screen and Media and CUA30915 Certificate III in Music Industry • Certificate and Statement of Attainment templates for CUA31015 Certificate III in Screen and Media and CUA30915 Certificate III in Music Industry • Assessment resources for CUA31015 Certificate III in Screen and Media and CUA30915 Certificate III in Music Industry • NCAT Policies and Procedures Manual v.4.4 — Transition to Training Packages 	

Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.	Compliant
<p>Evidence/Documentation Reviewed</p> <ul style="list-style-type: none"> • Interview with RTO Manager, Louise Terranova – trialling internal student surveys with some Qualifications but not the two under audit • Interview with Principal – strong focus on evidence-based practice. Data from DoE survey used as the basis for staff analysis in groups to result in recommendations which then feed into department actions/ school strategic plan /other as appropriate • RTO Quality Performance Indicator Report, June 2018 • Continuous Improvement Register • VET Quality Group meeting minutes 2018 • Continuous Improvement Meeting minutes 29/11/2018 • NCAT Procedure: Collection, Analysis, Management and Recording of Continuous Improvement • Annual DoE student and parent survey results 2017 • NCAT PRSE (Pre-Review Self-Evaluation) School profile and methodology • Professional Development Plan for Staff • Industry consultation record forms for CUA31015 Certificate III in Screen and Media and CUA30915 Certificate III in Music Industry 	

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.	Non-Compliant
<p>Evidence/Documentation Reviewed</p> <ul style="list-style-type: none"> • Trainer and assessor qualifications – see S.1.4 • Facilities and equipment – see S.1.3 • Training and Assessment Strategy for CUA31015 Certificate III in Screen and Media including: <ul style="list-style-type: none"> – Assessment Matrix (mappings) for <i>BSBCRT301 Develop and extend critical and creative thinking skills</i> and <i>CUAANM301 Create 2D digital animations</i> – Learning and assessment materials for <i>BSBCRT301 Develop and extend critical and creative thinking skills</i> and <i>CUAANM301 Create 2D digital animations</i> • Training and Assessment Strategy for CUA30915 Certificate III in Music Industry including: <ul style="list-style-type: none"> – Assessment Matrix (mappings) for <i>CUJAML T302 Apply knowledge of style and genre to music industry practice</i> and <i>CUASOU301 Undertake live audio operations</i> – Learning and assessment materials for <i>CUJAML T302 Apply knowledge of style and genre to music industry practice</i> and <i>CUASOU301 Undertake live audio operations</i> • NCAT Policies and Procedures Manual v.4.4 – Industry Engagement • Industry Consultation Guidelines for staff • Trainer matrices for Zac Lister and Rachael Sztanski, trainers for CUA30915 Certificate III in Music Industry • Trainer matrices for Marcus Newman and Craig Illman, trainers for CUA31015 Certificate III in Screen and Media • Interview with Marcus Newman, trainer for CUA31015 Certificate III in Screen and Media: He has contact with industry designers and ex-students who have moved into higher education, both in person and by email, and draws on the responses to improve his delivery and keep his skills taught current. Records of all consultation are kept in the department Sharepoint folder, viewed by the auditor. Recommendations feed into delivery via the Program Coordinator. • Pre-App and Arts Enrolment Package Checklist (Pre-Training procedure) 	

<ul style="list-style-type: none"> • 'On Demand' LLN pre-training assessment (DoE) – 5 x class student LLN outcomes 	<p>SF.1.2.1 Finding</p> <p>The Training and Assessment Strategies do not describe the training programs as delivered:</p> <ul style="list-style-type: none"> • The Training and Assessment Strategy for CUA31015 Certificate III in Screen and Media does not accurately present the hours that are planned for different activities. For example, it does not show that the assessment activities actually occur within the hours labelled 'face-to-face'. Also, it allocates time to homework, but there is no statement of what students are expected to do during this time. • The delivery schedule for CUA30915 Certificate III in Music Industry does not show the adjustments made to maximise use of the specialist training facilities. 	<p>Required Rectification(s)</p> <p>The RTO must ensure that the Training and Assessment Strategies describe the training programs as delivered.</p> <p>VRQA Comment</p> <p>Following the audit, NCAT provided a sufficiently revised training and assessment strategy (TAS) for CUA31015. A revised TAS for CUA30915 has not been provided for review. This Standard remains non-compliant.</p>
<p>Improvement Opportunities</p> <p>It is suggested that the RTO revise its Assessment Mapping template to show clearly how each assessment task relates to the Unit of Competency.</p>		



Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.	Compliant
Evidence/Documentation Reviewed	
<ul style="list-style-type: none"> • Auditor viewed the equipment, software, hardware and facilities. • Training and Assessment Strategy for CUA31015 Certificate III in Screen and Media including: <ul style="list-style-type: none"> – Assessment Matrix (mappings) for BSBCRT301 Develop and extend critical and creative thinking skills and CUAANM301 Create 2D digital animations – Learning and assessment materials for BSBCRT301 Develop and extend critical and creative thinking skills and CUAANM301 Create 2D digital animations • Training and Assessment Strategy for CUA30915 Certificate III in Music Industry including: <ul style="list-style-type: none"> – Assessment Matrix (mappings) for CJAML T302 Apply knowledge of style and genre to music industry practice and CUASOU301 Undertake live audio operations – Learning and assessment materials for CJAML T302 Apply knowledge of style and genre to music industry practice and CUASOU301 Undertake live audio operations 	



Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

	Compliant
<p>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</p> <ul style="list-style-type: none">a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, andb) have the relevant vocational competencies at least to the level being delivered or assessed, andc) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, andd) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence. <p>Evidence/Documentation Reviewed</p> <p>CUA31015 Certificate III in Screen and Media</p> <p><i>Marcus Newman</i></p> <ul style="list-style-type: none">- Bachelor of Arts (Media Arts), RMIT University, 2003- Graduate Diploma in Education University of Melbourne, 2006- TAE40110 Certificate IV in Training and Assessment, Monash Short Courses centre, 2012 – includes the TAEASS502- TAE LLN411 (Access Skills Training, 2016)- CV- Trainer skills matrix- VIT registration <p><i>Natasha Stamos</i></p> <ul style="list-style-type: none">- Bachelor of Arts (Media and Communication) Swinburne University, 2011- TAE40110 Certificate IV in Training and Assessment, including TAE LLN411 (HBA Learning Centres, 2016)- CV- Trainer skills matrix	

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

– VIT registration

Craig Illman

– TAE40110 Certificate IV in Training and Assessment (Australian Institute of Education and Training, 2012), TAELLN411 (Access Skills Training, 2016)

– LMF40308 Certificate IV in Musical Instrument Making and Repair (NCAT, 2014)

– VIT registration

– CV

– Trainer skills matrix

CUA30915 Certificate III in Music Industry

Zac Lister

– Bachelor of Contemporary Arts (Music) University of Tasmania 2007

– TAE40110 Certificate IV in Training and Assessment – The Australian Centre for Advanced Studies, (2013) includes the TAEASS502A.

– Post Graduate Diploma of Teaching (Melbourne University 2010)

– Master of Teaching (Melbourne University 2010)

– TAELLN401A (Access Skills Training, 2016)

– VIT registration

– CV

– Trainer skills matrix

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

Rachel Szlanski

- Bachelor of Music Performance (Honours), University of Melbourne 2007
- Master of Music (Performance Teaching) University of Melbourne 2014
- TAE40110 Certificate IV in Training and Assessment, Box Hill Institute 2014
- Graduate Diploma in Education (Secondary), La Trobe University 2015
- VIT registration
- CV
- Trainer skills matrix

Matt Rodd

- Bachelor of Music Performance (University of Melbourne 1995)
- TAE40110 Certificate IV in Training and Assessment (Victoria University 2016)
- TAE40110 Certificate IV in Training and Assessment (Access Skills Training 2016)
- Postgraduate Diploma in Teaching (Secondary) University of Melbourne 2011
- VIT registration
- CV
- Trainer skills matrix

Shelley Scown

- Bachelor of Education (major Drama and Dance) (Victoria College 1985)
- CUS60101 Advanced Diploma of Music (Ausmusic College 2008)
- TAE40110 Certificate IV in Training and Assessment (Australian Institute of Education and Training 2012)

- TAE411 (Access Skills Training, 2016)
- VIT registration
- CV
- Trainer skills matrix

Improvement Opportunities

It is suggested that the RTO implement a more systematic way of recording how trainers continue to develop their Vocational Education and Training (VET) knowledge and skills.

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

	Non-Compliant
<p>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):</p> <ul style="list-style-type: none"> 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>Evidence/Documentation Reviewed</p> <ul style="list-style-type: none"> • NCAT Policies and Procedures Manual v.4.4 – Recognition of Prior Learning Policy Procedure • NCAT Policies and Procedures Manual v.4.4 – Assessment validation and moderation • RPL kit • Interview with RTO Manager, Louise Terranova – Student reporting is detailed, completed twice a year online and in hard copy, with parent-teacher nights three times a year • Special needs form for external students <p>CUA31015 Certificate III in Screen and Media</p> <ul style="list-style-type: none"> • Training and Assessment Strategy • Interview with trainer Craig Illman, trainer for <i>BSBCRT301 Develop and extend critical and creative thinking skills</i>: <ul style="list-style-type: none"> – The trainer gives oral feedback at 3 points of a project. • Assessment tools for <i>BSBCRT301 Develop and extend critical and creative thinking skills</i>, including: <ul style="list-style-type: none"> – 6 x student portfolios including visual diary – Assessment cover sheet – Assessment mapping – Assessment Task Student Handbook 	

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

- Interview with Marcus Newman, trainer for CUJANM301 Create 2D digital animations:
 - Knowledge evidence is only collected orally currently – the trainer knows this is a gap and plans to make it written evidence next year.
 - Reasonable adjustment examples were discussed
 - A lot of feedback is verbal and continuous as the student portfolio is produced over the semester
 - Learning resources are all in digital format so students can access them from SharePoint – the trainer adapts the resources for students with lower reading levels.
- Learning resources and Assessment tools for CUJANM301 Create 2D digital animations including:
 - 6 x completed student assessments including 2D animations, personal web designs, visual diaries
 - Assessment tasks
 - Mapping/ matrix
 - Assessment coversheet
 - Feedback sheet
 - Trainer feedback Milestone sheet
 - Model answers / Decision-making rules – VCAA rubric
 - VCAA VET Assessment record sheets
 - Assessor guide
- Interview with RTO Manager, Louise Terranova:
 - in the past the RTO validated with a group of schools, but this proved logistically difficult and costly so NCAT is changing this year to a different model. The RTO Manager has developed a NCAT Validation Plan for implementation in 2019. Staff are being guided by the RTO manager and an external consultant in how to use the revised template and process.

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

- Trainers are directed to consult with industry at the end of the year when classes are finished.
- NCAT Validation Plan 29 Oct 2018
- Completed validation checklist and outcomes record form for CUAPPR403 Store and maintain finished creative work 20 Nov 2017 including assessment tool.
- Not one of the units selected.

CUA30915 Certificate III in Music Industry

- Training and Assessment Strategy
- Interview with trainers Zac Lister and Rachel Sztanski:
 - They rely on LLN questions on the enrolment form for student LLN information. They don't get 'On Demand' results. They meet all students before classes start.
 - Every year they debrief on the effectiveness of their assessment tasks and review and revise them.
 - The External VET Coordinator alerts trainers to any students with special needs.
 - They rely on oral feedback rather than written.
 - Reasonable adjustment examples were discussed.
- Learning resources and assessment tools for 2 x units CUAML T302 Apply knowledge of style and genre to music industry practice and CUASOU301 Undertake live audio operations, including:
 - 6 x completed student assessments
 - Assessment Tasks
 - Mapping/ matrix
 - Model answers / marking guide / observation checklists
 - Summary of assessment tasks

<ul style="list-style-type: none"> - Assessment outcomes and record sheets - Assessor guide – Gig management plan / Responsibility Roster /Setup Schedule - Trainer feedback Milestone sheet - Delivery and assessment planner 	
<p>SF.1.5.1 Finding</p>	<p>CUA31015 Certificate III in Screen and Media and CUA30915 Certificate III in Music Industry</p> <p>The RTO's assessment processes and tools are not systematically validated:</p> <ul style="list-style-type: none"> • There is no Assessment validation schedule. The NCAT Validation Plan October 2018 records an initial staff information session and discussion with a view to developing an actual schedule in 2019.
<p>SF.1.5.2 Finding</p>	<p>CUA31015 Certificate III in Screen and Media</p> <p>There is not appropriate evidence of assessment decision-making to ensure that judgement of competence is aligned to the unit of competency and assessment judgements are consistent and reliable:</p> <ul style="list-style-type: none"> • There is no criteria tick sheet or other decision-making guide to show how assessment decisions are made for the 2D animations and personal web designs in <i>CUAANM301 Create 2D digital animations</i> • Some knowledge evidence for <i>CUAANM301 Create 2D digital animations</i> is currently only collected orally with no written record made or kept. • The visual diary for <i>BSBCRT301 Develop and extend critical and creative thinking</i> is not kept as evidence. No photo or other record is kept.
<p>SF.1.5.3 Finding</p>	<p>CUA31015 Certificate III in Screen and Media</p>
<p>Required Rectification(s)</p>	<p>The RTO must ensure that all assessment processes and tools are systematically validated and improved.</p>
<p>Required Rectification(s)</p>	<p>The RTO must ensure that there is appropriate evidence of assessment decision-making to ensure that judgement of competence is aligned to the unit of competency and assessment judgements are consistent and reliable.</p> <p><u>VRQA Comment</u></p> <p>Following the audit, NCAT provided a sufficiently revised assessment tools for CUAANM301 and BSBCRT301. No further evidence is required.</p>
<p>Required Rectification(s)</p>	<p>The RTO must ensure that learners are clearly informed about the assessment process.</p>



Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

<p>Given the nature of the cohort, learners' need to be clearly informed about the assessment process is not met, meaning it is not fair to learners:</p> <ul style="list-style-type: none"> The Assessment Task Student Handbook for <i>BBCRT301 Develop and extend critical and creative thinking skills</i> contains all the assessment information for students. It is text-heavy, with inconsistent heading levels, font sizes and few visual stimuli or illustrations. 	<p><u>VRQA Comment</u> Following the audit, NCAT provided a sufficiently revised assessment tool for <i>BBCRT301</i>. No further evidence is required.</p>
<p>SF.1.5.4 Finding</p>	
<p>CUA31015 Certificate III in Screen and Media</p> <p>An assessment task is not designed to produce valid or sufficient evidence of the relevant knowledge and skills:</p> <ul style="list-style-type: none"> The Assessment Task Student Handbook for <i>BBCRT301 Develop and extend critical and creative thinking skills</i> assesses critical and creative thinking in few small, discrete activities with tight parameters. The Unit of Competency requires that "evidence gathered demonstrates consistent performance of typical activities experienced in the creativity and innovation-critical thinking field of work." The task design is unlikely to produce valid or sufficient evidence of the relevant knowledge and skills "integrated into practice, assessed on a number of occasions and environments", as required by the Rules of Evidence, to enable a judgement to be made about competency. 	<p>Required Rectification(s)</p> <p>The RTO must ensure that assessment tasks are designed to produce valid and sufficient evidence of the relevant knowledge and skills.</p> <p><u>VRQA Comment</u> Following the audit, NCAT provided a sufficiently revised assessment tool for <i>BBCRT301</i>. No further evidence is required.</p>

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.	Compliant
<p>Evidence/Documentation Reviewed</p> <ul style="list-style-type: none"> • NCAT Inclusion and Diversity Policy • NCAT Student Wellbeing and Engagement Policy • NCAT Policies and Procedures Manual v.4.4 – Access, Equity and anti-Discrimination, Establishing individual needs, Client Service Agreement. • Pre-App and Arts Enrolment Package Checklist (Pre-Training procedure) • 2019 VET Enrolment Form • 2019 Application and Enrolment Form: Post-Secondary Courses • Student Wellbeing Committee minutes x 4 – meets 3 x term • Career Counsellor P/T – meets monthly with a network • Literacy Coordinator, 2 x Lit and 2x Num teachers, 1 x numeracy aide – runs additional classes for internal students, support in classes, PD for staff, 1:1 student support • School Department Team Meeting minutes from 2018 2 to 3 x per term – discuss students at risk at each meeting • F/T Youth Worker – student can attend personally, she participates in excursions etc so has exposure, very approachable, she is based in different school sections on different days of the week. She attends department meetings. Teachers can refer a student. Some students are regulars, she refers students to places such as Onygen. • Interview RTO Manager, Louise Terranova and Principal Raffaella Galati-Brown: <ul style="list-style-type: none"> – The school uses the ‘On Demand’ LLN assessment tool, a DoE package supplied free. Teachers of flagged ‘at risk’ students who score low on the test meet and discuss strategies for these students. – For trades students, they used FSAT until it ceased operation and will move to the Core Skills Profile for Adults tool (ACER). NCAT have use the CSPA for post-secondary students since 2016. 	

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

- The external students who come from other schools for a half-day VET session may come with a written comment from their home school and NCAT teachers do early observations.
- Pre-apprenticeship course meetings are attended by the Literacy and Numeracy specialist teachers. They contact the parents of students who rank well below the appropriate level. Identified students do a morning of contextualised vocational Literacy and Numeracy once a week when their peers may be on work placement or not in class.
- Chipper the therapy dog comes in before exams.
- 3 x Individual Development Plans – detailed records about student progress
- Interview with Carmelina Rainone, Numeracy teacher and Cate Button, Literacy Coordinator – In addition to the group class, they provide 1:1 sessions, and provide access to online self-paced resources that students enjoy. The teacher can see what students have completed and how much time was spent.

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.

Evidence/Documentation Reviewed

- Interview with RTO Manager, Louise Terranova:
 - Trialling internal student surveys with some Qualifications but not the two under audit
 - Trainers are directed to consult with industry at the end of the year when classes are finished.
- Interview with Principal – strong focus on evidence-based practice. Data from DoE survey used as the basis for staff analysis in groups to result in recommendations which then feed into department actions / school strategic plan/other as appropriate
- Interviews with trainers of **CUA30915 Certificate III in Music Industry** and **CUA31015 Certificate III in Screen and Media** in relation to industry consultation
- RTO Quality Performance Indicator Report, June 2018.
- Continuous Improvement Register
- VET Quality Group meeting minutes 2018

Compliant

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

<ul style="list-style-type: none"> - Continuous Improvement Meeting minutes 29/11/2018 • NCAT Procedure: Collection, Analysis, Management and Recording of Continuous Improvement • NCAT Policies and Procedures Manual v.4.4 – Industry Engagement • Industry Engagement Register 	Compliant
<p>2.3 - Before clients enrol into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.</p> <p>Evidence/Documentation Reviewed</p> <ul style="list-style-type: none"> • Website https://hcat.vic.edu.au/ • Brochures, also online, for CUA31015 Certificate III in Screen and Media and CUA30915 Certificate III in Music Industry • 2019 VET Handbook for Northern Melbourne VET Cluster • 2019 VET Enrolment Form • 2019 Application and Enrolment Form: Post-Secondary Courses • Pre-App and Arts Enrolment Package Checklist (Pre-Training procedure) • Interview with RTO Manager, Louise Terranova – there are information night sessions for prospective students • NCAT Policies and Procedures Manual v.4.4 –Accuracy and Integrity of marketing • VET and General Student Handbook 2019 	

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

<p>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.</p>	<p>N/A</p>
<p>2.5 - Learners receive training, assessment and support services that meet their individual needs.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed See Standard 2.1 and Standard 2.3.</p>	
<p>2.6 - Learners have timely access to current and accurate records of their participation and progress.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p> <ul style="list-style-type: none"> • NCAT Policies and Procedures Manual v.4.4 – Student Access to Results • VET and General Student Handbook 2019 • Interview with RTO Manager, Louise Terranova, and Principal, Raffaella Galati-Brown – the College uses Compass to provide twice a term progress and participation reports in hard copy, and semester reports, including results for individual assessment tasks. 	



Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	Compliant
Evidence/Documentation Reviewed	
<ul style="list-style-type: none">• NCAT Policies and Procedures Manual v.4.4 – Complaints and Appeals Policy• NCAT Complaints and Appeals Form• VET and General Student Handbook 2019• Staff Handbook 2018• Interview with RTO Manager, Louise Terranova – the school rarely has formal complaints. Issues are generally resolved well before they reach that point.	

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.	Evidence/Documentation Reviewed	Compliant
	<ul style="list-style-type: none"> • 2019 VET Enrolment Form • 2019 Application and Enrolment Form: Post-Secondary Courses • Pre-App and Arts Enrolment Package Checklist (Pre- Training procedure) • VET and General Student Handbook 2019 • Interview with RTO Manager, Louise Terranova: <ul style="list-style-type: none"> – There are information night sessions for prospective students – Support staff include a Career Counsellor P/T who meets monthly with a network; a Literacy Coordinator, 2 x literacy and 2 x numeracy teachers, 1 x numeracy aide, and a F/T Youth Worker • Student Wellbeing Committee minutes x 4 • School Department Team Meeting minutes from 2018 • NCAT Inclusion and Diversity Policy • NCAT Student Wellbeing and Engagement Policy • NCAT Policies and Procedures Manual v.4.4 – Access, Equity and Anti-Discrimination, Establishing individual needs, Client Service Agreement. • Interview RTO Manager, Louise Terranova and Principal Raffaella Galati-Brown regarding LLN pre-training assessment process and relevant supports for identified students • 3 x Individual Development Plans – detailed records about student progress • Interview with Carmelina Rainone, Numeracy teacher and Cate Button, Literacy Coordinator – in addition to the group class, they provide 1:1 sessions, and provide access to online self-paced resources that students enjoy. The teacher can see what students have completed and how much time was spent. 	Compliant



Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

	Compliant
<p>3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.</p> <ul style="list-style-type: none">• Organisational structure diagram• Interview with RTO Manager, Louise Terranova:<ul style="list-style-type: none">– The RTO has a dedicated data entry person (both VET and VASS) for all students– Regular professional development for staff – they extend to innovative strategies including peer observation• The Standing Agenda for the Leadership team has two regular items – VET Compliance and VET Continuous Improvement• Interview with Principal:<ul style="list-style-type: none">– RTO reports to the Leadership Team which meets weekly (decision-making power delegated by School Council). All significant operational decisions made at this level and persons responsible identified.– Staff Professional Development Plans focus on implementation of Annual Implementation Plan• Leadership Team minutes x 4 weeks• Policies and Procedures – Continuous Improvement• VET Quality Group meeting minutes 2018• Continuous Improvement Meeting minutes 29/11/2018• Continuous Improvement Register• NCAT Policies and Procedures Manual v.4.4 – Quality Focus and Continuous Improvement System, Information Flow and Continuous Improvement Meetings, Quality Indicators procedure	Compliant

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

<p>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.</p>	<p>N/A</p>
<p>3.4 - The RTO manages records to ensure their accuracy and integrity.</p> <ul style="list-style-type: none"> • Interview with RTO Manager – the RTO uses VETTrak, VASS and Compass online systems. They have a dedicated VET Coordinator who does all data entry • 12 x completed student training and assessment records • 20 x online student files • NCAT Policies and Procedures Manual v.4.4 – File content and retention, Retention of record, Back up of electronic data, Version control 	<p>Compliant</p>

Detailed Findings – 2016 VRQA Guidelines for VET Providers

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

- a) An RTO ensures the strategic plan details the overall vision, mission, board of directors and strategic directions of the RTO and clearly indicates that provision of vocational education is a primary purpose of the RTO.
- b) An RTO ensures the business plan details the operational and workforce development arrangements for a three-year period that incorporates:
 - i. description of the business including an organisation chart, courses, location(s) and facilities
 - ii. a continuous improvement plan or risk management strategy
 - iii. a work force development plan
 - iv. strategic alliances with other education or service providers or third-party arrangements
 - v. training and assessment delivery including proposed facilities and delivery hours

Not Audited in
Phase 2 audit

GUIDELINE 1.2 - An RTO demonstrates its financial viability and its capacity to sustain quality VET into the future by ensuring it has a three-year financial plan that includes:

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

Not audited in
Phase 2 audit

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

	Not audited in Phase 2 audit
<p>GUIDELINE 1.3 - An RTO ensures that it has management systems that include:</p> <p>management information including:</p> <ol style="list-style-type: none"> I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds) II. a physical address of the company in Victoria for the purposes of serving notices III. details of the directors, CEO/PEO and senior management members with associated police checks and Working With Children Checks if students are under 18 years of age IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria V. contact arrangements for the CEO/PEO including during holidays and other closure periods VI. a physical addresses for the location of financial, student and staff records including archives and computer back up storage <ol style="list-style-type: none"> a) a financial management system including a system for managing student fee payments and student refunds b) 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 <ol style="list-style-type: none"> I. not able to be withheld from the RTO; and II. able to be provided in electronic and print versions, at no cost to the VRQA in the event that the VET provider ceases operations d) a staff records management system including arrangements which ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills. 	
<p>GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:</p> <ol style="list-style-type: none"> a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that: <ol style="list-style-type: none"> i. for an RTO with anticipated ongoing operation of less than 150 equivalent full-time students or an annual student fee turnover of less than \$1.5m per annum, persons are appointed with suitable qualifications and experience; and ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience. 	Not audited in Phase 2 audit

<p>GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.</p> <ul style="list-style-type: none"> • A <i>third party</i> means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO. • 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. 	<p>N/A</p>
<p>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:</p> <ul style="list-style-type: none"> a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and b) for the purposes of the conduct of any audit or monitoring of its operations. 	<p>N/A</p>
<p>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:</p> <ul style="list-style-type: none"> a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and b) within 30 calendar days of the agreement coming to an end. 	<p>N/A</p>
<p>GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:</p> <ul style="list-style-type: none"> a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party. 	<p>N/A</p>



Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

<p>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:</p> <ul style="list-style-type: none">a) enables the student to make informed decisions about undertaking training with the RTO andb) (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	N/A
<p>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.</p>	N/A
<p>GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:</p> <ul style="list-style-type: none">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; orc) a student of the RTO.	N/A
<p>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.</p>	N/A



Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

<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; andc) 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> <p>See Standard 1.4</p>	<p>Compliant</p>
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<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> <p>See S.1.4</p>	<p>Compliant</p>
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Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

<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>	<p>N/A</p>
<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>	<p>N/A</p>
<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; andc) has current industry skills directly relevant to the training and assessment being provided.	<p>N/A</p>



Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

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.	Non-Compliant
<p>CUA31015 Certificate III in Screen and Media</p> <ul style="list-style-type: none">• Training and Assessment Strategy• Training and Assessment schedule• Assessment Matrix• Assessment tools and learning materials for <i>BSBCRT301 Develop and extend critical and creative thinking skills</i> and <i>CUAANM301 Create 2D digital animations</i>• Interview with trainers Marcus Newman and Craig Illman• Industry consultation record forms	
<p>CUA30915 Certificate III in Music Industry</p> <ul style="list-style-type: none">• Training and Assessment Strategy• Training and Assessment schedule• Assessment Matrix• Assessment tools and learning materials for <i>CUAML T302 Apply knowledge of style and genre to music industry practice</i> and <i>CUASOU301 Undertake live audio operations</i>• Interview with trainers Zac Lister and Rachael Sztanski,• Industry consultation record forms	



GF 4.1.1 Finding	Required Rectification(s)
<p>The RTO has not shown how the amount of training provided for the Qualifications has been determined in order to meet the requirements of the training product or the needs of the learner cohort:</p> <p>CUA31015 Certificate III in Screen and Media The Training and Assessment Strategy does not accurately present the hours that are planned for different activities. For example, it does not show that the assessment activities actually occur within the hours labelled 'face-to-face'. Also, it allocates time to homework but there is no statement of what students are expected to do during this time.</p> <p>CUA30915 Certificate III in Music Industry The Training and Assessment Strategy does not include the hours students spend during the year preparing for and performing in live gigs outside of classroom time.</p>	<p>The RTO must show how the amount of training it provides to each student enables them to meet the requirements for each unit of competency.</p> <p>VRQA Comment Following the audit, NCAT provided a sufficiently revised training and assessment strategy (TAS) for CUA31015. A revised TAS for CUA30915 has not been provided for review. This Guideline remains non-compliant.</p>
GF 4.1.2 Finding	Required Rectification(s)
<p>CUA31015 Certificate III in Screen and Media Some training and assessment practices are not designed to meet the needs of the cohort of learners and enable them to meet the requirements for each unit of competency:</p> <p>The student information and the assessment information provided to students for <i>BSBCRT301 Develop and extend critical and creative thinking skills</i> is text-heavy, with inconsistent heading levels, font sizes and few visual stimuli or illustrations, making reading demands which are not appropriate for the cohort of learners.</p>	<p>The RTO must ensure that its training and assessment practices meet the needs of the cohort of learners and enable them to meet the requirements for each unit of competency.</p> <p>VRQA Comment Following the audit, NCAT provided sufficiently revised documentation for BSBCRT301. No further evidence is required.</p>

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

<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> <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>	<p>Non-Compliant</p>
<p>CUA31015 Certificate III in Screen and Media</p> <ul style="list-style-type: none"> • Training and Assessment Strategy • Training and Assessment Schedule • Assessment Matrix • Assessment tools and learning materials for <i>B SB CRT301 Develop and extend critical and creative thinking Skills</i> and <i>CUA ANM301 Create 2D digital animations</i> • Interview with trainers Marcus Newman and Craig Illman 	<p>CUA30915 Certificate III in Music Industry</p> <ul style="list-style-type: none"> • Training and Assessment Strategy • Training and Assessment Schedule • Assessment Matrix • Assessment tools and learning materials for <i>CUAML T302 Apply knowledge of style and genre to music industry practice</i> and <i>CUASOUJ301 Undertake live audio operations</i> • Interview with trainers Zac Lister and Rachael Sztanski,



Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

GF 4.2.1 Finding	Required Rectification(s)
<p>The RTO has not shown how the amount of training provided for these Qualifications provides students with sufficient opportunity to practice and apply the skills and knowledge requirements of the training in the different contexts they would experience in the workplace:</p> <p>CUA31015 Certificate III in Screen and Media The Training and Assessment Strategy does not accurately present the hours that are planned for different activities. For example, it does not show that the assessment activities actually occur within the hours labelled 'face-to-face'. Also, it allocates time to homework but there is no statement of what students are expected to do during this time.</p> <p>CUA30915 Certificate III in Music Industry The Training and Assessment Strategy does not acknowledge the hours students spend during the year preparing for and performing in live gigs outside of classroom time.</p>	<p>The RTO must show how the amount of training it provides to each student allows sufficient opportunity to practice and apply the skills and knowledge requirements of the training in the different contexts they would experience in the workplace.</p> <p>VRQA Comment Following the audit, NCAT provided a sufficiently revised training and assessment strategy (TAS) for CUA31015. A revised TAS for CUA30915 has not been provided for review. This Guideline remains non-compliant.</p>



Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

<p>GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation) of these Guidelines.</p>	<p>N/A</p>
<p>GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.</p>	<p>N/A</p>
<p>GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment:</p> <ul style="list-style-type: none">a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; orb) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.	<p>N/A</p>
<p>GUIDELINE 4.6 - An RTO ensures that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 of these Guidelines and does not determine assessment outcomes.</p>	<p>N/A</p>
<p>GUIDELINE 4.7 - An application to add any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor) to an RTO's scope of registration has only be granted if an RTO has:</p> <ul style="list-style-type: none">a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; andb) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3.	<p>Not audited</p>

Audit Date: 5 & 6 December 2018

RTO: Northern College of the Arts and Technology

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:

- a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and
- b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and
- c) has training and assessment strategies and practices in place that ensure that all current and prospective students are or will be trained and assessed in accordance with the requirements of the AQTF Standards and these Guidelines.

Not audited

