



## Audit report – VET Quality Framework

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

#### ORGANISATION DETAILS

Organisation's legal name	Skills Generation Pty Ltd
Trading name/s	Skills Generation

#### AUDIT TEAM

Lead auditor	Denise Middleton
Auditor/s	Karen Noble
Technical adviser/s	N/A

#### AUDIT DETAILS

Application number/s	1030735	
Audit number/s	1005896	
Address of site/s visited	35 Wrigley Street, Maroochydore Q 4558	
Date/s of audit	25/06/2014	
Organisation's contact for audit	Leonie Murray leonie@workimps.com.au	Chief Executive Officer 0754972250
NVR standards audited	Selected Standards for Initial Registration: 4, 5, 6, 7.2, 7.3, 8.2, 9.2, 11.2, 11.3, 12.1, 12.2, 12.3, 13 and 14	

#### BACKGROUND

- The organisation plans to tailor training and assessment to suits the needs of the enterprise customers. This customer network has been already established via previous business ventures.
- There are no intended partnering arrangements associated with this organisation.
- The organisation plans to deliver non accredited training in the field of conflict management.
- The target market of the organisation is enterprise specific business training and mediation training – court mediation.
- Training and assessment will be via fee for service and public funding dollars through User Choice and Certificate III guarantee. The organisation plans to deliver training that is affordable to its clients.
- The organisation plans to enrol 285 students within its first twelve months of operation.
- Delivery will occur primarily in South-east Queensland and the Sunshine Coast.

#### AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*
BSB40812	Certificate IV in Frontline Management	Face to face



BSB41513	Certificate IV in Project Management Practices	Face to face
BSB51107	Diploma of Management	Face to face
CHC30112	Certificate III in Community Services	Face to face
CHC30408	Certificate III in Disability	Face to face
CHC40312	Certificate IV in Disability	Face to face
CHC40708	Certificate IV in Community Services Work	Face to face
CHC42312	Certificate IV in Mediation	Face to face

### INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Leonie Murray	Executive Director	N/A
Hilda Beukers	Administration Officer	N/A
Bruce Bell	Executive Director	N/A

### ORIGINAL AUDIT FINDING AT TIME OF AUDIT

#### Audit finding as at 25/06/2014: Minor 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 08/08/2014: Compliant

### AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 4	Not compliant	Compliant
SNR 5	Compliant	n/a
SNR 6	Compliant	n/a
SNR 7	Not compliant	Compliant
SNR 8	Compliant	n/a
SNR 9	Compliant	n/a
SNR 10	Not audited	n/a
SNR 11	Compliant	n/a



SNR 12/AQF	Not compliant	Compliant
SNR 13	Compliant	n/a
SNR 14	Compliant	n/a



<b>SNR 4</b>	<b>The applicant must have strategies in place to provide quality training and assessment across all of its operations as follows:</b>
<b>4.1</b>	<b>The applicant has a defined continuous improvement strategy that requires the collection and analysis of data. The strategy includes implementation of continuous improvement activities for training and assessment.</b>
	<b>Original finding:</b> Compliant <b>Following rectification:</b> n/a
<b>4.2</b>	<b>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.</b>
	<b>Original finding:</b> Compliant <b>Following rectification:</b> n/a
<b>4.3</b>	<b>Staff, facilities, equipment, and training and assessment materials to be used by the applicant meet the requirements of the Training Package or VET accredited course and the applicant's own training and assessment strategies and are developed through effective consultation with industry.</b>
	<b>Original finding:</b> Not compliant <b>Following rectification:</b> Compliant
	<i>Reasons for finding of non-compliance:</i>
	<ul style="list-style-type: none"><li>This Standard has been deemed non-compliant as there was a non-compliance identified in Standard 4.5 for the <i>CHCICS301B Provide support to meet personal care needs</i>.</li></ul>
	<i>In order to become compliant, the organisation is required to:</i>
	<ul style="list-style-type: none"><li>This Standard will become compliant when the non-compliance identified in Standard 4.5 has been rectified for <i>CHCICS301B Provide support to meet personal care needs</i>.</li></ul>
	<i>Analysis of rectification evidence:</i>
	<ul style="list-style-type: none"><li>The organisation provided updated assessment tools that addressed the non-compliances identified in Standard 4.5; hence this standard is now compliant.</li></ul>
<b>4.4</b>	<b>The applicant has a defined strategy, procedures and measures to ensure training and assessment services are conducted by trainers and assessors who:</b>
	<b>(a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors;</b>
	<b>(b) have the relevant vocational competencies at least to the level being delivered or assessed;</b>
	<b>(c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and</b>
	<b>(d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</b>
	<b>Original finding:</b> Compliant <b>Following rectification:</b> n/a
<b>4.5</b>	<b>The applicant has a defined strategy and procedures in place to ensure that assessment, including Recognition of Prior Learning (RPL):</b>



- (a) will meet the requirements of the relevant Training Package or VET accredited course;
- (b) will be conducted in accordance with the principles of assessment and the rules of evidence;
- (c) will meet workplace and, where relevant, regulatory requirements; and
- (d) is systematically validated.

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

**CHC30112 Certificate III in Community Services Work**  
**CHC30408 Certificate III in Disability**

CHCICS301B Provide support to meet personal care needs

- The organisation could not demonstrate that its assessment tools provided for the above competency addressed the requirements of the unit:
  - assessment tools included formative assessment throughout workshops, and summative assessment consisting of activities and practical observation.

The practical observation is completed by the student and authorised by a third party (supervisor).

- assessment did not ensure the requirements of the unit of competency would be addressed or that assessment would be conducted in accordance with the rules of evidence or the principles of assessment.

The observation checklist associated with the practical observation of skills (to be completed by a third party supervisor) did not allow for the recording of specific tasks observed, and did not provide guidance or instruction to the third party as to what range of situations needed to be observed in order to meet unit requirements. Therefore it could not be ensured that assessment would capture evidence of the required skills or critical aspects for assessment.

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

**CHC30112 Certificate III in Community Services Work**  
**CHC30408 Certificate III in Disability**

CHCICS301B Provide support to meet personal care needs

The organisation is to provide a suite of assessment tools for the above unit of competency which addresses the following:

- practical observation is authorised by the appropriate person
- practical observation records are based on the specific tasks observed
- sufficient instructions is given to the third party observer to ensure that the correct range of tasks/situations are being observed to make a judgement
- ensure all required skills and critical aspects of the competency are assessed.

*Analysis of rectification evidence:*

**CHC30112 Certificate III in Community Services Work**  
**CHC30408 Certificate III in Disability**

CHCICS301B Provide support to meet personal care needs

- The organisation provided updated assessment tools for the practical component for the competency *CHCICS301B Provide support to meet personal care needs* that met the non-compliances identified at audit.



<b>SNR 5</b>	<b>The applicant must have strategies in place to adhere to the principles of access and equity and to maximise outcomes for its clients, as follows:</b>
<b>5.1</b>	<b>The applicant has a strategy in place detailing how it will establish and meet the needs of its clients.</b>
<b>Original finding:</b>	<b>Compliant</b>
<b>Following rectification:</b>	<b>n/a</b>
<b>5.2</b>	<b>The applicant has a strategy in place for the implementation of continuous improvement of client services informed by the analysis of relevant data.</b>
<b>Original finding:</b>	<b>Compliant</b>
<b>Following rectification:</b>	<b>n/a</b>
<b>5.3</b>	<b>The applicant has in place a process and mechanism to provide all clients information about the training, assessment and support services to be provided, and about their rights and obligations, prior to enrolment or entering into an agreement.</b>
<b>Original finding:</b>	<b>Compliant</b>
<b>Following rectification:</b>	<b>n/a</b>
<b>5.4</b>	<b>Where identified in the learning and assessment strategy, the applicant has engaged or has a defined strategy in place to engage with employers or other parties who contribute to each learner's training and assessment on the development, delivery and monitoring of training and assessment.</b>
<b>Original finding:</b>	<b>Not audited</b>
<b>Following rectification:</b>	<b>n/a</b>
<b>5.5</b>	<b>The applicant has a defined process and mechanism in place to ensure learners receive training, assessment and support services that meet their individual needs.</b>
<b>Original finding:</b>	<b>Compliant</b>
<b>Following rectification:</b>	<b>n/a</b>
<b>5.6</b>	<b>The applicant has a defined process and mechanism in place to ensure learners have timely access to current and accurate records of their participation.</b>
<b>Original finding:</b>	<b>Compliant</b>
<b>Following rectification:</b>	<b>n/a</b>
<b>5.7</b>	<b>The applicant has a defined complaints and appeals process that will ensure learners' complaints and appeals are addressed effectively and efficiently.</b>
<b>Original finding:</b>	<b>Compliant</b>
<b>Following rectification:</b>	<b>n/a</b>
<b>SNR 6</b>	<b>The applicant must have in place management systems that will be responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO will operate, as follows:</b>
<b>6.1</b>	<b>The applicant has a strategy in place detailing how the management of its operations will ensure clients receive the services detailed in their agreement with the applicant.</b>
<b>Original finding:</b>	<b>Compliant</b>
<b>Following rectification:</b>	<b>n/a</b>
<b>6.2</b>	<b>The applicant has a defined strategy for the implementation of a systematic continuous improvement approach to the management of operations.</b>



**Original finding:** Compliant

**Following rectification:** n/a

**6.3** Where applicable, the applicant has a defined process and mechanism to monitor training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

**Original finding:** Not audited

**Following rectification:** n/a

**6.4** The applicant has a defined strategy and process to manage records to ensure their accuracy and integrity.

**Original finding:** Compliant

**Following rectification:** n/a

**SNR 7** The applicant has adequate governance arrangements, as follows:

**7.1** The applicant must demonstrate to the National VET Regulator;  
 (a) what its intended objectives as an RTO are;  
 (b) that it has undertaken business planning; and  
 (c) ~~the continuing viability, including financial viability, of its proposed operations.~~

**Original finding:** Not audited

**Following rectification:** n/a

**7.2** The applicant must also demonstrate how it will ensure the decision making of senior management is informed by the experiences of its trainers and assessors.

**Original finding:** Compliant

**Following rectification:** n/a

**7.3** The applicant's Chief Executive must identify how he or she will ensure that it will comply with the VET Quality Framework and any national guidelines approved by the National Skills Standards Council or its successors. This applies to all of the operations within the applicant's intended scope of operation.

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- Non-compliance was identified in Standards 4.3, 4.5 and 12.1, hence this Standard is deemed non-compliant.

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

- This Standard will be deemed compliant when the non-compliances in Standards 4.3, 4.5 and 12.1 have been addressed.

*Analysis of rectification evidence:*

- The organisation provided rectification evidence which addressed all outstanding non-compliances identified in standards 4.3, 4.5 and 12.1; hence this standard is now compliant.

**SNR 8** Interactions with the National VET Regulator



**8.1 The application for initial registration must be accompanied by a self-assessment report of the applicant's compliance with the VET Quality Framework.**

**Original finding:** Not audited

**Following rectification:** n/a

**8.2 The applicant's chief executive must identify how it will ensure that the applicant will 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 to 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.**

**Original finding:** Compliant

**Following rectification:** n/a

## **SNR 9 Compliance with legislation**

**9.1 The applicant must identify how it will comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its intended operations and its intended scope of registration.**

**Original finding:** Not audited

**Following rectification:** n/a

**9.2 The applicant must identify how it will inform staff and clients of the legislative and regulatory requirements that affect their duties or participation in vocational education and training.**

**Original finding:** Compliant

**Following rectification:** n/a

## **SNR 10 Insurance**

**10.1 The applicant must hold public liability insurance.**

**Original finding:** Not audited

**Following rectification:** n/a

## **SNR 11 Financial management for initial registration**

**11.1 The applicant must be able to demonstrate to the National VET Regulator, on request, that it will be financially viable at all times during the period of its registration.**

**Original finding:** Not audited

**Following rectification:** n/a

**11.2 The applicant must identify how it will provide the following fee information necessary for continuing registration, 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 RTO 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 applicant's refund policy.

**Original finding:** Compliant

**Following rectification:** n/a

**11.3** Where the applicant intends collecting student fees in advance it must ensure it will comply with one of the following acceptable options for continuing registration:

- (a) (Option 1) the RTO is administered by a State, Territory or Commonwealth government agency;
- (b) ~~(Option 2) the RTO holds current membership of an approved Tuition Assurance Scheme;~~ [option 2 not currently available]
- (c) (Option 3) the RTO may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO 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 RTO holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the RTO which are prepayments from students (or future students) for tuition to be provided by the RTO to those students; or
- (e) (Option 5) the RTO has alternative fee protection measures of equal rigour approved by the National VET Regulator.

**Original finding:** Compliant

**Following rectification:** n/a

**SNR 12** Strategy for certification, issuing and recognition of qualifications & statements of attainment

**12.1** The applicant must identify how it will 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 requirements;
- (b) identifies the RTO by its national provider number from the National Register; and
- (c) includes the Nationally Recognised Training (NRT) logo, in accordance with the current conditions of use.

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- The organisation provided a sample qualification which contained references to employability skills.
- The organisation could not provide evidence to demonstrate that it would ensure that its qualification was protected from fraud.



- The organisation removed references to employability skills from its documents during the audit and gave an undertaking that it would purchase a seal to ensure that its documents would be protected from fraud, hence no further evidence is required to demonstrate compliance.

**12.2 The applicant must confirm that it will recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.**

**Original finding:** Compliant

**Following rectification:** n/a

**12.3 The applicant must retain client records of attainment of units of competency and qualifications for a period of 30 years.**

**Original finding:** Compliant

**Following rectification:** n/a

**12.4 The applicant must identify how it will 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. [no requirements currently exist]**

This element was not audited.

**12.5 The applicant must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]**

This element was not audited.

### **SNR 13 Strategy for accuracy and integrity of marketing**

**13.1 The applicant must demonstrate that its proposed marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.**

**Original finding:** Compliant

**Following rectification:** n/a

**13.2 The applicant demonstrates that it will use the NRT logo only in accordance with its conditions of use.**

**Original finding:** Compliant

**Following rectification:** n/a

### **SNR 14 Strategy for transition to Training Packages/expiry of VET accredited courses**

**14.1 The applicant must identify how it will 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.**

**Original finding:** Compliant

**Following rectification:** n/a

**14.2 The applicant must identify how it will manage the transition from superseded VET accredited courses so that it will deliver only currently endorsed Training Packages or**



**current VET accredited courses.**

**Original finding:** Not audited

**Following rectification:** n/a