

Audit report – VET Quality Framework

Continuing registration as a national VET regulator (NVR) registered training organisation

ORGANISATION DETAILS

| | |
|---------------------------|---|
| Organisation's legal name | REGIONAL TRAINING SERVICES QLD PTY LTD |
| Trading name/s | Regional Training Services Qld |
| RTO number | 40702 |
| CRICOS number | n/a |

AUDIT TEAM

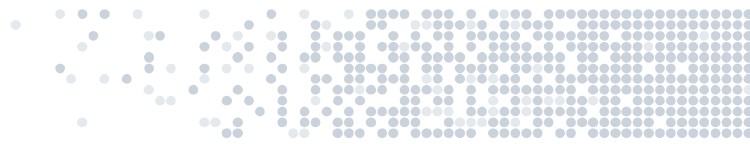
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| Lead auditor | Emma Betts |
| Auditor/s | Karen Noble |
| Technical adviser/s | n/a |

AUDIT DETAILS

| | |
|----------------------------------|---|
| Application number/s | n/a |
| Audit number/s | 1004219 |
| Audit reason 1 | Post initial |
| Audit reason 2 | n/a |
| Audit reason 3 | n/a |
| Activity type | Site visit |
| Address of site/s visited | 123 Mary Street GYMPIE QLD 4570 |
| Date/s of audit | 27-28 August 2014 |
| Organisation's contact for audit | David Asher Managing Director davidasher@regionaltrainingqld.com.au 07 5481 2489 |
| NVR standards audited | Selected Standards for Continuing Registration: 15, 16, 17, 18, 20.2, 21.1, 22.2, 22.3, 23.1, 24.1, 25 |

BACKGROUND

- Regional Training Services Qld was first registered as a training organisation on 21 July 2013.
- The organisation is owned and operated by three Directors; Mr David Asher (Chief Executive), Ms Rhonda Acworth (Director of Operations), and Ms Jennifer Eddy (Director of Training). In total, the organisation employs eight staff, of which three are contract trainers and assessors.
- The organisation delivers full qualifications and individual units of competency.
 - Those individual units are offered in the areas of food safety, barista, responsible services of



alcohol and gambling, first aid, and white card. Some of these competencies are not on the organisation's own scope and are delivered under a partnership arrangement with RTO 90909 Allens Training Pty Ltd.

- The organisation also delivers TAE40110 Certificate IV in Training and Assessment, which is not on its scope of registration, under a partnership arrangement with RTO 90731 Target Training.
- Core clients are entry level students such as school leavers and people returning to work. The organisation has a strong relationship with local Job Services Agencies (JSAs), and develops and regularly amends each course structure in consultation with the JSAs.
- When delivery is undertaken in a classroom setting, it is generally offered from the organisation's premises in Gympie. The organisation then utilises facilities provided by local businesses for simulated workplace training and assessment, supplemented with workplace experience.
- The organisation accesses Queensland state government funding (Certificate 3 Guarantee), and funding by Construction Skills Queensland. The majority of students enrolled in full qualifications are studying through funding arrangements.
- As the organisation does not deliver under a partnership arrangement, where training and assessment is delivered on the organisation's behalf, SNR 17.3 was not audited. Also, as the organisation does not deliver accredited courses, SNR 25.2 was not audited.

Total number of current enrolments in RTO as at audit date:

- 117

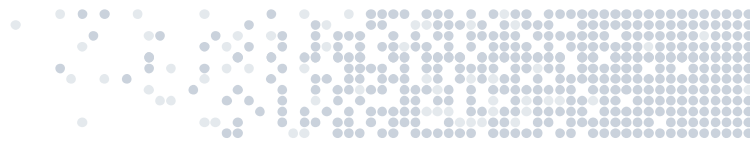
AUDIT SAMPLE

| Code | Qualification/Course/Unit name | Mode/s of delivery/assessment* | Current enrolments (If not yet on scope, record N/A) |
|------------|--|--------------------------------|---|
| BSB20112 | Certificate II in Business | Face to face | 38 |
| BSB30412 | Certificate III in Business Administration | Face to face | 34 |
| BSB41412 | Certificate IV in Work Health and Safety | Workplace | 30 |
| SIR20212 | Certificate II in Retail Services | Face to face | 9 |
| SIR30212 | Certificate III in Retail Operations | Face to face | 0 |
| SIT30713 | Certificate III in Hospitality | Face to face | 0 |
| SITHGAM201 | Provide responsible gambling services | Face to face | 0 |

*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES

| Name | Position | Qualification/Course/Unit code/s |
|----------------|------------------------|--|
| David Asher | Chief Executive | BSB20112, BSB30412 |
| Rhonda Acworth | Director of Operations | n/a |
| Jennifer Eddy | Director of Training | BSB41412, SIR20212, SIR30212, SIT30713 |
| Karen Dunstan | Trainer and Assessor | BSB20112, BSB30412, BSB41412 |



ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 28/08/2014: Significant non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 22/10/2014: Compliant

AUDIT FINDING BY STANDARD

| Standard | Original finding | Finding following rectification |
|------------|------------------|---------------------------------|
| SNR 15 | Not compliant | Compliant |
| SNR 16 | Compliant | n/a |
| SNR 17 | Compliant | n/a |
| SNR 18 | Not compliant | Compliant |
| SNR 19 | Not audited | n/a |
| SNR 20 | Compliant | n/a |
| SNR 21 | Compliant | n/a |
| SNR 22 | Compliant | n/a |
| SNR 23/AQF | Compliant | n/a |
| SNR 24 | Not compliant | Compliant |
| SNR 25 | Compliant | n/a |



| | |
|---------------|--|
| SNR 15 | The NVR registered training organisation provides quality training and assessment across all of its operations, as follows: |
|---------------|--|

| | |
|-------------|--|
| 15.1 | The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment. |
|-------------|--|

Original finding: Compliant

Following rectification: n/a

| | |
|-------------|---|
| 15.2 | Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry. |
|-------------|---|

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

BSB20112 Certificate II in Business

BSB30412 Certificate III in Business Administration

BSB41412 Certificate IV in Work Health and Safety

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, the organisation provided a Delivery and Assessment Plan as its strategy for training and assessment. Each Plan has been developed using a template document and each is identified as Version March 2013. As the Plans are similar in content, the findings are consistent.
- The strategies do not provide accurate information to demonstrate that training and assessment meets the requirements of the relevant Training Package. For example:
 - The Qualification Structure does not match the units of competency presently delivered by the organisation. A discussion with the organisation confirmed the units offered can vary between each training program; the units are selected following consultation with industry and are based on immediate client needs. The strategies do not reflect this process or level of consultation with industry.
 - The Duration for delivery, including the Delivery Schedule does not match the units of competency and training program presently offered by the organisation.
 - Each strategy provides generic information relating to the Location and Nature of Facilities, Resources, and Simulated Workplace Environment. The information contained in these sections does not meet the requirements of the respective Training Package. In addition, the information does not reflect the actual facilities, resources, and training and assessment environments used.
 - The organisation confirmed that students undertake work placement as part of the training program. No information was provided in the strategies relating to work placement.
- It is noted the organisation does have other documents which are updated prior to the start of each training program; including training plans, Gantt charts and trainer resource folders. If appropriate, the organisation may choose to include references to these documents in its Delivery and Assessment Plan.



In order to become compliant, the organisation is required to:

BSB20112 Certificate II in Business

BSB30412 Certificate III in Business Administration

BSB41412 Certificate IV in Work Health and Safety

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, provide its strategy for training and assessment which accurately demonstrates the delivery approach and assessment arrangements used to meet the requirements of the relevant Training Package.

Note – should the organisation choose to reference other documents as part of its strategy, it is not required to provide those additional documents with rectification.

Analysis of rectification evidence:

BSB20112 Certificate II in Business

BSB30412 Certificate III in Business Administration

BSB41412 Certificate IV in Work Health and Safety

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, the organisation provided its 'Delivery and Assessment Plan' as its strategy for training and assessment.
- The strategies refer to other documents including qualification structure, delivery and assessment staff, training plans, Gantt charts, trainer resources.
- The strategies provide accurate information to demonstrate that training and assessment meets the requirements of the relevant Training Package.

| | |
|-------------|--|
| 15.3 | Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry. |
|-------------|--|

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, the organisation demonstrated that it undertakes delivery and assessment in both a simulated workplace environment and within a workplace.
- Simulated workplace environment
 - Although the organisation has agreements with a number of local businesses to use their facilities and equipment in simulation, it was unable to demonstrate that



each business has the facilities and equipment needed to meet the specific environment, equipment and resource requirements of the relevant Training Package.

- Workplace environment
 - Although the organisation has identified a number of local employers who are willing to participate in work experience programs, it was unable to demonstrate that each employer has the facilities and equipment needed to meet the specific environment, equipment and resource requirements of the relevant Training Package.
 - In addition, the organisation did not demonstrate that it had a mechanism and process to assess and ensure that any new employer has the facilities and equipment needed to meet the specific environment, equipment and resource requirements of the relevant Training Package.

BSB20112 Certificate II in Business

BSB30412 Certificate III in Business Administration

BSB41412 Certificate IV in Work Health and Safety

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, as non-compliances were identified in SNR 15.2, the organisation has not demonstrated it has facilities, equipment and training materials consistent with the requirements of its own training and assessment strategies.

BSB30412 Certificate III in Business Administration

BSB41412 Certificate IV in Work Health and Safety

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, as non-compliances were identified in SNR 15.5, the organisation has not demonstrated it has assessment materials consistent with the requirements of the relevant Training Package.

In order to become compliant, the organisation is required to:

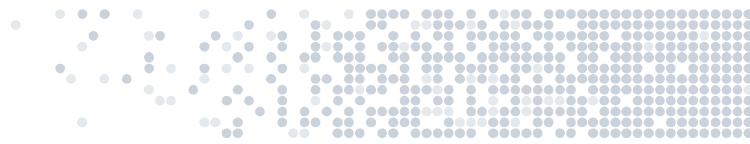
SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- Simulated workplace environment – For each scope item listed above, provide evidence of how it has ensured the business location has the facilities and equipment needed to meet the specific environment, equipment and resource requirements of the relevant Training Package.
- Workplace environment – For each scope item listed above, provide its mechanism and process to assess and ensure that an employer has the facilities and equipment needed to meet the specific environment, requirement and resource requirements of the relevant Training Package.



BSB20112 Certificate II in Business

BSB30412 Certificate III in Business Administration

BSB41412 Certificate IV in Work Health and Safety

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, the provision of a strategy for training and assessment which satisfactorily addresses the non-compliances identified in SNR 15.2 should demonstrate the organisation has facilities, equipment and training materials consistent with the requirements of its own training and assessment strategies.

BSB30412 Certificate III in Business Administration

BSB41412 Certificate IV in Work Health and Safety

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, provide evidence to satisfactorily address the non-compliances identified in SNR 15.5, which will demonstrate the organisation has assessment materials consistent with the requirements of the relevant Training Package.

Analysis of rectification evidence:

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, the organisation provided its 'Venue Checklist' document outlining specific resources required. Each document specified whether resources were for simulation or workplace assessment.

BSB20112 Certificate II in Business

BSB30412 Certificate III in Business Administration

BSB41412 Certificate IV in Work Health and Safety

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

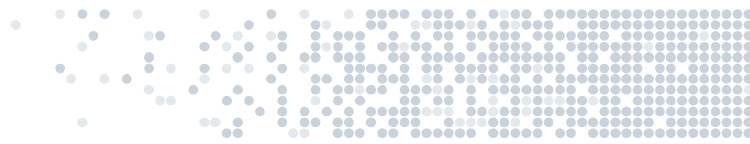
SITHGAM201 Provide responsible gambling services

- For each scope item listed above, the organisation provided its 'Delivery and Assessment Plan' as its strategy for training and assessment, demonstrating it has access to facilities, equipment and training materials consistent with the requirements of its own training and assessment strategies.

BSB30412 Certificate III in Business Administration

BSB41412 Certificate IV in Work Health and Safety

SIR20212 Certificate II in Retail Services



SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, the organisation provided its amended assessment tools to address non-compliances identified in SNR 15.5, confirming the organisation has demonstrated it has assessment materials consistent with the requirements of the relevant Training Package.

- 15.4 Training and assessment is delivered by trainers and assessors who:**
(a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and
(b) have the relevant vocational competencies at least to the level being delivered or assessed; and
(c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
(d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

Original finding: Compliant

Following rectification: n/a

- 15.5 Assessment including Recognition of Prior Learning (RPL):**
(a) meets the requirements of the relevant Training Package or VET accredited course; and
(b) is conducted in accordance with the principles of assessment and the rules of evidence; and
(c) meets workplace and, where relevant, regulatory requirements; and
(d) is systematically validated.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

BSB30412 Certificate III in Business Administration

BSBADM307B Organise schedules

Assessment materials comprise self-developed tools:

- Assessment one – scenario with role play
- Assessment two – scenario with role play
- Decision making criteria.

Assessment does not address all requirements of the Training Package (SNR 15.5a); specifically all required skills and all critical aspects for assessment. For example, but not limited to:

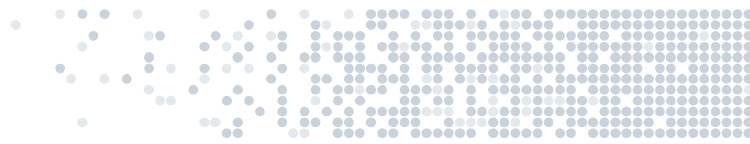
- While the assessments require a student to identify individual and organisational needs for personnel, it does not assess the ability to maintain schedules with consideration to these needs.
- The tools do not ensure assessment of numeracy skills to estimate time and keep records is addressed; or time management skills to allow realistic time lines to schedule appointments.

BSB41412 Certificate IV in Work Health and Safety

BSBWHS403A Contribute to implementing and maintaining WHS consultation and participation processes

Assessment materials comprise self-developed tools:

- Short answer questions



- Supervisor third party report
- Final project – three tasks.

Assessment does not address all requirements of the Training Package (SNR 15.5a); including all demonstrable components of the elements and performance criteria, required skills, and critical aspects for assessment. In addition, the tools do not ensure assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b); including that valid, reliable, sufficient and authentic evidence is collected. For example, but not limited to:

- Evidence of some of the demonstrable components of the unit is gathered using a supervisor third party report; this tool does not demonstrate that the evidence collected would support a judgement of competence made by the assessor. For example; the tool does not include clear information for the supervisor as to the specific tasks to be undertaken, does not allow for sufficient evidence to be gathered to demonstrate that all intended requirements of the unit are assessed, and does not provide a mechanism for the assessor to validate the information recorded and confirm the evidence collected meets unit of competency requirements.
- The final project assessments are not accompanied with instructions for the assessor or student to clearly explain the tasks to be undertaken, or the evidence criteria used by an assessor to judge the quality of performance (assessment decision-making rules; eg – marking guide).

SIR20212 Certificate II in Retail Services

SIRXICT001A Operate retail technology

SIRXSLS201 Sell products and services

SIR30212 Certificate III in Retail Services

SIRXRSK201 Minimise loss

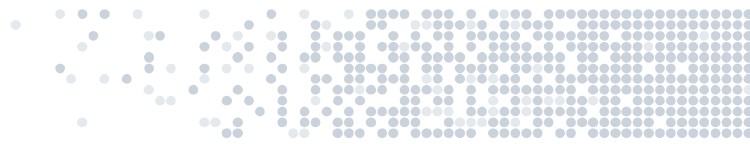
SIRXSLS201 Sell products and services

For each unit of competency, assessment materials comprise self-developed tools:

- Short answer questions
- Assessment activity
- Practical assessment direct observation
- Supervisor third party report
- Oral questions.

For each unit of competency, assessment does not address all requirements of the Training Package (SNR 15.5a); including all of the demonstrable components of the elements and performance criteria, required skills, critical aspects for assessment, context of and specific resources for assessment, and assessment guidelines. In addition, the tools do not ensure assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b); including that valid, reliable, sufficient and authentic evidence is collected. For example, but not limited to:

- The practical assessment direct observation is not accompanied with instructions for the assessor and student to ensure assessment is undertaken in a real or simulated work environment, as per the Assessment Guidelines. Further, the tool does not explain the context of the assessment or identify the specific tasks to be undertaken by the student; it is not clear if the student will be observed responding to a scenario / action, or if the assessor is observing the student undertaking normal workplace activities.
- The supervisor third party report does not demonstrate that the evidence collected will support a judgement of competence made by the assessor; the tool does not provide a mechanism for the assessor to validate the information recorded and confirm the evidence collected meets unit of competency requirements.



SIT30713 Certificate III in Hospitality

SITHACS201 Provide housekeeping services to guests

SITHFAB204 Prepare and serve espresso coffee

For each unit of competency, assessment materials comprise self-developed tools:

- Short answer questions
- Assessment activity
- Practical assessment direct observation
- Supervisor report.

For each unit of competency, assessment does not address all requirements of the Training Package (SNR 15.5a); including all of the demonstrable components of the elements and performance criteria, required skills, critical aspects for assessment, context of and specific resources for assessment, and assessment guidelines. In addition, the tools do not ensure assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b); including that valid, reliable, sufficient and authentic evidence is collected. For example, but not limited to:

- The practical assessment direct observation does not ensure that assessment uses all resources, fixtures and equipment needed, as per the Assessment Guidelines and context of and specific resources for assessment. The tool does not explain the context of the assessment or identify the specific tasks to be undertaken by the student. Further, although a checklist is provided (assessment decision-making rules), it does not allow for sufficient evidence to be gathered to demonstrate that all intended requirements of the unit are assessed.
- The supervisor third party report does not demonstrate that the evidence collected will support a judgement of competence made by the assessor. The tool does not ensure that the evidence is collected using all resources, fixtures and equipment needed; including, but not limited to, industry-realistic ratios of service staff to customers (SITHFAB204) or other people with whom the student can interact (SITHACS201). Further, the tool does not provide a mechanism for the assessor to validate the information recorded and confirm the evidence collected meets all intended requirements of the unit of competency.

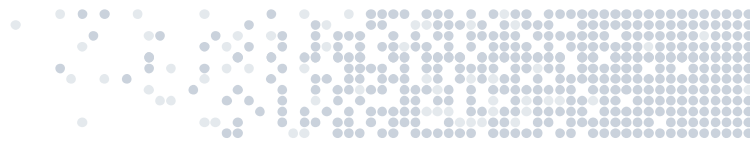
SITHGAM201 Provide responsible gambling services

Assessment materials comprise self-developed tools:

- Short answer questions
- Practical assessment direct observation.

Assessment does not ensure all requirements of the Training Package are addressed (SNR 15.5a); including all elements and performance criteria, required skills, required knowledge, and critical aspects for assessment. In addition, the tools do not ensure assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b); including that valid, reliable and sufficient evidence is collected. For example, but not limited to:

- The practical assessment direct observation does not ensure all demonstrable components of the unit are addressed, including:
 - communication and interpersonal skills to deal with customers, including requests for exclusion or counselling services
 - initiative and enterprise skills
 - indicators and assumptions about problem gambling
 - maintaining records of gambling related incidents
 - numeracy skills to explain the chances of winning and probability
 - responding to a range of different gambling-related situations.
- The practical assessment direct observation is not accompanied with instructions for the assessor or student to explain the context of the assessment, and does not identify the specific tasks to be undertaken.



In order to become compliant, the organisation is required to:

BSB30412 Certificate III in Business Administration

BSBADM307B Organise schedules

- Provide its amended assessment materials to demonstrate that the assessment addresses all requirements of the Training Package (SNR 15.5a); and specifically all required skills and all critical aspects for assessment.

BSB41412 Certificate IV in Work Health and Safety

BSBWHS403A Contribute to implementing and maintaining WHS consultation and participation processes

- Provide its amended assessment materials to demonstrate:
 - assessment addresses all requirements of the Training Package (SNR 15.5a); including all demonstrable components of the elements and performance criteria, required skills, and critical aspects for assessment
 - assessment is conducted in accordance with the principles of assessment and rules of evidence (SNR 15.5b); including that valid, reliable, sufficient and authentic evidence is collected.
- The assessment materials:
 - must be supported with clear instructions for the assessor and student to explain all task requirements; and the evidence criteria used by an assessor to judge the quality of performance
 - where evidence is gathered using a supervisor third party report, the tool must demonstrate that the evidence collected will support a judgement of competence made by the assessor.

SIR20212 Certificate II in Retail Services

SIRXICT001A Operate retail technology

SIRXSLS201 Sell products and services

SIR30212 Certificate III in Retail Services

SIRXRSK201 Minimise loss

SIRXSLS201 Sell products and services

For each unit of competency:

- Provide its amended assessment materials to demonstrate:
 - assessment addresses all requirements of the Training Package (SNR 15.5a); including all of the demonstrable components of the elements and performance criteria, required skills, critical aspects for assessment, context of and specific resources for assessment, and assessment guidelines
 - assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b); including that valid, reliable, sufficient and authentic evidence is collected.
- The assessment materials:
 - must be supported with clear instructions for the assessor and student to ensure assessment is undertaken in an appropriate work environment; and to explain the context of assessment and all task requirements
 - where evidence is gathered using a supervisor third party report, the tool must demonstrate that the evidence collected will support a judgement of competence made by the assessor.



SIT30713 Certificate III in Hospitality

SITHACS201 Provide housekeeping services to guests

SITHFAB204 Prepare and serve espresso coffee

For each unit of competency:

- Provide its amended assessment materials to demonstrate:
 - assessment addresses all requirements of the Training Package (SNR 15.5a); including all of the demonstrable components of the elements and performance criteria, required skills, critical aspects for assessment, context of and specific resources for assessment, and assessment guidelines
 - assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b); including that valid, reliable, sufficient and authentic evidence is collected.
- The assessment materials:
 - must ensure use of all resources, fixtures, and equipment needed to meet the requirements of the Training Package
 - where practical assessment is undertaken by direct observation, the tool must explain the context of assessment and all task requirements; and be supported with the evidence criteria used by an assessor to judge the quality of performance
 - where evidence is gathered using a supervisor third party report, the tool must demonstrate that the evidence collected would support a judgement of competence made by the assessor.

SITHGAM201 Provide responsible gambling services

- Provide its amended assessment materials to demonstrate:
 - assessment addresses all requirements of the Training Package (SNR 15.5a); including all elements and performance criteria, required skills, required knowledge, and critical aspects for assessment
 - assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b); including that valid, reliable and sufficient evidence is collected.
- The assessment materials must be supported with instructions for the assessor or student to explain the context of the assessment, and identify the specific tasks to be undertaken.

Analysis of rectification evidence:

BSB30412 Certificate III in Business Administration

BSBADM307B Organise schedules

The organisation provided its amended assessment materials comprising self-developed tools:

- Assessment one – scenario with role play requiring schedule setting
- Assessment two – scenario with role play requiring calendar maintenance
- Assessment three – build upon assessment two with regard to electronic calendar maintenance and recurring appointments, negotiation of appointment times with attendees
- Assessment instructions (incorporating criteria for acceptable performance for assessors)

The amended assessment tools will ensure assessment addresses all requirements of the Training Package (SNR 15.5a); specifically all required skills and all critical aspects for assessment.

BSB41412 Certificate IV in Work Health and Safety

BSBWHS403A Contribute to implementing and maintaining WHS consultation and participation processes



The organisation provided its amended assessment materials comprising self-developed tools:

- Short answer questions (five questions)
- Supervisor third party report including clear information for the supervisor as to the range of tasks to be observed, and a mechanism for the assessor to validate information recorded
- Project activities (13)
- Final project (three tasks) accompanied with instructions for the assessor and student
- Marking guide for all tasks

The amended assessment tools will ensure assessment addresses all requirements of the Training Package (SNR 15.5a); including all demonstrable components of the elements and performance criteria, required skills, and critical aspects for assessment. In addition, the tools will ensure assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b); including that valid, reliable, sufficient and authentic evidence is collected.

SIR20212 Certificate II in Retail Services

SIRXICT001A Operate retail technology

SIRXSLS201 Sell products and services

SIR30212 Certificate III in Retail Services

SIRXRSK201 Minimise loss

SIRXSLS201 Sell products and services

For each unit of competency, the organisation provided its amended assessment materials comprising self-developed tools:

- Short answer questions
- Practical assessment direct observation in the workplace, accompanied with instructions for the assessor and student to ensure assessment is undertaken in a workplace
- Trainer guide

For each unit of competency, the amended assessment tools will ensure assessment addresses all requirements of the Training Package (SNR 15.5a); including all of the demonstrable components of the elements and performance criteria, required skills, critical aspects for assessment, context of and specific resources for assessment, and assessment guidelines. In addition, the tools will ensure assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b); including that valid, reliable, sufficient and authentic evidence is collected.

SIT30713 Certificate III in Hospitality

SITHACS201 Provide housekeeping services to guests

SITHFAB204 Prepare and serve espresso coffee

For each unit of competency, the organisation provided its amended assessment materials comprising self-developed tools:

- Short answer questions
- Practical assessment direct observation in the workplace, accompanied with instructions for the assessor and student to ensure assessment is undertaken in a workplace
- Trainer guide
- Coffee feedback form (for SITHFAB204)

For each unit of competency, the amended assessment tools will ensure assessment addresses all requirements of the Training Package (SNR 15.5a); including all of the demonstrable components of the elements and performance criteria, required skills, critical aspects for assessment, context of and specific resources for assessment, and assessment guidelines. In addition, the tools will ensure assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b); including that valid, reliable, sufficient and



authentic evidence is collected.

SITHGAM201 Provide responsible gambling services

For each unit of competency, the organisation provided its amended assessment materials comprising self-developed tools:

- Short answer questions
- Practical assessment direct observation in the workplace, accompanied with instructions for the assessor and student to ensure assessment is undertaken in a workplace
- Trainer guide

The amended assessment tools will ensure assessment addresses all requirements of the Training Package (SNR 15.5a); including all elements and performance criteria, required skills, required knowledge, and critical aspects for assessment. In addition, the tools will ensure assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b); including that valid, reliable and sufficient evidence is collected.

| | | |
|--|---|-------------------------------------|
| SNR 16 The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows: | | |
| 16.1 | The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs. | |
| Original finding: Compliant | | Following rectification: n/a |
| 16.2 | The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data. | |
| Original finding: Compliant | | Following rectification: n/a |
| 16.3 | Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations. | |
| Original finding: Compliant | | Following rectification: n/a |
| 16.4 | 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. | |
| Original finding: Compliant | | Following rectification: n/a |
| 16.5 | Learners receive training, assessment and support services that meet their individual needs. | |
| Original finding: Compliant | | Following rectification: n/a |
| 16.6 | Learners have timely access to current and accurate records of their participation and progress. | |
| Original finding: Compliant | | Following rectification: n/a |



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| 16.7 | The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. |
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Original finding: Compliant

Following rectification: n/a

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| SNR 17 | Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows: |
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| 17.1 | The NVR registered training organisation's management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation. |
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Original finding: Compliant

Following rectification: n/a

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| 17.2 | The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations. |
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Original finding: Compliant

Following rectification: n/a

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| 17.3 | The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework. |
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Original finding: Not audited

Following rectification: n/a

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| 17.4 | The NVR registered training organisation manages records to ensure their accuracy and integrity. |
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Original finding: Compliant

Following rectification: n/a

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| SNR 18 | The NVR registered training organisation has governance arrangements in place as follows: |
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| 18.1 | The NVR registered training organisation's Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation's scope of registration, as listed on the National Register. |
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Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- As non-compliances were identified during the audit process, the organisation's Chief Executive has not ensured the organisation complies with the VET Quality Framework.

In order to become compliant, the organisation is required to:

- Provide evidence to satisfactorily address the non-compliances identified, which will demonstrate the organisation's Chief Executive has ensured the organisation complies with the VET Quality Framework.



Analysis of rectification evidence:

- The organisation provided evidence to satisfactorily address the non-compliances identified, demonstrating the organisation's Chief Executive has ensured the organisation complies with the VET Quality Framework.

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| 18.2 | The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors. |
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Original finding: Compliant

Following rectification: n/a

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| SNR 19 | Interactions with the National VET Regulator |
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| 19.1 | The NVR registered training organisation must co-operate with the National VET Regulator: (a) in the conduct of audits and the monitoring of its operations; (b) by providing accurate and timely data relevant to measures of its performance; (c) by providing information about significant changes by its operations; (d) by providing information about significant changes to its ownership; and (e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements. |
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Original finding: Not audited

Following rectification: n/a

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| SNR 20 | Compliance with legislation |
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| 20.1 | The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration. |
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Original finding: Not audited

Following rectification: n/a

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| 20.2 | The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training. |
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Original finding: Compliant

Following rectification: n/a

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| SNR 21 | Insurance |
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| 21.1 | The NVR registered training organisation must hold public liability insurance throughout its registration period. |
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Original finding: Compliant

Following rectification: n/a

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| SNR 22 | Financial management |
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22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.

Original finding: Not audited

Following rectification: n/a

22.2 The NVR registered training organisation must provide the following fee information to each client:

- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;
- (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
- (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;
- (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and
- (e) the organisation's refund policy.

Original finding: Compliant

Following rectification: n/a

22.3 Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:

- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;
- (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;
- (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;
- (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or
- (e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.

Original finding: Not audited

Following rectification: n/a

SNR 23 Certification, issuing and recognition of qualifications & statements of attainment

23.1 The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:

- (a) meets the Australian Qualifications Framework (AQF) requirements;
- (b) identifies the NVR registered training organisation by its national provider number from the National Register and



(c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Compliant

Following rectification: n/a

23.2 The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.

Original finding: Not audited

Following rectification: n/a

23.3 The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.

Original finding: Not audited

Following rectification: n/a

23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]

This element was not audited.

23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]

This element was not audited.

SNR 24 Accuracy and integrity of marketing

24.1 The NVR registered training organisation must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

BSB20112 Certificate II in Business

BSB30412 Certificate III in Business Administration

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, the organisation provided Course Information brochures which do not demonstrate that advertising to prospective students is accurate. The units of competency to be offered and / or the duration of delivery do not match the Qualification Structure, Duration and / or Delivery Schedule of the provided strategies for training and assessment.
- In addition, for the Retail and Hospitality qualifications, the organisation confirmed that students are required to undertake work placement as part of the training program; no information is provided in the brochures to reflect this requirement.



In order to become compliant, the organisation is required to:

BSB20112 Certificate II in Business

BSB30412 Certificate III in Business Administration

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, provide Course Information brochures to demonstrate that advertising to prospective students is accurate, including:
 - the units of competency to be offered and the duration of delivery match both actual practice and strategies for training and assessment
 - where applicable, any work placement requirements.

Analysis of rectification evidence:

BSB20112 Certificate II in Business

BSB30412 Certificate III in Business Administration

SIR20212 Certificate II in Retail Services

SIR30212 Certificate III in Retail Operations

SIT30713 Certificate III in Hospitality

SITHGAM201 Provide responsible gambling services

- For each scope item listed above, the organisation provided its Course Information brochures which demonstrate that advertising to prospective students is accurate.
- In addition, for the Retail and Hospitality qualifications, the course brochures specify the requirement for students to undertake work placement as part of the training program.

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| 24.2 | The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use. |
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Original finding: Not audited

Following rectification: n/a

SNR 25 Transition to Training Packages/expiry of VET accredited courses

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| 25.1 | The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages. |
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Original finding: Compliant

Following rectification: n/a

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| 25.2 | The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses. |
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Original finding: Not audited

Following rectification: n/a