

VET Quality Framework audit report

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

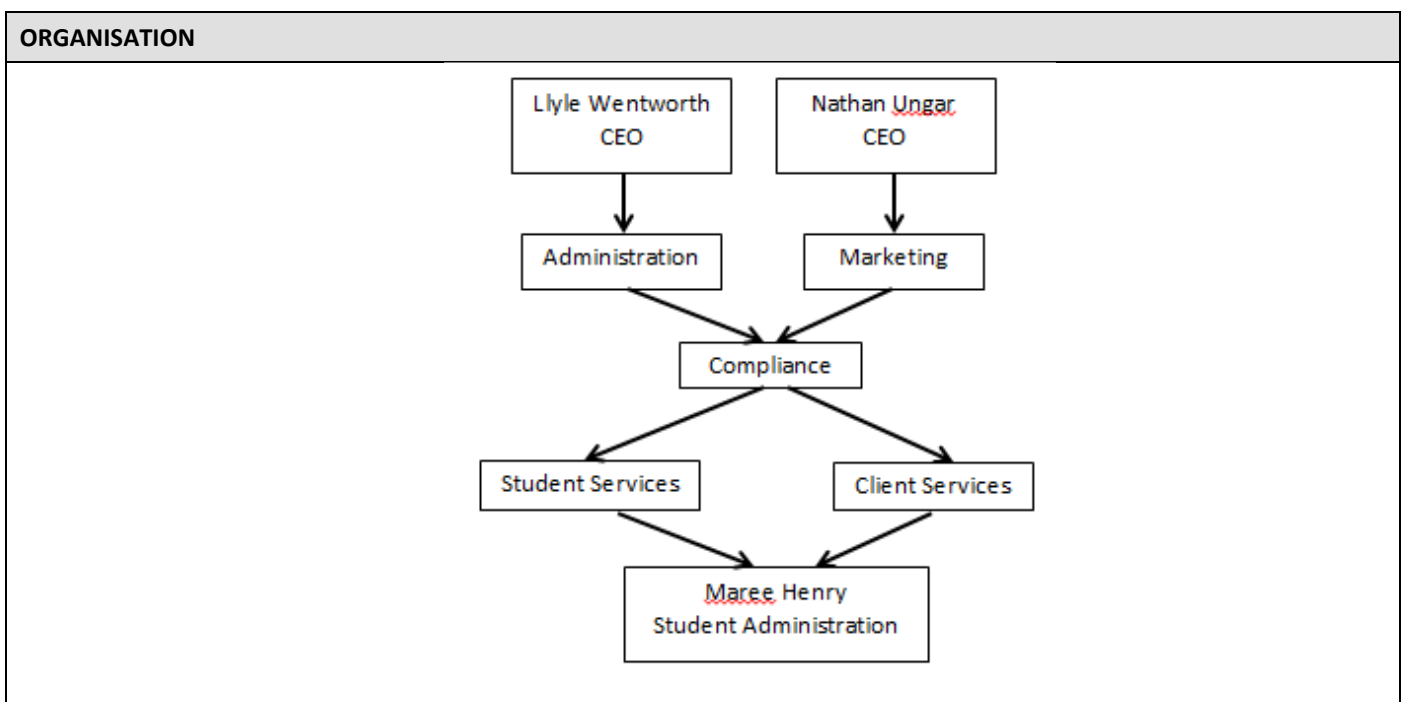
Legal name of organisation	Wentworth College Pty Ltd Application No. 1021652
Date/s of audit	23 May 2012 18 November 2012

ORGANISATION DETAILS				
RTO legal name	Wentworth College Pty Ltd		RTO ID number	21938
Registered business trading name	Wentworth College Pty Ltd		ABN	28121418059
Address	Level 1 4/58 Anderson Street YARRAVILLE WEST, VIC		Postcode	3013
Phone	1300138792	Fax	0386776523	
E-mail	info@wentworth-college.com		Website	http://www.wentworthcollege.com.au/
Registration contact	Name	Lyle Wentworth Nathan Unger	Position	CEO CEO

AUDIT TEAM			
Lead auditor	Gerry Westenberg	Technical adviser/s	N/A
Audit team members	N/A		

ASQA CONTACT DETAILS			
Phone	1300 701801 (ASQA Info line)	E-mail	audits@asqa.gov.au

AUDIT DETAILS	
Audit type	<input checked="" type="checkbox"/> Renewal of registration <input type="checkbox"/> Extension to scope of registration <input type="checkbox"/> Compliance monitoring (incl. post-initial registration) <input type="checkbox"/> Other:
Scope of audit	<input checked="" type="checkbox"/> Standards for NVR Registered Training Organisations <input checked="" type="checkbox"/> Australian Qualifications Framework (AQF) <input checked="" type="checkbox"/> Data Provision Requirements <input checked="" type="checkbox"/> Fit and Proper Person Requirements <input checked="" type="checkbox"/> Financial Viability Risk Assessment Requirements
Date/s of site visit/s	23 May 2012
Site/s visited	Level 1 4/58 Anderson Street YARRAVILLE WEST, VIC
Standards audited	Essential Standards for Continuing Registration 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25



- Current business Activities:
- Primary Business Activity
Providing Training and Assessment of Nationally Recognised qualifications and courses as
- listed on our Scope of Registration (www.training.com.au)
- Secondary Business Activity
- Where identified and requested by clients, provision of in-service non accredited training
- courses, eg: Elder Abuse, Falls Prevention, Skin integrity, Occupational Health and Safety,
- Bowel Care, Manual Handling
- Significant Associates, partnerships:
- CSISC – Community Services Industry Skills Council
- Mission Australia Apprenticeship Centre
- NSW-State Training Services
- Skills Victoria
- Numerous Large Service Providers , including, but not limited to:
- Australian Unity
- Cook Care Group
- Anglicare
- Target Groups:
- Wentworth College Pty Ltd has a focus on the Aged, Disability and Community Care Sectors. Our
- target clients predominantly come from:
- Aged Care Facilities
- Nursing Homes
Supported Residential Facilities
- Day Care Centres
- Home and Community Care Providers (caring for people in their own homes)
- Delivery Venues:
- Wentworth College Pty Ltd currently provides Training and Assessment services in Victoria and New
- South Wales.
- Student Numbers:
- Total Enrolments – 2010 – 235
- Total Enrolments – 2011 – 500
- Total Enrolments – 2012 – 255 to date
- Fee Revenue Sources:
- NSW-DET APL
SVTS
- Fee For Service

FOCUS OF AUDIT

Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment
BSB40807	Certificate IV in Frontline Management	Face to Face, Instructor Led Workplace/Classroom
CHC30208	Certificate III in Aged Care	Face to Face, Instructor Led Workplace/Classroom
CHC40708	Certificate IV in Community Services Work	Face to Face, Instructor Led Workplace/Classroom
HLT32807	Certificate III in Health Support Services	Face to Face, Instructor Led Workplace/Classroom
HLTFA201A	Provide basic emergency life support	Face to Face, Instructor Led Workplace/Classroom

INTERVIEWEES

Staff (name and position)

Name	Position	Program (qualification, course, etc)
Llyle Wentworth	CEO	All qualifications
Nathan Unger	CEO	All qualifications

SUMMARY OF AUDIT OUTCOME

This audit was conducted under the *National Vocational Education and Training Regulator Act 2011* (the Act) to assess compliance with requirements of the VET Quality Framework as identified under the Scope of Audit section above.


AUDIT OUTCOME

Audit status as at 22 May 2012

- The organisation **has not demonstrated compliance** with all compliance requirements reviewed for the audit.

The level of non-compliance is considered to be minor when considering the potential for adverse impact on the quality of training and assessment outcomes for students.


The audit report describes evidence of non-compliance identified. Each issue referenced must be rectified by the organisation with evidence provided to ASQA within **20 working days** of the date of the letter accompanying this audit report to demonstrate corrective actions implemented.

Auditor's Name	Gerry Westenberg	Signature		Date of Report	3 Jun 2012
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AUDIT RECTIFICATION

Audit status following additional evidence received 13 November 2012

- The organisation **has demonstrated compliance** with all compliance requirements reviewed for the audit.

Auditor's Name	Gerry Westenberg	Signature		Date of Report	18 November 2012
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AUDIT SUMMARY OF VET QUALITY FRAMEWORK REQUIREMENTS

VET QUALITY FRAMEWORK COMPONENT		STATUS*
Financial Viability Risk Assessment Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Fit and Proper Person Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Data Provision Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Australian Qualifications Framework (AQF) Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Standards for NVR Registered Training Organisations 2011		
- Essential Standards for Continuing Registration		
15	The NVR registered training organisation provides quality training and assessment across all of its operations	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
17	Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
18	The NVR registered training organisation has governance arrangements in place	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
19	Interactions with the National VET Regulator	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
20	Compliance with legislation	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
21	Insurance	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
22	Financial management	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
23	Certification, issuing and recognition of qualifications and statements of attainment	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
24	Accuracy and integrity of marketing	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
25	Transition to training packages/expiry of VET accredited courses	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
*STATUS: Status of audit findings when audit was conducted C = Compliant NC = Not Compliant NA = Not audited		

Audit Findings

Non-compliance has been found against 15.3, 15.4 and 15.5.
These non-compliances are described below.

SNR 15.3

- The RTO has a number of outdated/irrelevant assessment tools in the students' and trainer/assessors' training material.
- The Assessment tool front covers have incorrect terminology and use the terms "Competent" and "Not Yet Competent" incorrectly.
- The "Overall Evaluation" terminology at the end of the holistic assessment is misleading and could be interpreted to mean the overall assessment of the UOC.
- When the RTO conducts a WH&S check of a workplace, there is currently no process/policy in place that requires the RTO to inform the workplace owner of the results of the check.

SNR 15.4

- The Staff Matrix does map the trainer / assessor qualifications, but it does not provide enough detail as to how the vocational qualifications/experience does meet the requirements of the training packages.

SNR 15.5

- The course codes for two of the qualifications have been superseded, as have two of the UOCs audited.

Rectification requirements – evidence of rectification to be submitted within 20 working days

The following evidence needs to be provided to address the non-compliances:

SNR 15.3

- The RTO is to remove the outdated/irrelevant assessment tools from the student's and trainer/assessor's training material.
- The RTO is to develop a policy/procedure that requires the WH&S checklist results to be sent as a report that will go to the workplace owner, providing them with details of any WH&S infractions that have been identified.
- The Assessment tool front covers to have the correct terminology and only use the terms "Competent" and Not Yet Competent" where applicable.
- The term "Overall Evaluation" at the end of the holistic assessment needs to be removed and replaced with a more accurate terminology.

Findings based on rectification evidence received 13/11/2012

The RTO has demonstrated compliance with SNR 15.3

SNR 15.4

- The Staff Matrix is to map the trainer / assessor qualifications, providing enough detail as to how the vocational qualifications/experience does meet the requirements of the training packages.

Findings based on rectification evidence received 13/11/2012

The RTO has demonstrated compliance with SNR 15.4

SNR 15.5

- All qualification and UOC course codes are to be Accurate and up to date.

Findings based on rectification evidence received 13/11/2012

The RTO has demonstrated compliance with SNR 15.5

AUDIT WORKING PAPERS

THE FOLLOWING SECTION CONSISTS OF THE AUDIT WORKING PAPERS THAT PROVIDE GUIDANCE TO AUDITORS IN RELATION TO EACH OF THE STANDARDS AND THE EVIDENCE THAT NEEDS TO BE TESTED. THE AUDIT WORKING PAPERS ARE TO BE USED TO RECORD THE AUDIT TESTS THAT WERE CONDUCTED AND THE EVIDENCE GATHERED AND ANALYSED TO SUPPORT AUDIT FINDINGS. THE EVIDENCE WITHIN THE WORKING PAPERS MAY BE USED FOR QUALITY ASSURANCE PURPOSES AS WELL AS TO ASSIST IN THE DECISION-MAKING PROCESS. AUDIT WORKING PAPERS ARE INTERNAL DOCUMENTS AND ARE NOT TO BE ISSUED TO PROVIDERS.

Auditors to note: where the audit is for an extension of scope, the elements that have to be audited are indicated by '(EOS)' beneath the element number.

FINANCIAL VIABILITY RISK ASSESSMENT REQUIREMENTS

FVRAR 7 Obligation to submit assessment at any time

- (1) An NVR registered training organisation must submit to an assessment of financial viability risk by a qualified independent financial auditor nominated by the National VET Regulator, at other times during the registration period, as determined by the National VET Regulator in accordance with the National VET Regulator's Risk Assessment Framework
- (2) The obligation to submit to the assessment referred to in (1) also applies to parent organisations, affiliated companies or organisations that have a vested interest in the organisation.

FVRAR 9 Assessment to be in required form

Financial data and information must be submitted to the qualified independent financial assessor nominated by the National VET Regulator in a format that is in accordance with Australian Accounting Standards.

Evidence gathered:

Compass Professional Advisors report indicating financial viability

Result: Compliant Not Compliant

FIT AND PROPER PERSON REQUIREMENTS

FPPR 5 Persons subject to Fit and Proper Person Requirements

A person mentioned in FPPR 4 [Criteria for suitability for registration] does not meet the Fit and Proper Person Requirements if the National VET Regulator is satisfied that, having regard to the matters provided in paragraph FPPR 4(a) to (k), one or more of the following people do not meet the Fit and Proper Person Requirements:

- (a) an executive officer of the person referred to in FPPR 4
- (b) a high managerial agent of the person referred to in FPPR 4
- (c) any person or entity which exercises a degree of control or influence over the management or direction of the registered training organisation.

Evidence gathered:

Fit and Proper Persons certificates signed and witnessed for the two CEOs:

- Llyle Wentworth
- Nathan Unger

VET Quality Framework Self-Assessment Strategy that details their compliance with FPPR 5

Result: Compliant Not Compliant

DATA PROVISION REQUIREMENTS

DPR 4 Student records management system

- (1) Both applicants seeking initial registration under the Act, and NVR registered training organisations, must have a student records management system that has the capacity to provide the National VET Regulator with AVETMISS compliant data.

DPR 5 Information required upon request

[Refer to DPR 5 sections (a) to (x), which broadly address: organisation type, business planning, business registration, identification of senior officers, (proposed) scope of registration, delivery strategies and resources, delivery methodologies and target student cohorts, insurance]

DPR 6 Collection of data against quality indicators

The NVR registered training organisation must collect data on the quality indicators agreed upon by the Ministerial Council, or its delegate.

DPR 7**Annual reports**

The NVR registered training organisation must provide an annual summary report to the National VET Regulator against the quality indicators.

The annual summary report will be due on 30 June each year and will relate to the previous calendar year's activities.

Evidence gathered:

VET Quality Framework Self-Assessment Strategy

QI_annual_summary_report_20_April_2012 (Provides an example of how the RTO complies with this overall requirement)

Wentworth_Service_Certificate Is an example of the RTO's compliance against DPR 4

Result:
 Compliant

 Not Compliant

AUSTRALIAN QUALIFICATIONS FRAMEWORK

AQF Qualifications Issuance Policy

The RTO is required to ensure:

- graduates receive the certification documentation to which they are entitled
- AQF qualifications are correctly identified in certification documentation
- AQF qualifications are protected against fraudulent issuance
- a clear distinction can be made between AQF qualifications and non-AQF qualifications
- certification documentation is used consistently across the education and training sectors
- graduates and others are confident that the qualifications they have been awarded are part of Australia's national qualifications framework – the AQF.

AQF Qualifications Pathways Policy

The RTO is required to ensure it maximises the credit that students can gain for learning already undertaken, by:

- enhancing student progression into and between AQF qualifications
- recognising the multiple pathways that students take to gain AQF qualifications and that learning can be formal, non-formal or informal
- supporting the development of pathways in qualifications design.

Evidence gathered:

Logo Usage Policy Version 2

Training and Assessment Strategies for the following qualifications (as per the ASQA selection):

BSBBSB40807 Certificate IV in Frontline Management

CHC30208 Certificate III in Aged Care

CHC40708 Certificate IV in Community Services Work

HLT32807 Certificate III in Health Support Services

VET Quality Framework Self-Assessment Strategy Demonstrates compliance with the **AQF Qualifications Issuance Policy**

Result:
 Compliant

 Not Compliant

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.

Evidence guidance:

The RTO should systematically collect data and continuously improve training and assessment by ensuring:

- relevant and sufficient stakeholders are identified, related to the scope of the RTO’s operations
- a range of data is collected, sufficient to provide the RTO with valuable improvement opportunities
- processes for analysing the data and planning and implementing improvements are determined
- processes for monitoring continuous improvement activities and for reviewing data collection, continuous improvement processes and outcomes are decided.

Evidence gathered:

The following meeting types are held on a regular basis. Each type has a list of the required attendees as well as the topics to be covered:

- General Business Meetings
- Managing Directors Meetings
- Finance Meetings
- Training and Assessment Meetings
- Planning Meetings
- Fortnightly Meetings regarding classes and courses (As invoices are submitted by trainers (with attendance sheets))

The documents listed below have been sited:

The above suite of meetings provides a ‘closed loop’ continuous improvement cycle. These meetings are backed up by the various documents detailed below.

- QA File 2011/2012
- QA-RM-01 Risk Management Identification Policy
 - Details how the RTO applies continuous improvement through the management and identification of risk.
- QA-CI-02 – Formal Documentation Index
- QA – OIR - 01 Opportunity for improvement form
- QA-CI-01 Continuous Improvement Quality cycle
 - Provides a diagrammatic display of the RTO’s training quality cycle.
- QA-CI-03 Continuous improvement Strategy
 - Details how the RTO will apply its CI strategies towards:
 - Training and Assessment Services
 - Client Outcomes
 - RTO Management Systems
- QA-CI-04 Management team meeting
 - Provides guidelines regarding the agenda and scope of the regular meeting.
- QA-ADS-01 Analysis of data & Statistics
 - This procedure is used determine how the RTO systematically collects and records statistical information relating to the function, result and operation of the organisation.
- QA-PDE-02 Course delivery evaluation form
 - Requires the students to provide feedback on the training.
- QA-CMR-01 Course module review form
 - Is to be completed by the trainers / assessors at the completion of the course and focuses on content, delivery, assessment, resources and the learners’ needs.
- QA-TOC-01 Trainer Observation Checklists
 - Is listed under quality assurance and is an observation checklist for a review of the trainer during the delivery of training. It also provides for student feedback.
- VETTrak
- Records Management Policy & Procedure
- Competency Completions report

It should be noted that to ensure adherence to version control and to eliminate any chance of traier / assessors using an incorrect assessment tool, previous versions should be removed from the assessment packs and only kept in the RTO’s archives.

Result: Compliant Not Compliant

15.2 Strategies for training and assessment used by the RTO meet the requirements of the relevant training package or accredited course and have been developed through effective consultation with industry.
(EOS)

Evidence guidance:

- One or more strategy/ies for training and assessment should have been developed for each qualification/course sought in the registration application or on the RTO's current scope
- Each strategy should be documented, either as a series of documents or consolidated into a single document
- Each strategy should be clearly articulated and informed by information collected on industry requirements and learners' needs through effective consultation with industry
- Each strategy should specify the resources, both human and physical, that will be used to meet the requirements of the qualification/course/unit of competency
- Each strategy should include processes to be used for its monitoring and review.

Evidence gathered:

Training and Assessment Strategies for the following qualifications (as per the ASQA selection):

BSBBSB40807 Certificate IV in Frontline Management

CHC30208 Certificate III in Aged Care

CHC40708 Certificate IV in Community Services Work

HLT32807 Certificate III in Health Support Services

The Training and Assessment Strategies have the following sections:

- Delivery method and breakdown of hours
- Code And title of the qualification
- UOCs
- Clients
- Outcomes
- Workplace requirements
- Entry requirements/pre-requisites
- Core/Elective units
- Duration and schedule
- Legislation and regulatory requirements
- Assessment strategy
- Delivery and assessment details
- Development of an individualised training and assessment plan
- Delivery and assessment staff
- Assessment validation and moderation
- Facilities and equipment
- Pathways
- Program Manager's signature
- Date

Result: Compliant Not Compliant

15.3 Staff, facilities and equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the training package or accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry.
(EOS)

Evidence guidance:

- The RTO should be able to demonstrate that it has access to all required resources to deliver each qualification/course on its scope of registration and sought in its registration application
- The RTO ensures that resources specified in each strategy for training and assessment are used across all of its operations by staff and learners
- The RTO demonstrates how it has consulted to ensure its physical and human resources meet industry performance expectations and quality standards
- The RTO ensures that the currency, sufficiency and effectiveness of its resources are systematically reviewed and improved.

Evidence gathered:

Training is normally delivered by the applicant's contractors in the workplace (mainly in NSW). However, recently, some training has been provided in hired training rooms close to the RTO's business premises.

Currency, sufficiency and effectiveness of its resources are systematically reviewed and improved through the conduct of the various scheduled meetings detailed in 15.1 and the completion of the documentation detailed in 15.1.

The training and assessment materials adhere to the requirements of the training packages.

The RTO has a number of on-going clients (mainly interstate) that provide feedback on the quality and effectiveness of the training being delivered.

Rectification Evidence sighted 13 November 2012:

CHCHD401D Advocate for Clients

- Written Assessment Task
- Third Party Report
- Demonstration
- Overall Result Sheet

CHCCS424B Administer and Monitor Medications

- Third Party Report
- Demonstration
- Overall Result Sheet

BSBMGT401A Show Leadership in the Workplace

- Written Assessment Task
- Third Party Report
- Portfolio of Evidence
- Overall Result Sheet

All of the documents sighted (above) have correct terminology and use the terms 'Competent' and 'Not Yet Competent' in the correct context. The term 'Overall Evaluation' has been removed and replaced with appropriate terminology.

Inspection of Training Venue

Training Venue Inspection checklist

Kitchen Risk Checklist

Equipment Required

Equipment Required Validation checklist

WH&S Follow-up letter for acceptance of a venue

WH&S Follow-up letter for turning down a venue

The documents sighted above provide a structure that will ensure that the facilities meet the resource requirements of the UOC and the resources are physically there. They also provide a structure for verifying that the training facilities are accurately assessed for WH&S provisions and that the results of the WH&S assessment have been passed on to the facility owner

Result: Compliant Not Compliant

Findings of Non-Compliance:

- Assessment tool front covers have incorrect terminology and use "Competent" and "Not Yet Competent" inappropriately.
- The term "Overall Evaluation" is misleading.
- The RTO does not have a procedure/policy in place that requires them to inform the workplace owner of any WH&S breaches

15.4 Training and assessment is delivered by trainers and assessors who:

(EOS)

- (a) have the necessary training and assessment competencies as determined by the National Quality Council (NQC) 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.

* Vocational competency is defined as broad industry knowledge and experience, usually combined with a relevant industry qualification. A person with vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. Vocational competency must be considered on an industry-by-industry basis and with reference to the guidance provided in the Assessment Guidelines of the relevant training package.

Evidence guidance:

Sampling: For each qualification, auditors should review an appropriate sample trainer/assessors' credentials, considering:

- Persons who have conducted assessments
- Persons from partnering organisations working on behalf of the RTO
- Persons who operate from a range of RTO sites
- Persons who deliver units with particular technical requirements
- Persons who work under supervision of others (review both persons' credentials).

Trainer credentials: For each trainer/assessor reviewed, evidence is required to confirm:

- training and assessment competencies: TAE40110; or equivalence to TAE40110; or under direct supervision
- vocational competency relevant to the qualification/accredited course to be delivered
- how their industry skills/experience relate to each unit to be delivered
- how they will develop their professional skills as a trainer/assessor
- how their various credentials have been verified for authenticity
- how the RTO has verified the trainer/assessor's commitment to deliver training and/assessment services.
- Auditors may recommend **but must not force** RTOs to present their evidence in a trainer matrix format

Evidence gathered:

Record the names, delivery areas and credentials (qualifications, licences, experience, ongoing development) held by each trainer reviewed, with a judgement of whether the trainer has demonstrated that they possess all required competencies. Record how each trainer's evidence has been verified by the RTO to ensure its authenticity.

The following trainers / assessors qualifications are included as an enclosure to this report:

Evdokia Katahanas

Russell iles

Lisa Anne Porto

Mary Prince

Frances Davidson

Cathy Burgess

Helen Etheridge

Diane Hall

Kelly hall

Leane Holmes

Wesley Jones

All have listed the professional development activities that they have undertaken.

Rectification Evidence gathered 13 November 2012:

Trainer Matrix and PD for the following was sighted:

Nikki Jordan

Frances Davidson

Gwen Johnson

Lesley Jones

Melissa Neal

The matrix includes mapping of each trainer/assessor's vocational experience to the individual competencies.

Result: Compliant Not Compliant

Findings of Non-Compliance:

The Staff Matrix does not map the trainer/assessor's vocational competencies to the vocational experience requirements of the UOCs

15.5 Assessment, including Recognition of Prior Learning (RPL):

(EOS)

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

Evidence guidance:

- *Business Rules for Audit* outline how many units are to be reviewed per qualification
- Assessment should address essential knowledge and skills content as well as how it is practically applied
- Assessment tools should be supported by guidance for assessors about how to measure competence
- Supplementary evidence (from a third party) supports other direct or indirect evidence gathered
- Strategy for training and assessment should indicate whether assessment occurs through holistic clustering of skills and knowledge (across several units) or unit-by-unit basis
- Strategy may demonstrate how some essential knowledge and skills of a unit is assessed within an earlier unit
- Commercially-purchased assessment materials must be validated to confirm how they're relevant to the applicant's delivery strategies and target students
- Where assessment performance must achieve a designated quantitative benchmark, evidence is required to confirm the methodology ensures each competent candidate has demonstrated all essential knowledge and skills

Evidence:**BSB40807 Certificate IV in Frontline Management***BSBINM401A Implement workplace information system**BSBMGT403A Implement continuous improvement*

CHC30208 Certificate III in Aged Care (N.B. This qualification has been superseded by CHC30212 Certificate III in Aged Care, however, the only changes have been to update core WHS units)

*CHCICS302A Participate in the implementation of individualised plans (N.B. this UOC has now been superseded by the B Unit.)**CHCAC318B Work effectively with older people***CHC40708 Certificate IV in Community Services Work**

CHCCILD401A Identify and respond to children and young people at risk (N.B. this UOC has now been superseded by the B Unit.)

CHCORG406A Supervise work

HLT32807 Certificate III in Health Support Services (N.B. This qualification has been superseded by HLT32812 Certificate III in Health Support Services, however, the only changes have been to update core units HLTWHS200A Participate in WHS processes)

HLTCSD306B Respond effectively to behaviours of concern (N.B. this UOC has now been superseded by the D Unit. However, the only changes have been minor terminology)

*HLTIN301C Comply with infection control policies and procedures***HLTFA201A Provide basic emergency life support**

All of the above UOCs have appropriate Workbooks and Assessment tools. These workbooks have been sighted and are detailed documents that provide the learner with all the information necessary to undertake the training.

For systematic validation and moderation, see the comments for Element 15.1 that details these procedures.

Student files previewed:

*Johanna Harges**Joganathan Jayaletchimi*

These students were randomly selected and had the necessary documentation included in their personal files.

Rectification Evidence gathered 13 November 2012:

Screen dump of all qualifications and UOCs offered by Wentworth College

CHC30312 Cert III in Home and Community Care V2

CHC40212 Cert IV in Home and Community Care

TAS CHC40708

First Aid

TAS Cert III Aged Care

TAS Cert IV Aged Care

TAS Cert IV Disability

TAS CHC40608 Cert IV in Leisure and Health

TAS HLT32812 Cert III in Health Support Services

All TAS and qualifications are up to date as required

Result: Compliant Not Compliant**Findings of Non-Compliance:**

The qualifications do not reflect the new WH&S changes

The UOCs have not been checked for version control.

SNR 16 The NVR registered training organisation adheres to principles of access and equity and maximises outcomes for its clients, as follows:

16.1 The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.

Evidence guidance:

The RTO ensures that:

- the needs of clients are established
- client services are put into place or accessed to address the identified needs
- the provision of services is monitored to ensure that they continue to address the identified need.

Evidence gathered:

The RTO has a number of customers that have been with the RTO for a number of years. Whilst the RTO does advertise, most of its capacity is required to maintain the requirements of these customers. The following two documents demonstrate how the RTO determines the needs of their clients.

Enrolment information

details the following:

- Enrolment Procedure
- Orientation Procedure
- Course
- Fees and refund policy
- Language Literacy and Numeracy
- Welfare and Guidance
- Complaints and Appeals
- Disciplinary
- Procedures
- Access and Equity
- Student Records
- Legislative Compliance
- National Recognition
- Recognition of Prior Learning

Code of Practice

that includes the following procedures:

- Training and Assessment services
- Issuance of Qualifications
- Financial Management
- Records and Information Management
- Access and Equity
- RPL (Recognition of Prior Learning)
- Stakeholder feedback
- Provision of information
- Legislative Compliance
- Marketing Accuracy
- Complaints and Appeals

All of the requirements relating to this Element have been included in the documents listed.

Result: Compliant Not Compliant

16.2 The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.

Evidence guidance:

- The RTO's continuous improvement approach is systematic
- Data on the effectiveness of services provided to clients is collected and analysed systematically
- Data that is collected and analysed is relevant and sufficient to allow judgements to be made about the quality of clients services across the RTO's scope of registration and operations
- Improvements to client services are demonstrated.

Evidence gathered:

Continual Improvement Quality Cycle v2 07-2011 (Partial)

See 15.1

Result: Compliant Not Compliant

16.3 Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the

(EOS) training, assessment and support services to be provided, and about their rights and obligations.	
Evidence guidance:	
<ul style="list-style-type: none"> - Information provided to clients is clear, articulate and sufficient to assist them to make an informed choice - The agreement between the RTO and the client is clearly defined and accurate - Improvement to client information services are demonstrated. 	
Evidence gathered:	
QA-CIH-01 Client information Handbook TAS for each qualification Contractor information handbook The PowerPoint detailing the RTO's marketing strategy and approach was also explained during the audit via a copy of correspondence that was provided to a prospective client. This matched with the policies and procedures.	
Result:	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

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.	
(EOS)	
Application:	
This standard applies in any of the following environments:	
<ul style="list-style-type: none"> • training and assessment is conducted for apprentices and trainees • training and assessment is supplemented by formal work placement arranged by the RTO • supplementary evidence is gathered from a student's workplace which contributes to a competency judgement • the RTO has negotiated with a client to deliver an enterprise-specific training program to the client's staff. 	
Evidence guidance:	
<ul style="list-style-type: none"> - Workplace personnel are consulted in the development of workplace training and assessment processes - Workplace personnel are informed of their training and assessment roles and responsibilities, where relevant to the training and assessment program - The RTO monitors the contribution of workplace personnel in supporting each learner's training and assessment - The RTO monitors the learner's progress - Information from workplace personnel is used to continuously improve training and assessment. 	
Evidence gathered:	
See Element 15.1 regarding the continuous improvement relating to the monitoring and review of the training materials. The requirements to be placed upon the Workplace personnel are detailed in the Contractor Information Handbook.	
Result:	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

16.5 Learners receive training, assessment and support services that meet their individual needs.	
Evidence guidance:	
<ul style="list-style-type: none"> - Learners' training and learning support needs are systematically assessed - Learners have access to relevant learning support services, including assistance with language, literacy and numeracy - Training, assessment and learning support services provided to each client are consistent with the training and assessment strategies - Learning, assessment and learning support services are monitored and improved. 	
Evidence gathered:	
Enrolment information details the following:	
<ul style="list-style-type: none"> • Enrolment Procedure • Orientation Procedure • Course • Fees and refund policy • Language Literacy and Numeracy • Welfare and Guidance • Complaints and Appeals • Disciplinary • Procedures • Access and Equity • Student Records • Legislative Compliance • National Recognition 	

- Recognition of Prior Learning
- Code of Practice
that includes the following procedures:
- Training and Assessment services
 - Issuance of Qualifications
 - Financial Management
 - Records and Information Management
 - Access and Equity
 - RPL (Recognition of Prior Learning)
 - Stakeholder feedback
 - Provision of information
 - Legislative Compliance
 - Marketing Accuracy
 - Complaints and Appeals

Result: Compliant Not Compliant

16.6 Learners have timely access to current and accurate records of their participation and progress.

Evidence guidance:

- Learners are informed about how to gain access to their records
- Records of learners' participation and progress through their training program are systematically collected, recorded and stored
- Records management practices are monitored and improvements are demonstrated.

Evidence gathered:

QA-REC-01 Records Management Version 2 Details the procedure for students to access their records.

Result: Compliant Not Compliant

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

Evidence guidance:

- Effective management of complaints and appeals and their resolution are demonstrated
- Complaints and appeals are monitored and reviewed to prevent their recurrence and to improve the RTO's operations or services.

Evidence gathered:

- Code of Practice
that includes the following procedures:
- Training and Assessment services
 - Issuance of Qualifications
 - Financial Management
 - Records and Information Management
 - Access and Equity
 - RPL (Recognition of Prior Learning)
 - Stakeholder feedback
 - Provision of information
 - Legislative Compliance
 - Marketing Accuracy
 - Complaints and Appeals
- QA-CIH-01 Client information Handbook

Result: Compliant Not Compliant

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:

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.

Evidence guidance: <ul style="list-style-type: none"> - Agreements are in place with each client - The RTO ensures that clients' rights as consumers are protected - The RTO's systems are sufficient to support the provision of quality training, assessment and client services - The RTO monitors and reviews the provision of services to clients and demonstrates improvements.
Evidence gathered: QA-CIH-01 Client information Handbook 2012 Enrolment Form-Version 2.1 Code of Practice (detailed in 16.7)
Result: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.
Evidence guidance: Management systems are: <ul style="list-style-type: none"> • Appropriate for the size and scope of the RTO's operations • Focused on providing quality training, assessment and support services • Consistently implemented across all of the RTO's operations • Systematically monitored and improved.
Evidence gathered: Continual Improvement Quality Cycle v2 07-2011 (Partial) See 15.1
Result: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

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. (EOS)
Evidence guidance: <ul style="list-style-type: none"> - Documented agreements are in place with each organisation that provides training and/or assessment on the RTO's behalf. The agreements describe the responsibilities of each party and the management strategies to be implemented, including monitoring arrangements - The implementation of the agreement is monitored to ensure that it is being adhered to and that improvements are made, where required - Improvements to arrangements for the establishment, monitoring and implementation of agreements are demonstrated.
Evidence gathered: The RTO does not engage any other RTOs to provide training and/or assessment on their behalf.
Result: <input type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant <input checked="" type="checkbox"/> Not Applicable

17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.
Evidence guidance: <ul style="list-style-type: none"> - Records are systematically managed - Records for demonstrating compliance with the <i>VET Quality Framework</i> are maintained - Staff meet their responsibilities for records management - The effectiveness of records management is monitored and reviewed - The continuous improvement of record management systems is demonstrated.
Evidence gathered: Code of Practice (See 16.7 for details) QA-REC-01 Records Management Version 2 QA-CAFR-01 Certificate Archive Register Version 2.docx Provides screen shots of the records kept for previous students.
Result: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

SNR 18 The NVR registered training organisation has governance arrangements in place, as follows:

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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Evidence gathered: VET Quality Framework Self-Assessment Strategy outlines the CEO's responsibilities and how the RTO will comply.
Result: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

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.
Evidence guidance: - Trainers and assessors provide input to business decisions so that these decisions promote quality VET - The RTO must demonstrate how it includes the considerations of trainers' and assessors' experiences in decision-making.
Evidence gathered: VET Quality Framework Self-Assessment Strategy QA-CI-04 Management team meeting
Result: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

SNR 19 Interactions with the National VET Regulator

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 (e) in the retention, archiving, retrieval and transfer of records consistent with the National VET Regulator's requirements (f) by providing a statement demonstrating its financial viability and/or financial projections and/or financial statements and/or a business plan on request of the National VET Regulator.
Evidence gathered: QA-ERR-01 External Reporting Responsibilities Version 1 sets out clearly its roles and responsibilities regarding its communications with the VET Regulator (b). QA-REC-01 Records Management Version 2 (a), (e) QA-RBP-01 Cooperation with RTO's registering body (Covers all) QA-CAFR-01 Certificate Archive Register Version 2.docx Provides screen shots of the records kept for previous students.(e)
Result: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

SNR 20 Compliance with Legislation

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.
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.
Evidence gathered: VET Quality Framework Self-Assessment Strategy This is provided to staff through the website Website is currently being updated to provide further information
Result: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

SNR 21 Insurance

21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.
Evidence gathered: Professional Indemnity Certificate of Insurance Liability Certificate of Insurance
Result: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

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.

Evidence gathered:

FINANCIAL REPORT 2011 undertaken by Ganci Accountants and Auditors Coburg VIC
VET Quality Framework Self-Assessment Strategy

Result: Compliant Not Compliant

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

- the total amount of all fees including course fees, administration fees, materials fees and any other charges
- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee
- 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
- 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
- the organisation's refund policy.

Evidence gathered:

QA – FM – 01 Financial Management Version 2

This document provides details of the policies and procedures the RTO follows regarding fees and funding.

Result: Compliant Not Compliant

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:

- (Option 1) the NVR registered training organisation is administered by a state, territory or Commonwealth government agency
- ~~(Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme [Not available]~~
- (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
- (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
- (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.

Evidence guidance:

- This standard is only to be considered not applicable if the RTO provides evidence that it receives no fees in advance, either from enrolled students themselves or from corporate clients that nominate students to be enrolled
- Option 1 is acceptable if the RTO identifies itself as a government agency upon application
- Option 2 is not available until further advice is issued by the National Skills Standards Council
- Option 3 does not protect student fees; operational processes are required to demonstrate how the RTO ensures it does not receive payments from or on behalf of each student over the maximum limit identified in the standard
- Option 4 requires documented confirmation of unconditional guarantee to cover unlimited prepayments for a period of at least 5 years
- Option 5 requires documentary evidence of approval from ASQA for their alternative fee protection measure. [Note: for different types of student, RTOs may be required to apply different fee protection options.]

Fee protection option/s nominated by applicant:

Not applicable Option 1 ~~Option 2~~ Option 3 Option 4 Option 5

Evidence gathered:

Applicant collects fees during and after the provision of training (milestones depending on course length and location (State))

Result:	<input type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant	<input checked="" type="checkbox"/> Not applicable
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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 accredited course, a qualification or 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
- c) includes the NRT logo in accordance with its current conditions of use.

Evidence gathered:
 Logo Usage Policy Version 2
 VET Quality Framework Self-Assessment Strategy
 Both documents ensure that the RTO complies with this Element.

Result:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
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23.2 The NVR registered training organisation must recognise the AQF qualifications and statements of attainment issued by any other RTO.

Evidence gathered:
 Access and Equity
 Provides the guarantee that it will comply with this Element.

Result:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
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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.

Evidence gathered:
 QA-REC-01 Records Management Version 2 complies with the 30 year rule.

Result:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
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23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator.

Evidence gathered:
 Staff demonstrated the procedures, and showed the latest uploads of the AVETMISS Data.

Result:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
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23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier.

Evidence gathered:
 QA-REC-01 Records Management Version 2
 This sample has the unique student identifier located on the front of the certificate.
 Code of Practice (see 16.7)

Result:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
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SNR 24 Accuracy and integrity of marketing

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

24.2 The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.

Evidence gathered:

Supporting Suite of Documents for Marketing
(these documents are continually reviewed in accordance with AQF changes etc)

Qualifications Framework from www.training.gov.au

Sample Training Schedule (includes start finish times)

Sample Resource & Assessment activities (Courseware)

Candidate eligibility form (filled in by the candidate)

Funding/Fees information (Email from NU to LeighPlace Agedcare facility)

ACETI guidelines, commencement & completion application (Provide information only to the customer)

Release hours (discussed prior to commencement employer obligations NSW)

Testimonials (sample from Dutiful Daughters)

Overview of non-accredited short courses (Based upon client needs and discussions with clients)

Elder abuse, Challenging behaviour (dementia) Statement of attendance only

On the website but without the National Logo

Trainer profiles (from the website)

These documents are supplied to potential customers during the negotiation phase and are contextualised to suite the customer's training and assessment needs.

Code of Practice

Result: Compliant Not Compliant

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

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.

25.2 The NVR registered training organisation must manage the transition from superseded accredited courses so that it delivers only currently endorsed training packages or currently accredited courses.

Evidence gathered:

QA – TTP – 01 Transition to a new Training Package

This document provides a process for the transitioning to a new Training Package in accordance with these two Elements.

Result: Compliant Not Compliant