

Audit Date: 26/27 February 2019

RTO: Harness Racing Industry Training Centre Board of Management Inc

Applicant Details			
Applicant Name	Harness Racing Industry Training Centre Board of Management Inc T/as Equine Industry Skills Centre, Harness Racing Training Centre, Racing Industry Skills Centre	TOID	22215
Address	Lords Raceway, Junortoun VIC 3551		
	Website	www.hrtcbendigo.com.au	
Registration Contact	Mr Leigh Graham		
Phone Number	(03) 5449 3590	Email	leigh.graham@hrtcbendigo.com.au
Audit Team			
Audit Firm	ShineWing Australia	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Leigh Graham, Executive Officer Stephen ?????
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.3, 3.4
2016 VRQA Guidelines Audited	1.3	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)	
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RTO Background			
<p>The racing industry in Victoria includes individual family owned properties and small businesses that operate as exercising horse farms (employing family members) for harness racing and larger stables where stable hands and horse handlers are employed.</p> <p>In 2018 Harness Racing Victoria identified that the harness racing industry employed approximately 660 drivers, 1,090 trainers and 1,150 stable hands.</p> <p>Harness Racing Victoria, as the Industry Association for the harness racing industry, sets standards for its members and has implemented a licensing requirement for all horse handlers. To obtain this licence all HRTC members are required to complete the animal welfare online training program which is mandatory for all licensed participants.</p>			

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The Harness Racing Industry Training Centre Board of Management (HRTC) was established in 1990 to provide a point of entry for anyone wishing to participate in the harness racing industry. The Centre was established at Bendigo because of the strength of the harness racing industry in the area and the willingness of the local horse trainers to assist with the development of the students.

Initially all enrolments in accredited training was through the Bendigo Regional Institute of TAFE, who entered into partnership agreements with the HRTC for the delivery of training.

The HRTC was registered as an RTO in 2010. Since becoming a RTO, the Centre has taken on both thoroughbred and greyhound racing training in partnership with Racing Victoria and Greyhound Racing Victoria whilst developing online training facilities for Racing Queensland, Harness Racing NSW and Harness Racing SA.

Up until 2010, HRTC delivered training and assessment services under auspiced arrangements with the Bendigo Institute of Technology (BRIT) by which BRIT enrolled all students and provided certificates at the end of training and HRTC delivered all the training and conducted the assessment activities, at its own training facilities.

The Centre has a state-of-the-art stable complex and maintains a team of horses for students to develop their practical skills. The horses are regularly raced providing valuable experience for the student group. In recent years the Centre has developed a strong online capability, delivering the knowledge aspects of its courses online.

The Centre works closely with Racing Victoria and has a partnership in place for the delivery of the Certificate IV apprenticeship program, to train their future jockeys. This involves only a small number of apprentices as Racing Victoria carefully selects only the most suitable candidates.

The strength of the HRTC is its strong hands-on training facility where students develop their horsemanship and build the skills necessary to train and drive harness horses.

The audit was conducted in the context of industry identified 'good practice' as identified in the following:

- ASQA Strategic Report - Training in Equine Programs in Australia
- Procedures for the delivery of Horse Industry Training
- Australian Horse Industry Council Code of Practice for the Horse Industry

These were made available to the industry following the conduct of a Strategic Industry Review by ASQA in 2014 following the tragic death of a young student in 2009 in a horse-riding accident during training at a Technical and Further Education (TAFE) New South Wales institute. The strategic review focused on a broad sample of qualifications and units to ensure adequate coverage across the key sectors of agriculture, racing, sport and recreation, and animal care and management. Audits also sought to cover both horse riding and horse handling in all settings given the complementarity of these skills and the injury rates in both riding and handling.

The team at HRTC are aware of these documents and have developed and implemented their own tools for reviewing safety and risk management, determining educator experience and qualifications, assessing horse suitability and assessment, reviewing participant safety, risk, responsibilities and ensuring animal welfare.

Each year the HRTC enrolls about 50 learners in the Certificate II Racing (Stablehand) qualification. This includes a number of VET in Schools students from Bendigo cluster schools (Girton, Catholic College, Iview and Maryborough) and people working on their family property and who wish to train horses and those employed by small businesses as horse handlers.

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About 50 learners are enrolled each year in the Certificate IV in Racing (Horse Trainer) and Certificate IV in Racing (Horse Jockey).

Training is delivered at three training locations: Bendigo, Melton and at Flemington, in partnership with Racing Victoria.

About 85% of enrolments are supported through Skills First funding, the remainder are fee for service enrolments.

Though training is delivered through face to face classes at the Bendigo Training Centre, increasingly training is organised to occur in individual workplaces, with the trainers/assessors working with learners at a worksite. The model of block release training at the Bendigo Training Centre has reduced in popularity amongst employers and the work place training model is preferential, providing for one on one training, assessment and support.

HRTC has, over the years, developed learning and assessment practices and resources to best accommodate the needs of learners, support trainers/assessors in coordinating and monitoring training, maintain progressive and accurate records and to retain documents and records.

Training and assessment is coordinated through an online, digital platform, which maintains all training and assessment resources and retains all completed assessments.

Trainers/assessors are proficient in maintaining records of workplace training and assessment activities and digital tablets which link to the HRTC main systems.

All records are maintained within the HRTC digital management system, including student progress and student results, completed assessments and evidence of satisfactory completion of assessment tasks and units competently completed.

The HRTC, as an Incorporated Association, is governed by a Board of Management and employs an Executive Officer to manage the RTO operations. The current Executive Officer has worked for HRTC in various capacities over the past 22 years and was appointed to the role of Executive Officer in late 2018.

The centre employs approximately 6 sessional trainers who are all people who work in the industry in different capacities, many owning their own stables, and includes a number of Board members.

Income is derived from two main sources, a funding contact for Skills First funding which includes about 85% of income and fee for service enrolments which includes about 15% of income.

Though the organisation has been quite profitable over the years, accumulating funds for future investments, the current financial situation of the organisation is not as profitable, and the organisation is looking at strategies for increasing income and increasing reserves for future investment.

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Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Sites
RGR20108	Certificate II in Racing (Stablehand) RGRPSH201A Handle horses RGRPSH209A Attend horses at race meetings and trials	Bendigo Melton Flemington Work sites across regional Victoria
RGR40108	RGR40108 Certificate IV in Racing (Racehorse Trainer) RGRPSH302A Supervise handling of horses RGRPSH301A Implement stable operations BSBSMB407A Manage a small team	Bendigo Melton Flemington Work sites across regional Victoria

Interviewee(s) – Staff name and position; employer name and position	
Leigh Graham	Trainer/Assessor: Certificate II in Racing (Stablehand) Certificate IV in Racing (Racehorse Trainer)
Clinton McSwain	Trainer/Assessor: Certificate II in Racing (Stablehand) Certificate IV in Racing (Racehorse Trainer)
Group of four students	VET in Schools: Certificate II in Racing (Stablehand)

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
Training is delivered at three locations: <ul style="list-style-type: none"> • Bendigo • Melton • Flemington (Third-party arrangement with Racing Victoria). 		

Third-party Arrangements –	Yes	No
Do the RTO's third-party arrangements match the information provided by the VRQA?	X	
A third-party arrangement had been entered into with Racing Victoria, who delivered the Certificate IV in Racing (Jockey) as an apprenticeship program.		

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

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(See Guideline 2)

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Audit Summary - AQTF Conditions of Registration

AQTF Conditions Place an X in the appropriate column		Compliant	Non - Compliant	Not audited
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation	X		
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	X		
7	Recognition of Qualifications Issued by other RTOs	X		
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses		X	
Summary of Non-Compliance²				
<p>CF.9.1 Though Harness Racing Industry Training Centre Board of Management Inc had maintained currency of qualifications on scope and had identified in a 2014 Internal Audit Report, requirements to identify that HRTC will transition from superseded Training Packages within 12 months of their publication on the TGA, this had not been actioned.</p>				

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

Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1	X		
1.1 – Continuous Improvement Strategy	X		
1.2 – Training and Assessment Strategies	X		
1.3 – Training and Assessment Resources	X		
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies	X		
Standard 2		X	
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services		X	
2.3 – Provision of Information to Clients	X		
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy	X		
Standard 3		X	
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations	X		
3.3 – Third-Party Training and/ or Assessment Services		X	
3.4 – Records Management	X		
Summary of Non-Compliance³			
SF.2.2.1			
Harness Racing Industry Training Centre Board of Management Inc had not implemented a strategy that has systematically collected data for the continuous improvement of client services to enable the analysing and acting upon relevant information to ensure that student services met student needs.			
SF.3.3.1			
Harness Racing Industry Training Centre Board of Management Inc had entered into an agreement with Racing Victoria who delivers training on its behalf. Evidence that HRTC monitored training and/or assessment services provided by Racing Victoria, to ensure that it complied with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration and VRQA Guidelines for RTOs 2016, was not provided. The agreement referred to National Training Authority.			

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

Audit Summary – 2016 VRQA Guidelines for VET Providers

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

Summary of Non-Compliance⁴

GF.2.2.1

Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. The Agreements had not included:

- An RTO must ensure that any third-party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:
 - a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
 - b) for the purposes of the conduct of any audit or monitoring of its operations.

GF.2.3.1

Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. The RTO had not notified the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:

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

GF.2.4.1

Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. The RTO had not ensured that information, whether disseminated directly by the RTO or by another party on its behalf, was both accurate and factual, including by:

- a) clarifying whether a third-party is recruiting prospective students for an RTO on its behalf.

GF.2.5.1

Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. The RTO had not ensured that prior to the enrolment of students or the commencement of training and assessment, whichever comes first, the RTO will provide, in print or through referral to an electronic copy, current and accurate information that:

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

GF.2.6.1

Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. Procedures for managing third-party agreements did not include that where there were any changes to agreed services, Harness Racing Industry Training Centre Board of Management Inc would advise 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.

GF.2.7.1

Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. The RTO had not included in its procedures a complaints policy to manage and respond to allegations involving the conduct of a third-party providing services on the RTO's behalf, its trainers, assessors or other staff; or

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

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GF.2.8.1

Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. The Appeals Policy did not identify how a request could be made for the review of a decision, including an assessment decision, a third-party providing services on the RTO's behalf.

GF.4.2.1

Harness Racing Industry Training Centre Board of Management Inc had identified a duration for each qualification reviewed, however it had not determined the amount of training it provided to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.

Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration Audit.		
CF.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit.	N/A
Improvement Opportunities		
Summary of improvement opportunities relating to condition 1		
CONDITION 2 - Interactions with the Registering Body		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration Audit.		
CF. 2	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit.	N/A
Improvement Opportunities		
Summary of improvement opportunities relating to condition 2		

CONDITION 3 - Compliance with Legislation		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Handbook – A Guide to Training and Assessment for: <ul style="list-style-type: none"> • Students • Employers • Trainees and Apprentices • Staff • RTO compliance documentation checklist. • New employee/engaged person or refresher for existing employee/engaged person induction procedures. • Apprenticeship and traineeship information. • Privacy information included on the Enrolment Form. 		
CF.3.1	Finding	Required Rectification(s)
	<p>Harness Racing Industry Training Centre Board of Management Inc had identified and implemented relevant Commonwealth, State or Territory legislation and regulatory requirements that were relevant to its operations and its scope of registration. It ensured that its staff and clients were fully informed of these requirements that affected their duties or participation in vocational education and training through the Student Handbook.</p>	N/A

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CONDITION 4 - Insurance		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration audit.		
CF. 4	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A
Improvement Opportunities		
Summary of improvement opportunities relating to condition 4		

CONDITION 5 - Financial Management		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration audit.		
CF. 5	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A
Improvement Opportunities		
Summary of improvement opportunities relating to condition 5		

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CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Sample of issued Certificate 9/1/2019. Certificate No. 01830. • Sample of Statement of Results. Statement Certificate No 01831. • Sample Statement of Attainment. • Testamurs included in the files of sampled student completed assessments • Record management procedures • Samples within VETtrak Student Data Management System. • VETtrak student data management system entries. • SVTS Monthly reporting - AVETMISS data. • Sample of VETtrak student records and progress. • Compliance plan. • Enrolment Form – AVETMISS data • Sample of VETtrak records – monthly SVTS reporting. • Enrolment Form - USI number. 		
CF.6.1	Finding	Required Rectification(s)
	<p>Harness Racing Industry Training Centre Board of Management Inc had issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF) TGA. The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.</p>	N/A

CF.6.2	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years.	N/A
CF.6.3	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc had a student records management system in place that had the capacity to provide the registering body with AVETMISS compliant data.	N/A
CF.6.4	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2018 through monthly SVTS reporting.	N/A
CF.6.5	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc met the requirements for implementation of a national unique student identifier.	N/A

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CONDITION 7 - Recognition of Qualifications Issued by other RTOs		Compliant
Evidence/Documentation Reviewed		
<p>Handbook – A guide to Training and Assessment for:</p> <ul style="list-style-type: none"> • Students • Employers • Trainees and Apprentices • Staff 		
CF.7.1	Finding	Required Rectification(s)
	<p>Harness Racing Industry Training Centre Board of Management Inc had procedures in place for the recognition of AQF Qualifications and Statements of Attainment issued by any other RTO. Students were informed in the Student Handbook 2019.</p>	N/A

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CONDITION 8 - Accuracy and Integrity of Marketing		Compliant
Evidence/Documentation Reviewed		
Website: Course information <ul style="list-style-type: none"> • RGR20108 Certificate II in Racing (Stablehand) • RGR40108 Certificate IV in Racing (Racehorse Trainer) 		
CF.8.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc had ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration. The NRT logo was employed in accordance with its conditions of use.	N/A

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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses		Non-Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Curriculum Maintenance Register • Internal audit report 2014 		
CF.9.1	Finding	Required Rectification(s)
	Though Harness Racing Industry Training Centre Board of Management Inc had maintained currency of qualifications on scope and had identified in a 2014 Internal Audit Report, requirements to identify that HRTC will transition from superseded Training Packages within 12 months of their publication on the TGA, this had not been actioned.	Harness Racing Industry Training Centre Board of Management Inc is to identify in its procedures that HRTC will transition from superseded Training Packages within 12 months of their publication on the TGA.

Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Samples of: <ul style="list-style-type: none"> • Student unit feedback • Completed QI indicator student surveys • Continuous Improvement Register items 1/5/2013 – 10/10/2018. • Analysis tables of feedback received – internal survey. 		
SF.1.1.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc had provided evidence that it collected, analysed and acted on relevant data for continuous improvement of training and assessment	N/A
Improvement Opportunities		
<p>Harness Racing Industry Training Centre Board of Management Inc. would benefit by developing a Continuous Improvement Register that includes:</p> <ul style="list-style-type: none"> • source of feedback • identified issue • actions implemented • intended date for review of the effectiveness of actions implemented 		

ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Learning and assessment strategies for the following qualifications: <ul style="list-style-type: none"> • RGR20108 Certificate II in Racing (Stablehand) • RGR40108 Certificate IV in Racing (Racehorse Trainer) • Student course information • Digital platform – delivery sequence and learning and assessment requirements. 		
SF.1.2.1	Finding	Required Rectification(s)
	Strategies for training and assessment met the requirements of the relevant Training Package or accredited course and were developed in consultation with industry.	N/A
Improvement Opportunities		
Harness Racing Industry Training Centre Board of Management Inc. would benefit by including in the Training and Assessment strategies, a rationale for the amount of training delivered in each qualification, taking into account the experience of learners.		

<p>ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Staff, facilities, equipment and training and assessment materials for the following qualifications:</p> <ul style="list-style-type: none"> • RGR20108 Certificate II in Racing (Stablehand) • RGR40108 Certificate IV in Racing (Racehorse Trainer) <p>RGR20108 Certificate II in Racing (Stablehand) Unit: <i>RGRPSH209A Attend horses at race meetings and trials</i> Listing of specific resources for each unit. Sighted online learning resource and questions assessment. Template assessment tasks</p> <p>RGR40108 Certificate IV in Racing (Racehorse Trainer) Units: <i>RGRPSH302A Supervise handling of horses</i> <i>RGRPSH301A Implement stable operations</i> <i>BSBSMB407A Manage a small team</i> Listing of specific resources for each unit:</p> <ul style="list-style-type: none"> • Online learning resource and questions assessment. • Template assessment tasks <p>Trainer/assessor information (See Standard 1.4).</p> <p>Facilities and equipment:</p> <ul style="list-style-type: none"> • Training facilities at HRTC in Bendigo which included: <ul style="list-style-type: none"> • Two classrooms 	

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- Horse stables
- Equipment store
- Holding yards
- Exercise and show circle
- Racing track
- Separate male and female changing facilities, shower area and toilets
- Administrative offices

SF.1.3.1	Finding	Required Rectification(s)
	Staff, facilities, equipment and training and assessment materials used by the RTO were consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies. Adequate facilities were available small group training, consist with the RTO enrolment numbers.	N/A

<p>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>		Compliant
<p>Evidence/Documentation Reviewed</p> <p>Trainer/assessor information for the following qualifications:</p> <ul style="list-style-type: none"> • RGR20108 Certificate II in Racing (Stablehand) • RGR40108 Certificate IV in Racing (Racehorse Trainer) • First Aid 		
SF.1.4.1	Finding	Required Rectification(s)
	<p>Training and assessment was delivered by six sessional (including one first aid trainer) trainers and assessors who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed, could demonstrate current industry skills directly relevant to the training/assessment being undertaken and continued to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	N/A

<p>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL): a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Assessment strategies for the following qualifications:</p> <ul style="list-style-type: none"> • RGR20108 Certificate II in Racing (Stablehand) • RGR40108 Certificate IV in Racing (Racehorse Trainer) <p>RGR20108 Certificate II in Racing (Stablehand) Units: RGRPSH201A Handle horses Sample of student files – completed assessments:</p> <ul style="list-style-type: none"> • Rhianna Campbell, Assessor: Ken Tippet 12/4/2018 • Tijana James, Assessor Clinton Swain, Feb 2018 • Teale Leahy, Assessor Clinton Swain, Feb 2018, completed assessment and comments. The template form had not been completed. • Chelsea Trothero, Assessor Vicky 3/4/2018 • Isabella Wyneen, Assessor Clinton, Feb 2018 <p>RGRPSH209A Attend horses at race meetings and trials</p>	

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Sample of student files – completed assessments:

- Rhianna Campbell, Assessor: Ken Tippet 12/4/2018
- Tijana James, Assessor Clinton Swain, Feb 2018
- Teale Leahy, Assessor Clinton Swain, Feb 2018, completed assessment and comments. The template form had not been completed.
- Chelsea Trothero, Assessor Vicky 3/4/2018
- Isabella Wyneen, Assessor Clinton, Feb 2018

RGR40108 Certificate IV in Racing (Racehorse Trainer)

Units:

RGRPSH302A Supervise handling of horses

Assessment tasks:

- Assignment
- Online quiz
- Skills assessment

Sample of student files – completed assessments:

Students - Terang group

- Chelsea Trothero, Assessor: Vicky Jul 2018
- Robert Curukovski, Assessor: Vicky 24 May 2016
- Jackie Arrundel, Assessor: Leigh Graham Aug 2018
- Elly Jefferies, Assessor: Leigh Graham Jul 2018
- Nicholas O Connor, Assessor: Leigh Graham Dec 2018

RGRPSH503A Trail and race horses

Assessment tasks:

- Assignment
- Online quiz
- Skills assessment

Students - Terang group

- Chelsea Trothero, Assessor: Vicky Jul 2018
- Robert Curukovski, Assessor: Vicky 24 May 2016

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- Jackie Arrundel, Assessor: Leigh Graham Aug 2018
- Elly Jefferies, Assessor: Leigh Graham Jul 2018
- Nicholas O Connor, Assessor: Leigh Graham Dec 2018

RGR40108 Certificate IV in Racing (Racehorse Trainer)

Unit:

RGRPSH302A Supervise handling of horses

Assessments:

- Assignment
- Online assessment
- Skills assessment (IPad skill assessment record)

Sample of student files – completed assessments:

- Laura Mathews, Assessor: Clinton May 2018
- Brent Bumfield, Assessor: Clinton Nov 2018
- Brian Werrner, Assessor: John Randle Aug 2018
- Emma Church, Assessor: Leigh Graham Dec 2018
- Kirra Fitzgergerald, Assessor: John Randle May 2017

RGRPSH503A Trail and race horses

Assessments:

- Assignment
- Online quiz
- Skills assessment (IPad skill assessment record)

Sample of student files – completed assessments:

- Kirra Fitzgergerald, Assessor: John Randle May 2017
- Emma Church, Assessor: Leigh Graham Jan 2019
- Braddy Cross, Assessor: Leigh Graham Sep 2017
- Dominika Jrijkloba, Assessor: Leigh Graham May 2018
- James Kitchen, Assessor: Leigh Graham, re-submit Dec 2017

Validation Schedule 2018 – 2023
Samples of unit validations conducted.

SF.1.5.1	Finding	Required Rectification(s)
	Assessments, including Recognition of Prior Learning (RPL), met the requirements of the relevant qualifications and were conducted in accordance with the principles of assessment and the rules of evidence, met the workplace regulatory requirements and were systematically validated.	N/A

Improvement Opportunities

Harness Racing Industry Training Centre Board of Management Inc. would benefit by, in addition to maintaining digital records of student assessment tasks satisfactorily completed, also maintaining:

- A unit assessment outcome sheet for each unit completed by a student, that identifies for the unit:
 - the assessment tasks satisfactorily completed
 - that the student is deemed competent for the unit, based on the satisfactory completion of the assessment tasks
 - confirmed by the trainer/assessor with a signature and date.
 This could also include the provision for a student confirmation, that the student had received the outcome and feedback on the assessments completed.
- A qualification outcome sheet for each qualification completed by a student that identifies, for the qualification, the units competently completed and that the student has completed the requirements for the qualification, confirmed by the trainer/assessor with a signature and date.

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Pre-enrolment on line information. • Completed Enrolment Forms for student files sampled. • Code of Practice: Student Welfare, Guidance and Support. • HRTC student information - fees and charges course content, outcomes and assessment procedures. • Student Handbook – Mentoring - pairing with a mentor for one to one support, assisting with answers, feedback and performance. • Progress monitoring records maintained in VETtrak. • VETtrak example of student support provided (Stephanie Moody 5/5/2014). 		
SF.2.1.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc had established the needs of clients and delivered services to meet these needs.	N/A
Improvement Opportunities		
<p>CF6.3 Harness Racing Industry Training Centre Board of Management Inc would benefit from conducting a pre-training interview to identify level of speaking skills.</p>		

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Non-Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> VETtrak monitoring tool for sending out surveys on how the student was finding the course – not purchased yet. 		
SF.2.2.1	Finding	Required Rectification(s)
	<p>Harness Racing Industry Training Centre Board of Management Inc had not implemented a strategy that has systematically collected data for the continuous improvement of client services to enable the analysing and acting upon relevant information to ensure that student services met student needs.</p>	<p>Harness Racing Industry Training Centre Board of Management Inc is required to develop and implement a strategy that will systematically collect data for the continuous improvement of client services to enable the analysis and acting upon relevant information to ensure that student services met student needs.</p>
Improvement Opportunities		
<p>Harness Racing Industry Training Centre Board of Management Inc would benefit by exploring effective feedback strategies, relevant to its learners, such as conducting period focus groups of students to discuss any student support services that they or their colleagues may have accessed, how effective these were, how they may be improved and any additional services that may be introduced.</p>		

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2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Phone enquiries • Information sessions • Induction sessions • Enrolment forms • Website: Course information <ul style="list-style-type: none"> • RGR20108 Certificate II in Racing (Stablehand) • RGR40108 Certificate IV in Racing (Racehorse Trainer) • Student interviews • Staff interview 		
SF.2.3.1	Finding	Required Rectification(s)
<p>Harness Racing Industry Training Centre Board of Management Inc had provided sufficient information, before students enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.</p>		N/A

2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Harness Racing Industry – industry consultation records. • Apprentices and traineeship employers – trainer communications with employers and feedback. • RTO Industry Advisory Board – minutes of meetings. 		
SF.2.4.1	Finding	Required Rectification(s)
The employer contributed significantly to each learner's training and assessment and were engaged in the development and monitoring of training and assessment.		N/A
Improvement Opportunities		
<p>Harness Racing Industry Training Centre Board of Management Inc would benefit by maintaining a register of industry consultation input received that identifies:</p> <ul style="list-style-type: none"> • The name, position and organisation of the source of input. • Date input was received. • The feedback provided. • How this information has contributed to the development of the Training and Assessment Strategy. 		

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2.5 - Learners receive training, assessment and support services that meet their individual needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Examples of support on VETtrak. • Students interviewed. • Student files reviewed 		
SF.2.5.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs.	N/A

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2.6 - Learners have timely access to current and accurate records of their participation and progress.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Code of Practice • Records Management and Student Access to Personal Records 		
SF.2.6.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress.	N/A

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"> • Student Handbook • Complaints and Grievances Procedure • Code of Practice • Example of complaint processed and resolved • Complaints Register – one entry 		
SF.2.7.1	Finding	Required Rectification(s)
<p>Harness Racing Industry Training Centre Board of Management Inc provided appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. The complaints and appeals procedures included procedures for students to appeal a complaints decision and the source for an independent external mediator was identified.</p>		N/A

Improvement Opportunities	
<p>Harness Racing Industry Training Centre Board of Management Inc would benefit by:</p> <ul style="list-style-type: none"> • Reviewing all documentation that refers to complaints, grievances and appeals to ensure that consistent terminology is applied in each source. • Identifying in the Complaints and Appeals Procedures and information for students the VRQA complaints procedures that students are able to access. 	

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3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Quality Management System • Policies and Procedures • Excel spreadsheets with step by step procedures of what to do – staff information. • Examples of implementation. • Student Agreement • Course information 		
SF.3.1.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc management of its operations ensured clients received the services detailed in their agreement with the RTO.	N/A

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3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.		Compliant
<ul style="list-style-type: none"> • Internal audit report from thorough internal audit conducted 2014. • RTO site map identified information available and the supporting resources. • Document identifying Conditions, Standards and Guidelines and the documentation related to each. • Review criteria for 2017, focus on AQTF. • Newbury template completed in 2018. • SVTS internal audit report 2018. 		
SF.3.2.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc used a systematic and continuous improvement approach to the management of operations.	N/A

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.		Non-compliant
Agreement with Racing Victoria for 2018.		
SF.3.3.1	Finding	Required Rectification(s)
<p>Harness Racing Industry Training Centre Board of Management Inc had entered into an agreement with Racing Victoria who delivered training on its behalf. Evidence that HRTC monitored training and/or assessment services provided by Racing Victoria, to ensure that it complied with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration was not provided. The agreement referred to National Training Authority.</p>		<p>Harness Racing Industry Training Centre Board of Management Inc is required to implement arrangements for the management of third-party arrangements, consistent with the requirements outlined in Guideline 2.</p>

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3.4 - The RTO manages records to ensure their accuracy and integrity.		Compliant
<ul style="list-style-type: none"> Records management procedures and implementation. Samples of records in the VETtrak Student Data Management System Samples of information maintained in the HRTC digital platform. 		
SF.3.4.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc managed records to ensure their accuracy and integrity.	N/A

Detailed Findings – 2016 VRQA Guidelines for VET Providers

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

**Not Audited in
Phase 2 audit**

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

Not audited as part of this re-registration audit.

GF 1.1	Finding	Required Rectification(s)
	Not audited as part of this re-registration audit.	N/A

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<p>GUIDELINE 1.2 - An RTO demonstrates its financial viability and its capacity to sustain quality VET into the future by ensuring it has a three year financial plan that includes:</p> <ul style="list-style-type: none"> a) projected student enrolments by qualifications b) a range of financial indicators, including <ul style="list-style-type: none"> i. cash flow ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1) iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1) c) the VET provider shows that it has a financial guarantor with the capacity to service the guarantee and/or to demonstrate sufficient working capital to operate for at least 6 months without tuition fees. d) details about whether any person involved in the management or provision of courses by the RTO meets any of the descriptions listed in section 4.3.11(2) of the Act. 		<p>Not audited in Phase 2 audit</p>
<p>Not audited as part of this re-registration audit.</p>		
GF 1.2	Finding	Required Rectification(s)
	<p>Not audited as part of this re-registration audit.</p>	<p>N/A</p>

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<p>GUIDELINE 1.3 - An RTO ensures that it has management systems that include:</p> <ul style="list-style-type: none"> a) management information including: <ul style="list-style-type: none"> I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds) II. a physical address of the company in Victoria for the purposes of serving notices III. details of the directors, CEO/PEO and senior management members with associated police checks and Working With Children Checks if students are under 18 years of age IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria V. contact arrangements for the CEO/PEO including during holidays and other closure periods VI. a physical 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 <ul style="list-style-type: none"> I. not able to be withheld from the RTO; and II. able to be provided in electronic and print versions, at no cost to the VRQA in the event that the VET provider ceases operations d) a staff records management system including arrangements which ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills. 		<p>Not audited</p>
<p>Not audited as part of this re-registration audit.</p>		
GF 1.3.1	Finding	Required Rectification(s)
	<p>Not audited as part of this re-registration audit.</p>	<p>N/A</p>

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<p>GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:</p> <ul style="list-style-type: none"> a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that: <ul style="list-style-type: none"> i. for an RTO with anticipated ongoing operation of less than 150 equivalent full time students or an annual student fee turnover of less than \$1.5m per annum, persons are appointed with suitable qualifications and experience; and ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience. 		<p>Not audited in Phase 2 audit</p>
<p>Not audited as part of this re-registration audit.</p>		
GF 1.4	Finding	Required Rectification(s)
<p>Not audited as part of this re-registration audit.</p>		<p>N/A</p>

<p>GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.</p> <ul style="list-style-type: none"> • A <i>third party</i> means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO. • <i>Services</i> mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services. 		Compliant
<ul style="list-style-type: none"> • Agreement entered into with Racing Victoria 2018. 		
GF 2.1.1	Finding	Required Rectification(s)
<p>Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications, units or courses.</p>		<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> <p>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>		<p>Non-Compliant</p>
<ul style="list-style-type: none"> Third-party agreement entered into between Harness Racing Industry Training Centre Board of Management Inc and Racing Victoria 2018 		
GF 2.2.1	Finding	Required Rectification(s)
	<p>Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications, units or courses. The Agreements had not included:</p> <ul style="list-style-type: none"> An RTO must ensure that any third-party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA: <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>Harness Racing Industry Training Centre Board of Management Inc is required to review modified agreements with third-parties that includes that: Harness Racing Industry Training Centre Board of Management Inc will ensure that any third-party delivering services on its behalf is aware of its requirements, under the 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>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> <p>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>		<p>Non-Compliant</p>
<p>Third-party agreement entered into between Harness Racing Industry Training Centre Board of Management Inc and Racing Victoria 2018.</p>		
GF 2.3.1	Finding	Required Rectification(s)
	<p>Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. The RTO had not notified the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:</p> <p>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>	<p>Harness Racing Industry Training Centre Board of Management Inc is required to notify the VRQA of all written agreements entered into under Guideline 2.2 for the delivery of services on its behalf.</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>Non-Compliant</p>
<p>Third-party agreement entered into between Harness Racing Industry Training Centre Board of Management Inc and Racing Victoria 2018.</p>		
<p>GF 2.4.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. The RTO had not ensured that information, whether disseminated directly by an RTO or by another party on its behalf, was 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>Harness Racing Industry Training Centre Board of Management Inc is required to ensure that 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.

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<p>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO t provides, in print or through referral to an electronic copy, current and accurate information that:</p> <ul style="list-style-type: none"> a) enables the student to make informed decisions about undertaking training with the RTO and b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf 		<p>Non-Compliant</p>
<p>Third-party agreement entered into between Harness Racing Industry Training Centre Board of Management Inc and Racing Victoria 2018.</p>		
<p>GF 2.5.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. The RTO had not ensured that prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO must provide, in print or through referral to an electronic copy, current and accurate information that:</p> <ul style="list-style-type: none"> a) enables the student to make informed decisions about undertaking training with the RTO and b) (at a minimum) includes the name and contact details of any third-party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf 		<p>Harness Racing Industry Training Centre Board of Management Inc is required to ensure that prior to the enrolment of students or the commencement of training and assessment, whichever comes first, it provides, in print or through referral to an electronic copy, current and accurate information that:</p> <ul style="list-style-type: none"> a) enables the student to make informed decisions about undertaking training with the RTO and b) (at a minimum) includes the name and contact details of any third-party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf

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.		Non-Compliant
Third-party agreement entered into between Harness Racing Industry Training Centre Board of Management Inc and Racing Victoria 2018.		
GF 2.6.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. Procedures for managing third-party agreements did not include that where there were any changes to agreed services, Harness Racing Industry Training Centre Board of Management Inc would advise 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.	Harness Racing Industry Training Centre Board of Management Inc is required to include in procedures for managing third-party agreements that where there are any changes to agreed services, Harness Racing Industry Training Centre Board of Management Inc will advise 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.

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<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; or c) a student of the RTO. 		<p>Non-Compliant</p>
<p>Third-party agreement entered into between Harness Racing Industry Training Centre Board of Management Inc and Racing Victoria 2018.</p>		
<p>GF 2.7.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. The RTO had not included in its procedures 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; or c) a student of the RTO. 		<p>Harness Racing Industry Training Centre Board of Management Inc is required to include in its procedures 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; or c) a student of the RTO

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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.		Non-Compliant
Third-party agreement entered into between Harness Racing Industry Training Centre Board of Management Inc and Racing Victoria 2018.		
GF 2.8.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc had entered into third-party agreements for the delivery and assessment of qualifications. The Appeals Policy did not identify how a request could be made 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.	Harness Racing Industry Training Centre Board of Management Inc is required to identify how a request can be made 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.

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<p>GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:</p> <ul style="list-style-type: none"> a) vocational competencies at least to the level being delivered and assessed; b) current industry skills directly relevant to the training and assessment being provided; and c) current knowledge and skills in vocational training and learning that informs their training and assessment. <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		Compliant
<p>See Standard 1.4</p>		
GF 3.1.1	Finding	Required Rectification(s)
	<p>A review of trainer/assessor information confirmed that training and assessment was conducted by trainers/assessors who had vocational competencies at least to the level being delivered and assessed, current industry skills directly relevant to the training and assessment being provided, and current knowledge and skills in vocational training and learning that informed their training and assessment.</p>	<p>N/A</p>

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

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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.		Not audited
Harness Racing Industry Training Centre Board of Management Inc does not provide assessment only services.		
GF 3.3.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc does not provide assessment only services.	N/A

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GUIDELINE 3.4 Where the RTO, in delivering training and assessment, engages an individual who is not a qualified trainer and/or assessor, the individual works under the supervision of a qualified trainer and/or assessor and must not determine assessment outcomes.		Not audited
<p>Harness Racing Industry Training Centre Board of Management Inc does not have trainers/assessors working under supervision.</p>		
GF 3.4.1	Finding	Required Rectification(s)
<p>Harness Racing Industry Training Centre Board of Management Inc does not have trainers/assessors working under supervision.</p>		<p>N/A</p>

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GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:		Not audited
<ul style="list-style-type: none"> a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines; b) has vocational competencies at least to the level being delivered and assessed; and c) has current industry skills directly relevant to the training and assessment being provided. 		
Harness Racing Industry Training Centre Board of Management Inc does not have trainers/assessors working under supervision.		
GF 3.5.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc does not have trainers/assessors working under supervision.	N/A

Audit Date: 26/27 February 2019

RTO: Harness Racing Industry Training Centre Board of Management Inc

<p>GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</p>		<p>Compliant</p>
<p>See Standard 1.2</p>		
<p>GF 4.1.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>Harness Racing Industry Training Centre Board of Management Inc training and assessment strategies and practices, including the amount of training it provided, were consistent with the requirements of the Training Packages and enabled each student to meet the requirements for each unit of competency in which the student was enrolled and a rationale for this amount of training was provided.</p>		<p>N/A</p>

Audit Date: 26/27 February 2019

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<p>GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:</p> <ul style="list-style-type: none"> a) the existing skills, knowledge and the experience of the student; b) the mode of delivery; and c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification. 		Non-Compliant
<p>See Standard 1.2</p>		
GF 4.2.1	Finding	Required Rectification(s)
	<p>Harness Racing Industry Training Centre Board of Management Inc had identified a duration for each qualification reviewed, however it had not determined the amount of training it provided to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.</p>	<p>Harness Racing Industry Training Centre Board of Management Inc is required to determine the amount of training it provides to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.</p>

Audit Date: 26/27 February 2019

RTO: Harness Racing Industry Training Centre Board of Management Inc

<p>GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation) of these Guidelines.</p>		<p>Not audited</p>
<p>Harness Racing Industry Training Centre Board of Management Inc does not deliver a qualification or assessor skill set from the Training and Education Training Package.</p>		
<p>GF 4.3.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>Harness Racing Industry Training Centre Board of Management Inc does not deliver a qualification or assessor skill set from the Training and Education Training Package.</p>		<p>N/A</p>

Audit Date: 26/27 February 2019

RTO: Harness Racing Industry Training Centre Board of Management Inc

<p>GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.</p>		<p>Not audited</p>
<p>Harness Racing Industry Training Centre Board of Management Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>		
GF 4.4.1	Finding	Required Rectification(s)
<p>Harness Racing Industry Training Centre Board of Management Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>		<p>N/A</p>

Audit Date: 26/27 February 2019

RTO: Harness Racing Industry Training Centre Board of Management Inc

<p>GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment:</p> <p>a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.</p>		<p>Not audited</p>
<p>Harness Racing Industry Training Centre Board of Management Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>		
GF 4.5.1	Finding	Required Rectification(s)
	<p>Harness Racing Industry Training Centre Board of Management Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>	<p>N/A</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.		Not audited
Harness Racing Industry Training Centre Board of Management Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
GF 4.6.1	Finding	Required Rectification(s)
	Harness Racing Industry Training Centre Board of Management Inc does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A

Audit Date: 26/27 February 2019

RTO: Harness Racing Industry Training Centre Board of Management Inc

<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; and b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3. 		Not audited
<p>Not audited as part of this Re-registration Audit.</p>		
GF 4.7	Finding	Required Rectification(s)
<p>Not audited as part of this Re-registration Audit.</p>		N/A
Improvement Opportunities		
<p>Summary of improvement opportunities relating to Guideline 4.7</p>		

<p>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:</p> <ul style="list-style-type: none"> a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and c) has training and assessment strategies and practices in place that ensure that all current and prospective students are or will be trained and assessed in accordance with the requirements of the AQTF Standards and these Guidelines. 		Not audited
<p>Not audited as part of this Re-registration Audit.</p>		
GF 5.1	Finding	Required Rectification(s)
<p>Not audited as part of this Re-registration Audit.</p>		N/A
Improvement Opportunities		

Summary of improvement opportunities relating to Guideline 5.1