

VRQA2018-139  
RTO 22130  
Application Number: 15930  
File:08/00193

Mrs Katrina Hore  
Chief Executive Officer  
Saddle On Pty Ltd  
550 Elcho Road  
LOVELY BANKS VIC 3213

Dear Mrs Hore

**Renewal of Registration Application: Rectification Requirements**

I am writing to you as a Registered Training Organisation (RTO) pursuant to Part 4.3 of the *Education and Training Reform Act 2006* (ETR Act) in relation to the application for renewal of registration of Saddle On Pty Ltd (Saddle On).

It is a condition of registration as an RTO that you comply with the minimum conditions and standards and any guidelines for registration including the *Australian Quality Training Framework Essential Conditions and Standards for Continuing Registration* (AQTF) and the *VRQA Guidelines for VET Providers* (VRQA Guidelines).

An independent audit on 25 and 26 June assessed the compliance of Saddle On against these standards for the purpose of renewal of registration. I note that you did not accept the findings of the audit report and that you have provided comments on the draft audit report which the auditor has responded to.

I now enclose the final audit report for your attention which indicates critical non-compliance with AQTF standard 1.5, non-compliance with 4.1 of the VRQA Guidelines and a range of other non-compliances. Saddle On is required under part 4.3.17 of the ETR Act to submit, within 28 days of the date of this letter, documented evidence that all non-compliances identified in the audit have been rectified.

In regard to the financial viability audit (FVA) conducted by Grant Thornton Australia (GTA), the VRQA makes two requests for further evidence that:

- the Director loan of c.\$318k made to Saddle On has been actioned
- the ATO debts are paid.

Debt to equity.

A copy of the report from GTA dated 31 July 2018 is attached for your information.

Please forward the evidence to VET Quality Assurance, VRQA, GPO Box 2317, Melbourne, 3001 or email it to [qar@edumail.vic.gov.au](mailto:qar@edumail.vic.gov.au).

The re-registration of Saddle On will be considered after the evidence has been assessed and the delegate is satisfied that Saddle On is compliant.

Should you have concerns about the conduct of the registration/audit process please address these in writing to the Complaints Manager, VRQA, GPO Box 2317, Melbourne, 3001.

If you have any further questions in relation to this application, please email [qar@edumail.vic.gov.au](mailto:qar@edumail.vic.gov.au).

Yours sincerely



**Christine Croker**  
A/Manager, Quality Assurance, VET

28/8...../2018

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

**Audit Date: 25-26 July 2018**

**RTO: Saddle On Pty Ltd**

<b>Applicant Details</b>			
Applicant Name	Saddle On Pty Ltd	TOID	22130
Address	550 Elcho Rd, Lovely Banks, VIC 3221		
	Website	<a href="https://www.saddleon.com.au">https://www.saddleon.com.au</a>	
Registration Contact	Katrina Hore		
Phone Number	(03) 5282 4017	Email	<a href="mailto:katsaddleon@yahoo.com.au">katsaddleon@yahoo.com.au</a>
<b>Audit Team</b>			
Audit Firm	Quorum QA Australia Pty Ltd	Auditor/s	Andrea Bateman
Auditor/s	Carol Macreadie	Other Attendees	
<b>Registering Body Details</b>			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	<a href="mailto:veter.audit@edumail.vic.gov.au">vet.audit@edumail.vic.gov.au</a>
<b>Audit Details</b>			
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, <del>3.3</del> , 3.4
2016 VRQA Guidelines Audited	<del>1.3</del>	<del>2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8</del> (If applicable)	
	3.1, 3.2, <del>3.3</del> , 3.4, 3.5	4.1, 4.2, <del>4.3 to 4.6</del> (If applicable)	
Audit Date/s	25-26 July 2018		
<b>RTO Background</b>			
<p>The RTO is a small operation. The owner, Katrina Hore, is also the Chief Executive Officer. The RTO operates within the context of a commercial Riding School and offers a limited range of qualifications related to horses and riding, including:</p> <ul style="list-style-type: none"> <li>• RGR10108 – Certificate I in Racing (Stablehand) – 4 students in 2018 (15 in 2017)</li> <li>• 22246VIC – Certificate II in Equine Studies – 19 students in 2018 (18 in 2017)</li> <li>• ACM20110 – Certificate II in Animal Studies - 7 students in 2018 (8 in 2017)</li> <li>• SIS30713 – Certificate III in Sport Coaching – 3 students in 2018 (9 in 2017)</li> </ul> <p>The RTO is in receipt of government funding for some courses.</p> <p>HLTAID003 – Provide First Aid (42 students in 2017) is offered both within the qualifications at the Saddle On premises and in the workplace to: school staff the RTO works with, church groups and others as requested.</p> <p>The Certificate II and III qualifications are largely delivered as VETiS or SBAT courses. The students enrolled in SIS30713 Certificate III in Sport Coaching are likely to become riding school coaches employed at Saddle On. Some disabled students do the Certificate I without a view to progressing further.</p> <p>Staffing in 2018 is two trainers but the CEO has plans to assist a current stablehand to become a trainer.</p> <p>The CEO has no plans to expand as she finds the current size makes quality control manageable.</p>			

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

**Audit Date: 25-26 July 2018**

**RTO: Saddle On Pty Ltd**

Marketing for the RTO is mainly through the CEO's attendance at monthly regional VETIS and SBAT network meetings, and via the website and Facebook.

There are no partnership arrangements.

Audit Date: 25-26 July 2018

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Qualifications/Units Audited <sup>1</sup>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
22246VIC	Certificate II in Equine Studies	Lovely Banks
SIS30713	Certificate III in Sport Coaching	Lovely Banks
HLTAID003	Provide First Aid	Lovely Banks

Interviewee(s) – Staff name and position; employer name and position	
Katrina Hore	Owner, CEO, trainer
Sharon Caddy	Trainer, riding coach

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

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

<sup>1</sup> Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

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

Audit Date: 25-26 July 2018

RTO: Saddle On Pty Ltd

### Audit Summary - AQTF Conditions of Registration

AQTF Conditions Place an X in the appropriate column	Compliant	Non - Compliant	Not audited
1 Governance			X
2 Interactions with the Registering Body			X
3 Compliance with Legislation		X	
4 Insurance			X
5 Financial Management			X
6 Certification & Issuing of Qualifications & Statements of Attainment		X	
7 Recognition of Qualifications Issued by other RTOs	X		
8 Accuracy and Integrity of Marketing	X		
9 Transition to Training Packages/Expiry of Accredited Courses	X		
<b>Summary of Non-Compliance<sup>2</sup></b>			
<p><b>CF.3.1</b> The RTO does not clearly and meaningfully communicate to staff the obligations of staff or the rights and responsibilities of students. <span style="float: right;">Done</span></p> <p><b>CF.6.1</b> No USI Privacy Statement is supplied to students. <span style="float: right;">Done.</span></p> <p><b>CF.6.2</b> The Statement of Attainment document contains a sentence relating to qualifications. The qualification sample includes an outdated clause. <span style="float: right;">Done.</span></p>			
<b>Strengths</b>			
The RTO communicates students' rights and obligations clearly in the Student Handbook.			

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

Audit Date: 25-26 July 2018

RTO: Saddle On Pty Ltd

**Audit Summary - AQTF Standards**

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<b>Standard 1</b>			
1.1 – Continuous Improvement Strategy		X	
1.2 – Training and Assessment Strategies		X	
1.3 – Training and Assessment Resources		X	
1.4 – Trainer and Assessor Competency		X	
1.5 – Assessment Strategies		X	
<b>Standard 2</b>			
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services		X	
2.3 – Provision of Information to Clients	X		
2.4 – Third-Party Engagement in Training and Assessment			X
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy		X	
<b>Standard 3</b>			
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations		X	
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management	X		
<b>Summary of Non-Compliance<sup>3</sup>:</b>			
<p><b>SF.1.1.1</b> The RTO does not systematically collect analyse, implement or record continuous improvement activities. <span style="float: right;">Done</span></p> <p><b>SF.1.2.1 &amp; 1.2.2</b> Training and assessment strategies for 22246VIC and SIS30713 were inaccurate.</p> <p><b>SF.1.2.3</b> The RTO did not demonstrate how industry consultation informed the training and assessment strategies.</p> <p><b>SF.1.2.4</b> The training and assessment strategy for HLTAID003 is inaccurate.</p> <p><b>SF.1.3.1</b> Refer to SF1.4 and 1.5.</p> <p><b>SF 1.4.1 and 1.4.2</b> Sharon Caddy and Katrina Hore: Although both trainers are very experienced trainers and coaches in a Riding School, it was not confirmed that the trainers had the vocational current experience (past and present)</p>			

*Print Done*

*Help. Roche*

*Help. Me ?*

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

Audit Date: 25-26 July 2018

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to determine relevant vocational competencies at least to the level being delivered or assessed, and that they have industry currency, current industry skills directly relevant to the training/assessment being undertaken.

**SF.1.4.3**

Sharon Caddy: There was no evidence that the trainer had continued to develop her Vocational Education and Training (VET) knowledge and trainer/assessor competence.

**SF.1.5.1 & 1.5.2**

Assessment tools for 22246VIC and SIS30713 included inconsistent information and were not clearly documented to enable valid and reliable judgements to be made.

**SF.1.5.3**

Assessment tools are not systematically validated.

**SF.1.5.4**

HLTAID003 assessment tools mapping is not accurate.

**SF.1.5.5**

HLTAID003 Assessment Record Sheet is inaccurate.

**SF.1.5.6**

RPL assessment tools for SIS30713 and 22246VIC included some illogical information.

**SF.2.2.1**

The RTO does not systematically collect analyse, implement or record continuous improvement activities. See 1.1.

**SF.2.7.1**

There is no system for recording and managing complaints and appeals relating to the RTO.

**SF.3.2.1**

The RTO does not systematically collect analyse, implement or record continuous improvement activities. See 1.1 and 2.1.

**Strengths**

HLTAID003 learning resources were of good quality, and the delivery model is logistically sound.

Help

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Rone



Audit Date: 25-26 July 2018

RTO: Saddle On Pty Ltd

Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
<b>1. Governance, Financial viability and Management systems</b>			
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
<b>2. Transparency and oversight of third parties</b>			
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
<b>3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)</b>			
3.1 – Vocational & Industry skill requirements		X	
3.2 – Training and Assessment (TAE) skill requirements	X		
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
<b>4. Delivery of training and assessment services</b>			
4.1 – Training and assessment practices		X	
4.2 – Amount of training		X	
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
<b>5. Annual Declaration of Compliance</b>			
5.1 – Annual Declaration of Compliance			X

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<b>Summary of Non-Compliance<sup>4</sup></b>
<b>GF.3.1.1, 3.1.2 and 3.1.3</b> Refer to SF 1.4.1 and 1.4.2 and 1.4.3 <b>GF 4.1.1 and 4.1.2</b> Strategies for 22246VIC and SIS30713 did not accurately reflect the amount of training required to enable each student to meet the requirements for each unit of competency or module in which the student is enrolled. <b>GF 4.2.1 and 4.2.2</b> Strategies for 22246VIC and SIS30713 did not ensure that the amount of training prescribed reflects practice and the existing skills, knowledge and the experience of the student, mode of delivery and the qualification type.
<b>Strengths</b>

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

**Audit Date:** 25-26 July 2018

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**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	
<ul style="list-style-type: none"> <li>• Staff Handbook</li> <li>• RTO Staff Induction Checklist</li> <li>• Discussion with CEO</li> <li>• Student Handbook v4.3 Feb 2018</li> <li>• Student Orientation Program and Orientation checklist</li> <li>• Operating Procedure 8 Compliance with legislation</li> </ul>	<p><b>CF-3.1 Finding</b></p> <p>The Student Handbook gives students accurate information about their rights and responsibilities when participating in VET training.</p> <p>However, the evidence reviewed indicates that RTO does not clearly and meaningfully communicate the obligations of staff or the rights and responsibilities of students to staff. The Staff Handbook is for riding school staff and volunteers, not specifically for trainers, and the legal responsibilities outlined are only to do with OHS. The RTO Staff Induction checklist lists some relevant legislation but provides no explanations of how these might affect a trainer's work.</p>
<b>Required Rectification(s)</b>	<p>Review documents provided to new trainers and revise them to ensure they clearly communicate the relevant obligations.</p> <p style="text-align: right;"><i>Done</i></p>
<b>Non-Compliant</b>	

*Self*

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<p><b>CONDITION 4 - Insurance</b></p>		<p>Not audited in Phase 2 audit</p>
<p><b>CONDITION 5 - Financial Management</b></p>		<p>Not audited in Phase 2 audit</p>
<p><b>CONDITION 6 - Certification &amp; Issuing of Qualifications &amp; Statements of Attainment</b></p>		
<p><b>Evidence/Documentation Reviewed</b></p>		
<ul style="list-style-type: none"> <li>• OP 27 - Records management</li> <li>• OP 30 – Retention, Archiving, Retrieval and Transfer of Records</li> <li>• OP 40 – Issuing Qualifications</li> <li>• OP 47 – Nationally Recognised Training (NRT) Logo Usage Policy</li> <li>• Enrolment form including USI application</li> <li>• Sample AQF certificate</li> <li>• Sample Statement of Attainment</li> <li>• Student Statements of Attainment x 2</li> <li>• Student qualifications x 2</li> <li>• USI Privacy notice</li> <li>• Discussion with CEO - The RTO uses VETTrak student management system. AVETMISS data uploads done by CEO</li> </ul> <p style="text-align: right; margin-right: 50px;"><i>200</i></p>		
<p><b>CF.6.1 Finding</b></p>	<p>No USI Privacy Statement is supplied to students.</p>	<p><b>Required Rectification(s)</b> Supply the USI Privacy Statement to students.</p>
<p><b>CF.6.2. Finding</b></p>		<p><b>Required Rectification(s)</b></p>



**Audit Date:** 25-26 July 2018

**RTO:** Saddle On Pty Ltd

**Detailed Findings - AQTF Standards**

ELEMEN T 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.	Non-Compliant
<p><b>Evidence/Documentation Reviewed</b></p> <ul style="list-style-type: none"> <li>• Operating Procedure 10 – Continuous Improvement</li> <li>• Operating Procedure 32 - Staff engagement and feedback</li> <li>• Pre-training review procedures</li> <li>• LLN assessment - completed student samples x 3</li> <li>• Recently updated TASs, with assistance from an external consultant (not yet completed)</li> <li>• Continuous Improvement Register 2017, 2018</li> <li>• Interview with CEO</li> <li>• No assessment validation done before 2018, but an external consultant was employed to commence the process in 2018. No assessment validation plan for the future.</li> <li>• Report of Learner Engagement and Employer Satisfaction Quality Indicators raw data</li> <li>• Records of industry consultation</li> <li>• Professional memberships include VCCI, Equine Australia, VETIS Geelong Schools Cluster Geelong Chamber of Commerce, VELG, SBAT Geelong Cluster Group, National Institute of First Aid Trainers</li> <li>• Agendas &amp; Minutes – Geelong Regional SBAT Taskforce meetings - monthly</li> <li>• Regional VET Coordinators meeting – monthly</li> <li>• Operating Procedure 16 - Industry Engagement and Feedback</li> <li>• Monthly staff meeting records -- for whole business, very little mention of RTO business.</li> </ul>	
<b>SF.1.1.1 Finding</b>	<b>Required Rectification(s)</b>



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<p>The Statement of Attainment document contains a sentence relating to qualifications. The qualification sample included an outdated clause.</p>	<p>Adjust the sample certification documents to ensure that they meet the requirements of the AQF.</p>
<p><b>CONDITION 7 - Recognition of Qualifications Issued by other RTOs</b></p>	
<p><b>Evidence/Documentation Reviewed</b></p>	
<ul style="list-style-type: none"> <li>• Student Handbook</li> <li>• Operating Procedure 26 - Recognition of Qualifications Issued by Other RTOs</li> </ul>	
<p><b>CONDITION 8 - Accuracy and Integrity of Marketing</b></p>	
<p><b>Evidence/Documentation Reviewed</b></p>	
<ul style="list-style-type: none"> <li>• Website <a href="https://www.saddleon.com.au/">https://www.saddleon.com.au/</a></li> <li>• Facebook page</li> <li>• Student Consent Form containing photographic permission</li> <li>• Other print marketing materials provided to SBAT / VETIS meetings</li> <li>• Saddle On Riding School Release &amp; Waiver of Liability – including Media Consent paragraph</li> <li>• Operating Procedure 2 – Accuracy and Integrity of Marketing</li> </ul>	
<p><b>CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses</b></p>	
<p><b>Evidence/Documentation Reviewed</b></p>	
<p>Operating Procedure 36 – Transition of Training Packages, Expiry of Accredited Courses</p>	



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

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The evidence reviewed shows that the RTO collects some data and is engaged in activities to improve its training and assessment. However, there is little evidence of consistent and systematic analysis and implementation, nor of systematic recording of continuous improvement activities.

The items in the CI Register are minor, and do not record some of the more significant improvement actions the RTO has undertaken including revision of training and assessment materials.

The CEO believes she has an improved CI system ready to go. However, there was some confusion about the differences between continuous improvement, industry consultation and assessment validation which needs to be clarified.

Devise a system which distinguishes accurately between continuous improvement, industry consultation and assessment validation and which enables brief but clear recording of each activity.

Send for Cassie Dare  
Rohie



**Audit Date:** 25-26 July 2018

**RTO:** Saddle On Pty Ltd

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.	Evidence/Documentation Reviewed	Non-Compliant
	<ul style="list-style-type: none"> <li>• Agendas &amp; Minutes – Geelong Regional SBAT Taskforce meetings - monthly</li> <li>• Regional VET Coordinators meeting minutes– monthly</li> <li>• Operating Procedure 16 - Industry Engagement and Feedback</li> <li>• Training and Assessment Strategy: HLTAID003 Provide First Aid</li> <li>• Discussion with CEO – class maximum of 10 students with 2 trainers in HLTAID003 Provide First Aid</li> <li>• Operating Procedure 12 – Developing TASs</li> <li>• Training and assessment strategy – 22246VIC Certificate II in Equine Studies (two versions provided, September 2017 and 27 June 2018 [incomplete and still in draft])</li> <li>• Training and assessment strategy – 22246VIC Certificate II in Equine Studies [VETIS July 2016]</li> <li>• Training and assessment strategy – SIS30713 Certificate III in Sport Coaching (20/06/2018)</li> <li>• Discussion with CEO</li> <li>• What is in a unit? (Brochure)</li> <li>• Sport Coaching (SBAT) (Brochure)</li> <li>• Equine studies (VETIS) (Brochure)</li> </ul>	
<b>SF.1.2.1 Finding</b>	<b>Required Rectification(s)</b>	
22246VIC Certificate II in Equine Studies Strategies were either incomplete (v2018) or inaccurate. Assessment methods noted for the two units were inaccurate.	22246VIC Certificate II in Equine Studies Ensure that the strategies for the different cohorts are accurate and complete.	
<b>SF.1.2.2 Finding</b>	<b>Required Rectification(s)</b>	



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<p><b>SIS30713 Certificate III in Sport Coaching</b> Strategy was inaccurate as the assessment methods noted for one of the units reviewed (SISXRSK301A) was inaccurate. The strategy identified only one trainer when other trainers are used.</p>	<p><b>SIS30713 Certificate III in Sport Coaching</b> Ensure that the strategies for the different cohorts are accurate.</p>
<p><b>SF.1.2.3 Finding</b></p>	
<p><b>SIS30713 Certificate III in Sport Coaching</b> <b>22246VIC Certificate II in Equine Studies</b> Strategies for Certificate II in Equine Studies (2017) and for Certificate III in Sport Coaching indicate that industry consultation has occurred (i.e. names of people consulted) but it was not made clear what were the findings of this consultation and how they have informed the strategy, training and assessment. The RTO has not demonstrated how consultation with industry has informed the strategies.</p>	<p><b>SIS30713 Certificate III in Sport Coaching</b> <b>22246VIC Certificate II in Equine Studies</b> Demonstrate how revised strategies are informed by industry consultation. <i>Send!! Done</i></p>
<p><b>SF.1.2.4 Finding</b></p>	
<p><b>HLTAID003 Provide First Aid</b> The CEO can articulate what she does and why, but the documentation of the strategy is unclear and inaccurate. Training and Assessment Strategy:</p> <ul style="list-style-type: none"> <li>- Delivery plan is not accurately documented – no clear distinction between hours spent on training and assessment.</li> <li>- Selection criteria are not accurate</li> <li>- Reasonable adjustments are available and regularly used but not accurately described in the TAS</li> <li>- Unit refresher/update information is not accurate</li> <li>- Contains minor proofing errors - Footer identifies the wrong unit. Two different dates on footers (p.11/ p.13). P.12 missing.</li> </ul>	<p><b>Required Rectification(s)</b> Review and revise the HLTAID003 Provide First Aid training and assessment strategy to ensure information is accurate and reflects what is actually done.  <i>Bought New Unit Done</i></p>



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ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.	Non-Compliant
<p><b>Evidence/Documentation Reviewed</b></p> <ul style="list-style-type: none"> <li>• Discussion with CEO and with trainer</li> <li>• Site (35 horses, 3 arenas, 2 indoor arenas, 1 round yard, 20+ horse bays, helmets, boots); this is a commercial riding school</li> </ul> <p><b>22246VIC Certificate II in Equine Studies</b></p> <ul style="list-style-type: none"> <li>VU21403 <i>Implement and monitor a horse feeding program</i> – learner guide and workbook, session plan in Assessor Guide</li> <li>VU21406 <i>Equine physiology</i> – learner guide, session plan in Assessor Guide</li> </ul> <p><b>SIS30713 Certificate III in Sport Coaching</b></p> <ul style="list-style-type: none"> <li>SISXRSK301A <i>Undertake risk analysis of activities</i> – learner guide, session plan in Assessor Guide</li> <li>SISXFAC207 <i>Maintain sport, fitness and recreation equipment for activities</i> – learner guide, session plan in Assessor Guide</li> </ul> <p><b>HLTAID003 Provide First Aid –</b></p> <ul style="list-style-type: none"> <li>• Training and Assessment Strategy</li> <li>• Facilities – 1 x classroom</li> <li>• Equipment – 4 x adult mannekins 1 x child mannekin, 1 x infant mannekin, 4 x defibrillators, 4 x epipens, 4 x sets asthma equipment</li> <li>• Discussion with trainer Sharon Caddy</li> <li>• Commercial learning resources</li> <li>• Assessment tools</li> <li>• Assessor Guide containing model answers/ marking guide</li> </ul> <p>Refer to 1.4 and 1.5.</p>	
<b>SF.1.3.1 Finding</b>	<b>Required Rectification(s)</b>

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<p>Issues were identified with trainers/assessors and with assessment. Refer to 1.4 and 1.5.</p>	<p>Refer to 1.4. and 1.5.</p>
<p><b>SF.1.3.2 Finding</b>  <b>HL TAID003 Provide First Aid</b> – Evidence reviewed indicates that the equipment and resources are sufficient for a class size of 10 and two trainers in the duration nominated as per the TAS and discussions with the two trainers. The delivery model for this unit is a strength of the RTO.            The commercial learning resources are of good quality in terms of language level, layout, clarity and visual learning.</p>	<p><b>Required Rectification(s)</b>            N/A</p>

**Improvement Opportunities**

**22246VIC Certificate II in Equine Studies  
 SIS30713 Certificate III in Sport Coaching**

Learner Guides were information only and did not contain learning activities to unpack the information. Not all units of competency have a workbook to accompany the learner guide to assist with the learning. It is suggested that units have a workbook to assist with unpacking the information for students.  
 Session Plans are in the Assessor Guide. To demonstrate how the trainers assist the learners in class, it is suggested that full session plans for learning are developed and accompanied by learning activities directed by the trainer.

*Buying New units for ones without  
 workbooks*

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<p><b>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</b></p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	<p>Non-Compliant</p>
<p><b>Evidence/Documentation Reviewed</b></p> <ul style="list-style-type: none"> <li>Staff files: Katrina Hore and Sharon Caddy</li> </ul> <p>These two trainers are responsible for both qualifications reviewed plus the first aid unit.</p>	
<p><b>SF.1.4.1 Finding</b></p> <p><b>22246VIC Certificate II in Equine Studies</b></p> <p>Katrina Hore: Alignment of units/skills matrix: For the two units reviewed, the matrix aligns the current units to the superseded units. The curriculum document however indicates that these units are not equivalent. The matrix does not include, at unit level, current or past vocational industry experience to be able to determine equivalence.</p> <p>Sharon Caddy: Alignment of units/skills matrix: For the two units reviewed, the matrix aligns the current units to the superseded units. The curriculum document however indicates that these units are not equivalent. The matrix does not include, at unit level, current or past vocational industry experience to be able to determine equivalence.</p> <p>Although both trainers are very experienced trainers and coaches in a Riding School, it was not confirmed that the trainers had the vocational current experience (past and present) to determine relevant vocational competencies at least to the level being delivered or assessed, and that they have industry currency, current industry skills directly relevant to the training/assessment being undertaken.</p>	<p><b>Required Rectification(s)</b></p> <p><u>22246VIC Certificate II in Equine Studies</u></p> <p>Demonstrate that Katrina Hore and that Sharon Caddy have the relevant vocational competencies at least to the level being delivered or assessed, have current industry skills directly relevant to the training/assessment being undertaken, and that they have continued to develop their industry currency.</p>
<p><b>SF.1.4.2 Finding</b></p>	<p><b>Required Rectification(s)</b></p>

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<p><b>SIS30713 Certificate III in Sport Coaching</b></p> <p><b>Katrina Hore:</b> Alignment of units/skills matrix: For the SISXRSK301A there is no equivalent to the superseded unit, and the matrix does not include current or past vocational industry experience to be able to determine equivalence. For SISXFAC207 the evidence is stated to be '10 years running a horse riding school' which does not provide sufficient detail specific to the unit to determine equivalence.</p> <p><b>Sharon Caddy:</b> Alignment of units/skills matrix: For the SISXRSK301A there is no equivalent to the superseded unit, and the matrix does not include current or past vocational industry experience to be able to determine equivalence. For SISXFAC207 the evidence is stated to be provided a 'presentation' in the Certificate IV in TAE, which is inadequate.</p> <p>Although both trainers are very experienced trainers and coaches in a Riding School, it was not confirmed that the trainers had the vocational current experience (past and present) to determine relevant vocational competencies at least to the level being delivered or assessed, and that they have industry currency, current industry skills directly relevant to the training/assessment being undertaken.</p> <p>There was no evidence that Sharon Caddy has continued to develop her Vocational Education and Training (VET) knowledge and skills as well as trainer/assessor competence.</p>	<p><b>SIS30713 Certificate III in Sport Coaching</b></p> <p>Demonstrate that Katrina Hore and that Sharon Caddy have the relevant vocational competencies at least to the level being delivered or assessed, have current industry skills directly relevant to the training/assessment being undertaken, and that they have continued to develop their industry currency.</p> <p>Demonstrate that Sharon Caddy has continued to develop her Vocational Education and Training (VET) knowledge and skills and trainer/assessor competence.</p>
<p><b>SF.1.4.3 Finding</b></p> <p><b>HLTAID003 Provide first aid</b></p> <p>Sharon Caddy: There was no evidence that the trainer had continued to develop her Vocational Education and Training (VET) knowledge and trainer/assessor competence.</p>	<p><b>Required Rectification(s)</b></p> <p><b>HLTAID003 Provide first aid</b></p> <p>Demonstrate that Sharon Caddy has continued to develop her Vocational Education and Training (VET) knowledge and skills and trainer/assessor competence.</p>

**Improvement Opportunities**

For Katrina Hore there were two professional development registers. It would be more efficient if all information was integrated into one document.

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	Non-Compliant
<p><b>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):</b>            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><b>Evidence/Documentation Reviewed</b></p> <ul style="list-style-type: none"> <li>• Operating Procedure 4 – Assessment validation</li> <li>• Operating Procedure 25 – Recognition of Prior Learning</li> <li>• Discussion with CEO and with trainer</li> </ul> <p><b>22246VIC Certificate II in Equine Studies</b></p> <ul style="list-style-type: none"> <li>• VU21403 <i>Implement and monitor a horse feeding program</i></li> <li>• VU21406 <i>Equine physiology</i></li> <li>• Assessment tools (including mapping)</li> <li>• RPL assessment tool</li> <li>• Student samples of completed work.</li> </ul> <p><b>SIS30713 Certificate III in Sport Coaching</b></p> <ul style="list-style-type: none"> <li>• SISXRSK307A <i>Undertake risk analysis of activities</i></li> <li>• SISXFAC207 <i>Maintain sport, fitness and recreation equipment for activities</i></li> <li>• Assessment tools (including mapping)</li> <li>• RPL assessment tool</li> <li>• Student samples of completed work.</li> </ul> <p><b>HLTAID003 Provide First Aid</b></p> <ul style="list-style-type: none"> <li>• Assessment tools</li> <li>• Assessor Guide – none relating to currently used materials</li> </ul>	

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SF.1.5.1 Finding	Required Rectification(s)
<p><b>22246VIC Certificate II in Equine Studies</b></p> <p><i>VU21403 Implement and monitor a horse feeding program</i></p> <p>Assessment tasks are not consistently described across the various documents. Assessment includes:</p> <ul style="list-style-type: none"> <li>• Two workbook tasks (identification of nutritional composition, complete feed records)</li> <li>• Theory test</li> <li>• Practical task of feeding several horses over 4 weeks (stated to be an observation in at least one document).</li> </ul> <p><i>Practical assessments:</i> There are 4 practical assessments or set of indicators:</p> <ul style="list-style-type: none"> <li>• 'Identifying basic nutritional requirements', 'write a feeding program for 2 different horses', and 'feed several different' horses over 4 weeks'</li> <li>• 'Implement a feeding program' requires student to complete the above and also to monitor water</li> <li>• Check water</li> <li>• 'Monitor feeding program' requires the candidate to check condition of horse and maintain feed records.</li> </ul> <p>The assessment task to be undertaken by the student is not clearly described. How these assessments are to be conducted is not made clear. The context and condition for assessments are not made clear. Document indicates that two assessors must sign off a student's assessment.</p> <p>One of the indicators states that the student is to develop a feeding program for two different horses. The students do not complete a feeding program for two horses as indicated - they only complete feed records of two</p>	<p><b>22246VIC Certificate II in Equine Studies</b></p> <p><i>VU21403 Implement and monitor a horse feeding program</i></p> <p><i>VU21406 Equine physiology</i></p> <p>Review and revise the assessment tools for both units to ensure:</p> <ul style="list-style-type: none"> <li>• Information is consistent across the documents</li> <li>• Tasks to be undertaken are well described</li> <li>• Observations of practical tasks are informed by indicators that can be observed</li> </ul> <p>That they enable valid and reliable judgements to be made.</p>

?

is supervised?

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horses. Discussion with the trainer/assessor indicated that the students do this task in the learning guide and workbook – however these tasks are clearly stated as not being part of the assessment.

Assessor expected performance is not always clear or decisive – e.g. maintain a fecc record. The expected performances are intermingled with other tasks e.g. 'write a feeding program for 2 different horses'. The checklist does not allow the recording of the four occasions and the decision-making rule is not clear.

The student version of the assessment tool only includes the two practical assessments which do not exactly align to that in the Assessor's Guide.

*Assessment Workbook #1:* The student is to research and report on factors that affect a feeding program – and present to class. Exemplar answers are provided rather than benchmark competent answers – but it is not made clear what key items the assessor is looking for in the answers.

*Assessment Workbook #2:* Student is to complete the feed records for two horses of their choice. Students are to complete the task within 30 minutes and present to class. Exemplar responses are provided rather than benchmark competent answers – but it is unclear what is the minimum requirement or specific information or expectations. There are no clear decision-making rules for the workbook task.

*Theory test #1:* Decision making rule varies between the student version of the assessment tool and the Assessor Guide.

Assessment tool checklist (for the student) indicates that the decision of competence includes whether the student has attended for the required number of hours (i.e. 40 hours) which is inappropriate for a determination of competence.

Student samples indicated that the practical assessments are not countersigned as noted.

*VU21406 Equine physiology*

Assessment matrix indicates there are 5 assessment tasks:

- Observation in the workplace (Practical skills assessment #1)
- Research project (Assessment workbook #1)
- Class activities (Assessment workbook #2)



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<ul style="list-style-type: none"> <li>• Theory test (#1)</li> <li>• Role play (Practical skills assessment #2)</li> </ul> <p>The Assessor Guide however indicates that there are 9 practical tasks and 2 theory tests.</p> <p><i>Practical assessments:</i> There are 9 practical tasks, which are not clearly described. How these assessments are to be conducted is not made clear. The context and condition for assessments are not made clear. Discussions with assessor indicated that these assessments are conducted in the horse bay – and the students are to ‘show me’ and then respond to oral questions. There is no indication of the questions asked or the expected answers. Indicators are phrased as if the learner checks for an illness or injury. However, the expected response implies that the horse they are discussing actually has the issues to be identified (which may not be the case) and that the student must explain the impact. The expected response does not include what are the expected impacts.</p> <p>Document indicates that there are two assessors to sign. Student sample indicates that this is not the case.</p> <p>Theory tests: The decision-making rule across the Assessor Guide and the student version of the assessment tool are not consistent.</p> <p>Mapping is inaccurate, e.g. Q. 29 relates to male reproductive system rather than female reproductive system as indicated; Q. 30 relates to female reproductive system rather than male reproductive system as indicated.</p> <p>Assessment Checklist (in tool) indicates that the decision of competence includes attendance for the minimum hours i.e. 30 hours, which is inappropriate for determining competence.</p>	
<b>SF.1.5.2 Finding</b>	
<p><b>SIS30713 Certificate III in Sport Coaching</b></p> <p><i>SISXRSK301A Undertake risk analysis of activities</i></p> <p>This unit requires the candidate to be able to undertake a risk-analysis process in relation to an activity and in accordance with an organisation’s risk-management policies and procedures.</p>	<p><b>Required Rectification(s)</b></p> <p><b>SIS30713 Certificate III in Sport Coaching</b></p> <p><i>SISXRSK301A Undertake risk analysis of activities</i></p> <p>Review and revise the assessment tools for both units to ensure:</p> <ul style="list-style-type: none"> <li>• Information is consistent across the documents</li> </ul>

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Assessment tasks are inconsistently described across the documents.

Assessment matrix indicates:

- Practical skills assessment – Implement a risk treatment, monitor risk management plan and adapt treatments as necessary
- Workbook assessment #1 – Complete a risk assessment management plan
- Workbook assessment #2 – Review processes and adapt as necessary
- Theory test

**Workbook Assessment #1:**

The candidate is to complete two risk management plans related to two selected activities (five activities are listed). The candidate is to access various records, identify risks and rank them, and document treatments. Advice to assessor indicates that the candidate is to complete 'all work mentioned in the workbook in an appropriate manner' and to compare the submission to previous plans – however there were no exemplars or benchmark samples or further information to inform satisfactory completion.

**Practical Assessment #1:** There are two activity recording sheets – for the two risk management plans mentioned above. However, these recording sheets are generic (i.e. the same) and not specific to the potential five activities listed. They include indicators that are not necessarily demonstrable – e.g. 'demonstrate an understanding of what would happen'. Advice to assessors explain what should be demonstrated but does not indicate how the recording is to occur, e.g. the learner must repeat the risk analysis regularly. The indicators are deemed C/NYC which is inappropriate for a task, as competence is only determined once.

**Workbook Assessment #2:** Student is to review the two plans and record adaptations 'they would make for each activity'. There is some guidance to the assessor as what is required e.g. adaptations should be suitable, however, there are no sample exemplars or benchmarks to support the advice.

**Theory test:** The decision making is different across the Assessor Guide and the student version of the assessment tool.

- Tasks to be undertaken are well described
- Observations of practical tasks are informed by indicators that can be observed
- That they enable valid and reliable judgements to be made.



**AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers -  
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<p><i>Oral questions:</i> There is no guidance as to the conduct of these questions, and how they will be assessed individually.</p> <p>Assessment tool (student version) indicates that the decision of competence is dependent on attending the required hours (i.e. 20 hours) which is not appropriate in a determination of competence.</p>	
<p><b>SF-1.5.3 Finding</b></p> <p><b>Validation</b></p> <p>Assessment validation procedure includes different approaches to a review including: assessment tool mapping, moderation meetings, industry validation. However, the information is confused and does not clearly articulate that validation includes review of the assessment tools and a sample of student assessments to promote consistency of judgements. It does not clearly indicate how validation will be implemented in a systematic way.</p> <p>The evidence reviewed indicates that the assessment tools are not systematically validated.</p>	<p><b>Required Rectification(s)</b></p> <p>Develop and implement a clear 5-year assessment validation plan for the RTO.</p> <p><i>Help Course (Korbut)</i></p>
<p><b>SF-1.5.4 Finding</b></p> <p><b>HLTAID003 Provide First Aid</b></p> <p>The assessment tools are not accurately mapped to the unit. The mapping provided is obsolete, covering assessment tasks and resources no longer in use, and has no date or version number.</p> <p>The commercial resource's mapping for its online knowledge assessment tool does not map to question level, so does not fulfil the purpose.</p>	<p><b>Required Rectification(s)</b></p> <p>Provide evidence that assessment tasks address the scope of the unit.</p> <p><i>Done New unit</i></p>
<p><b>SF-1.5.5 Finding</b></p> <p><b>HLTAID003 Provide First Aid</b></p> <p>The Assessment Record Sheet lists some items which are not assessment tasks, e.g. behavioural expectations.</p>	<p><b>Required Rectification(s)</b></p> <p>Ensure the Assessment Record sheet only lists assessment tasks.</p> <p>✓</p>
<p><b>SF-1.5.6 Finding</b></p> <p><b>SIS30713 Certificate III in Sport Coaching</b></p> <p><b>22246VIC Certificate II in Equine Studies</b></p>	<p><b>Required Rectification(s)</b></p> <p>Review and revise the RPL assessment tools so that suggested evidence is logical and valid.</p>

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RPL assessment tools were developed, however the suggested evidence for each unit includes generic statements and refers to performing as part of a first aid team and performing according to ARC guidelines which is illogical. The CEO confirmed that there have been no RPL assessments for these qualifications.

#### **Improvement Opportunities**

##### **HLTAID003 Provide First Aid**

- Observation checklists:
  - Merge 'comments' into observation column to provide further detail for each observable behaviour.
  - Add assessor questions for items which are not easily observable (as discussed with trainer).
- The mapping document currently used has only one column for both practical and knowledge assessments – for clarity, suggest giving each assessment tool/type its own column.
- Recommend obsolete learning and assessment materials should be archived from all locations, both hard and electronic copies.

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	Compliant
<p><b>2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.</b></p>	
<p><b>Evidence/Documentation Reviewed</b></p>	
<ul style="list-style-type: none"> <li>● Operating Procedure 20 – Meeting Students' Individual Needs</li> <li>● Operating Procedure 1 – Access and Equity</li> <li>● Pre-Training Review Form v.2.1</li> <li>● Language Literacy and Numeracy Assessment v.1.2.</li> <li>● Interview with CEO Karen Hore and trainer Sharon Caddy:               <ul style="list-style-type: none"> <li>– Cannot recall a student who has been declined because of LLN difficulties. Most students come via schools as VETIS or SBAT.</li> <li>– Examples of support activities, reasonable adjustment or arrangements to meet special needs:                   <ul style="list-style-type: none"> <li>○ Student 1 with a disability was timetabled to come on days when there were few other students, so he could get 1:1 and small group attention. He had an app at home which read text aloud to him, so the theory was emailed home for him.</li> <li>○ Student 2's writing was ACSF 2 but his practical skill level was good. He was given extra time to complete work and was emailed the theory before class.</li> </ul> </li> </ul> </li> </ul>	
<p><b>Improvement Opportunities</b></p>	
<p>The section on the PTR to plan how to address identified issues does not record all the adjustments made – recommend they do this as their practice is actually very supportive.</p>	

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2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Non-Compliant
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Operating Procedure 10 – Continuous Improvement</li> <li>• Operating Procedure 32 - Staff engagement and feedback</li> <li>• Enrolment form</li> <li>• End-of-unit learner feedback forms</li> <li>• Discussion with CEO Katrina Hore – as the enterprise is small, with currently only two trainers who work together every day, much of the continuous improvement activity is carried out informally between the two.</li> </ul>		
<b>SF.2.2.1 Finding</b>		<b>Required Rectification(s)</b>
<p>The evidence reviewed shows that the RTO collects some data and is engaged in activities to improve its client services. However, there is little evidence of consistent and systematic analysis and implementation, nor of systematic recording of continuous improvement activities.</p> <p>See 1.1.</p>		<p>Develop a recording system which enables brief but clear recording of continuous improvement-related discussions and activities.</p> <p><i>Done</i></p>

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<p><b>2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.</b></p>	<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<ul style="list-style-type: none"> <li>• Student Handbook</li> <li>• Enrolment Form</li> <li>• Interview with CEO and trainer</li> <li>• Marketing materials</li> </ul> <p>The evidence reviewed indicates that the RTO provides clients and intending students with accurate, clear and sufficient information about the RTO's training, assessment and support services and their rights and obligations</p>	
<p><b>2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.</b></p>	<p><b>N/A</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<p>Discussion with CEO.</p>	

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<b>2.5 - Learners receive training, assessment and support services that meet their individual needs.</b>	<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>● Student Handbook.</li> <li>● Student Orientation program, student checklist</li> <li>● Student LLN assessments and Pre-Training Reviews</li> <li>● Interview with CEO and trainer</li> </ul> <p>Refer to 2.1 and 2.3.</p>	

<b>2.6 - Learners have timely access to current and accurate records of their participation and progress.</b>	<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>● Student Handbook p. 12-13</li> <li>● OP 6 – Client Access to Records</li> <li>● OP 30 – Retention, Archiving, Retrieval and Transfer of Records</li> <li>● Student files, progress records.</li> </ul>	





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<b>2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>		<b>Non-Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>Complaint and Appeals Form</li> <li>Operating Procedure 9 – Complaints and Appeals doesn't separate the riding school business from the RTO, so doesn't note the VRQA as the last resort for student complaints.</li> <li>Positive and Negative Feedback folder – This is not an actual Complaints Register but copies of emails sent by customers.</li> <li>Discussion with CEO - Most items in the folder relate to the riding school business, not the RTO function.</li> </ul>		
<b>SF2.7.1 Finding</b>	<b>Required Rectification(s)</b>	
The evidence reviewed indicates that there is not a system for recording and managing complaints and appeals relating to the RTO.	Develop a separate RTO complaints and appeals procedure which meets the requirements. Establish and maintain a separate complaints register for the RTO.	
<b>3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>Student enrolment form</li> <li>Internal student surveys</li> <li>Interview with CEO</li> </ul>		

*Done?*  
*Help?*  
*Date?*



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<b>3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.</b>		<b>Non-Compliant</b>
<ul style="list-style-type: none"> <li>• Operating Procedure 10 – Continuous Improvement</li> <li>• Operating Procedure 32 - Staff engagement and feedback</li> <li>• Enrolment form</li> <li>• End-of-unit learner feedback forms</li> <li>• Report of Learner Engagement and Employer Satisfaction Quality Indicators</li> <li>• Discussion with CEO Katrina Hore – as the enterprise is small, with currently only two trainers who work together every day, much of the continuous improvement activity is carried out informally between the two.</li> </ul>	<p><b>SF.3.2.1 Finding</b></p> <p>The evidence reviewed shows that the RTO collects some data and is engaged in activities to improve its management of operations. However, there is little evidence of consistent and systematic analysis, implementation, and recording of continuous improvement activities.</p> <p>See 1.1. and 2.2</p>	<p><b>Required Rectification(s)</b></p> <p>Develop a recording system which enables brief but clear recording of continuous improvement-related discussions and activities.</p> <p style="text-align: right; font-size: 2em;">DWD</p>



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<p><b>3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.</b></p>	<p>N/A</p>
<p><b>3.4 - The RTO manages records to ensure their accuracy and integrity.</b></p> <ul style="list-style-type: none"><li>• Operating Procedure 30 – Retention, Archiving, Retrieval and Transfer of Records</li><li>• Student training and assessment records x 2</li><li>• Discussion with the CEO</li></ul>	<p>Compliant</p>

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

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

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

Not Audited in  
Phase 2 audit

**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 descriptors listed in section 4.3.1(2) of the Act.

Not audited in  
Phase 2 audit

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

- a) management information including:
  - i. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds)
  - ii. a physical address of the company in Victoria for the purposes of serving notices
  - iii. details of the directors, CEO/PEO and senior management members with associated police checks and Working With Children Checks if students are under 18 years of age

Not audited in  
Phase 2



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- 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.

**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 in  
Phase 2 audit

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<p><b>GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.</b></p> <ul style="list-style-type: none"> <li>• A <i>third party</i> means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO.</li> <li>• <i>Services</i> mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services.</li> </ul>	<p>N/A</p>
<p><b>GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:</b></p> <ol style="list-style-type: none"> <li>a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and</li> <li>b) for the purposes of the conduct of any audit or monitoring of its operations.</li> </ol>	<p>N/A</p>
<p><b>GUIDELINE 2.3 – An RTO notifies the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:</b></p> <ol style="list-style-type: none"> <li>a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and</li> <li>b) within 30 calendar days of the agreement coming to an end.</li> </ol>	<p>N/A</p>
<p><b>GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:</b></p> <ol style="list-style-type: none"> <li>a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and</li> <li>b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party.</li> </ol>	<p>N/A</p>
<p><b>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO provides, in print or through referral to an electronic copy, current and accurate information that:</b></p> <ol style="list-style-type: none"> <li>a) enables the student to make informed decisions about undertaking training with the RTO and</li> <li>b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf</li> </ol>	<p>N/A</p>



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<b>GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.</b>	<b>N/A</b>
<b>GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:</b>  a) the RTO, its trainers, assessors or other staff; b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or c) a student of the RTO.	<b>N/A</b>
<b>GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.</b>	<b>N/A</b>

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		Non-Compliant
<p><b>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:</b></p> <ul style="list-style-type: none"> <li>a) vocational competencies at least to the level being delivered and assessed;</li> <li>b) current industry skills directly relevant to the training and assessment being provided; and</li> <li>c) current knowledge and skills in vocational training and learning that informs their training and assessment.</li> </ul> <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p> <ul style="list-style-type: none"> <li>• Staff files: Katrina Hore and Sharon Caddy</li> </ul> <p>These two trainers are responsible for both qualifications reviewed plus the first aid unit.</p>		
<p><b>GF 3.1.1 Finding</b></p> <p><u>22246VIC Certificate II in Equine Studies</u></p> <p><b>Refer to 1.2.</b></p> <p>Although both trainers are very experienced trainers and coaches in a Riding School, it was not confirmed that the trainers had the vocational current experience (past and present) to determine relevant vocational competencies at least to the level being delivered or assessed, and that they have industry currency, current industry skills directly relevant to the training/assessment being undertaken.</p>	<p><b>Required Rectification(s)</b></p> <p><u>22246VIC Certificate II in Equine Studies</u></p> <p>Refer to 1.2.</p>	
<p><b>GF 3.1.2 Finding</b></p> <p><u>SIS30713 Certificate III in Sport Coaching</u></p> <p><b>Refer to 1.2.</b></p> <p>Although both trainers are very experienced trainers and coaches in a Riding School, it was not confirmed that the trainers had the vocational current experience (past and present) to determine relevant vocational competencies at least to the level being delivered or assessed, and that they have industry currency, current industry skills directly relevant to the training/assessment being undertaken.</p>	<p><b>Required Rectification(s)</b></p> <p><u>SIS30713 Certificate III in Sport Coaching</u></p> <p>Refer to 1.2.</p>	





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There was no evidence that Sharon Caddy has continued to develop her Vocational Education and Training (VET) knowledge and skills as well as trainer/assessor competence.	
<b>GF-3.1.3 Finding</b>	<b>Required Rectification(s)</b>
HLTAID003 Provide first aid	HLTAID003 Provide first aid
Sharon Caddy: There was no evidence that the trainer had continued to develop her Vocational Education and Training (VET) knowledge and trainer/assessor competence.	Refer to 1.2.

**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.**

- Staff files: Katrina Hore and Sharon Caddy
- These two trainers are responsible for both qualifications reviewed plus the first aid unit.

**Compliant**



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**GUIDELINE 3.3** Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.

N/A

**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.

N/A

**GUIDELINE 3.5** An RTO ensures that any individual working under the supervision of a trainer:

- 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.

N/A



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		Non-Compliant
<p><b>GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</b></p>	<ul style="list-style-type: none"> <li>• Training and assessment strategy – 22246VIC Certificate II in Equine Studies (two versions provided, September 2017 and 27 June 2018 [incomplete and still in draft])</li> <li>• Training and assessment strategy – 22246VIC Certificate II in Equine Studies [VETiS July 2016]</li> <li>• Training and assessment strategy – SIS30713 Certificate III in Sport Coaching (20/06/2018)</li> <li>• Training and assessment strategy – HLTAID003 Provide First Aid</li> <li>• Discussion with CEO</li> <li>• What is in a unit? (Brochure)</li> <li>• Sport Coaching (SBAT) (Brochure)</li> <li>• Equine studies (VETiS) (Brochure)</li> </ul>	
<p><b>GF 4.1.1 Finding</b></p>	<p><b>22246VIC Certificate II in Equine Studies</b></p> <p>The curriculum indicates that the program should be over 0.5 to 1 years – full time. Equine studies program is stated to be between 406 – 410 hours over 1 or 2 years depending on the cohort. The hours are based on theory, practical and private study. However, private study is not necessarily directed time as not all units have workbooks which may include activities for students to do, if other activities are directed by the trainer these are not documented in the session plans. Therefore, these hours are unjustified. The allocation of hours does not differentiate between training hours and assessment hours. Additional hours that students may need for practice of skills and knowledge are not acknowledged in the strategy.</p> <p>Given that the program is for a cohort that has limited or no equine experience the reduced number of hours is not justified.</p>	<p><b>Required Rectification(s)</b></p> <p><b>22246VIC Certificate II in Equine Studies</b></p> <p>Review and revise the training strategy to ensure that the amount of training prescribed reflects practice and are consistent with the requirements of the VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</p>
<p><b>GF 4.1.2 Finding</b></p>		<p><b>Required Rectification(s)</b></p>

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<p><b>SIS30713 Certificate III in Sport Coaching</b> Strategy indicates that the program duration 45-50 weeks, with theory classes (2 hours) and a practical on Saturday (8 hours). The Brochure indicates that the program includes 6 hours of theory per week, and 7 hours of paid work in industry setting per week.  The strategy does not estimate an amount of training, and it is not clear whether assessment is included in the hours specified. However, what can be deduced by the information is that the program is approximately 585 hours. There is no justification for reduced hours that would be expected at AQF level 3 (1 to 2 years). Additional hours that students may need for practice of skills and knowledge are not acknowledged in the strategy.  Given that the program is for a cohort that has limited or no equine experience the reduced number of hours is not justified.</p>	<p><b>SIS30713 Certificate III in Sport Coaching</b> Review and revise the training strategy to ensure that the amount of training prescribed reflects practice and are consistent with the requirements of the VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</p>
<p><b>GF 4.1.3 Finding</b></p>	
<p><b>HLTAID003 Provide First Aid</b> – The amount of training described in the TAS is sufficient for a class size of 10 with two trainers carrying out assessment tasks.</p>	<p><b>Required Rectification(s)</b> N/A</p>



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<b>GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:</b>		<b>Non-Compliant</b>
<ul style="list-style-type: none"> <li>a) the existing skills, knowledge and the experience of the student;</li> <li>b) the mode of delivery; and</li> <li>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.</li> </ul> <ul style="list-style-type: none"> <li>• Training and assessment strategy – 22246VIC Certificate II in Equine Studies (two versions provided, September 2017 and 27 June 2018 [incomplete and still in draft])</li> <li>• Training and assessment strategy – 22246VIC Certificate II in Equine Studies [VETIS July 2016]</li> <li>• Training and assessment strategy – SIS30713 Certificate III in Sport Coaching (20/06/2018)</li> <li>• Training and assessment strategy – HLTAID003 Provide First Aid</li> <li>• Discussion with CEO</li> <li>• What is in a unit? (Brochure)</li> <li>• Sport Coaching (SBAT) (Brochure)</li> <li>• Equine studies (VETIS) (Brochure)</li> </ul>		
<b>GF 4.2.1 Finding</b>	<b>Required Rectification(s)</b>	
<p><b>22246VIC Certificate II in Equine Studies</b></p> <p>The curriculum indicates that the program should be over 0.5 to 1 years – full time. Equine studies program is stated to be between 406 – 410 hours over 1 or 2 years depending on the cohort. The hours are based on theory, practical and private study. However, private study is not necessarily directed time as not all units have workbooks which may include activities for students to do. If other activities are directed by the trainer these are not documented in the session plans. Therefore, these hours are unjustified. The allocation of hours does not differentiate between training hours and assessment hours. Additional hours that students may need for practice of skills and knowledge are not acknowledged in the strategy.</p> <p>Given that the program is for a cohort that has limited or no equine experience the reduced number of hours is not justified.</p>	<p><b>22246VIC Certificate II in Equine Studies</b></p> <p>Review and revise the training strategy to ensure that the amount of training prescribed reflects practice and the existing skills, knowledge and the experience of the student, mode of delivery and the qualification type.</p>	

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GF 4.2.2 Finding	Required Rectification(s)
<p><b>SIS30713 Certificate III in Sport Coaching</b> Strategy indicates that the program duration 45-50 weeks, with theory classes (2 hours) and a practical on Saturday (8 hours). The Brochure indicates that the program includes 6 hours of theory per week, and 7 hours of paid work in industry setting per week.</p> <p>The strategy does not estimate an amount of training, and it is not clear whether assessment is included in the hours specified. However, what can be deduced by the information is that the program is approximately 585 hours. There is no justification for reduced hours that would be expected at AQF level 3 (1 to 2 years). Additional hours that students may need for practice of skills and knowledge are not acknowledged in the strategy.</p> <p>Given that the program is for a cohort that has limited or no equine experience the reduced number of hours is not justified.</p>	<p><b>SIS30713 Certificate III in Sport Coaching</b> Review and revise the training strategy to ensure that the hours prescribed for training reflect practice and the existing skills, knowledge and the experience of the student, mode of delivery and the qualification type.</p>
GF 4.2.3 Finding	Required Rectification(s)
<p><b>HLTAID003 Provide First Aid</b> – The amount of training described in the TAS is sufficient for a class size of 10 with two trainers carrying out assessment tasks.</p>	<p>N/A</p>



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<b>GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation) of these Guidelines.</b>	N/A
<b>GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.</b>	N/A
<b>GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment:</b>  a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.	N/A
<b>GUIDELINE 4.6 - An RTO ensures that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 of these Guidelines and does not determine assessment outcomes.</b>	N/A
<b>GUIDELINE 4.7 - An application to add any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor) to an RTO's scope of registration has only be granted if an RTO has:</b>  a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3.	N/A
<b>GUIDELINE 5.1 - An RTO registered with the VRQA has provided an annual declaration of compliance with the AQTF Essential Conditions and Standards for Continuing Registration (the AQTF Standards) and these Guidelines, and in particular whether it:</b>  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	Not audited



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- 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.