

## Audit report – VET Quality Framework

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

#### ORGANISATION DETAILS

Organisation's legal name	<b>Managed Corporate Outcomes Pty Ltd</b>
Trading name/s	Managed Corporate Outcomes Pty Ltd MCO International Business Institute
RTO number	30981
CRICOS number	n/a

#### AUDIT TEAM

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

#### AUDIT DETAILS

Application number/s	1048128	
Audit number/s	1004738	
Audit reason 1	Application - renewal	
Audit reason 2	n/a	
Audit reason 3	n/a	
Activity type	Site visit	
Address of site/s visited	Unit 4/193 South Pine Road BRENDALE QLD 4500	
Date/s of audit	10-11 December 2013	
Organisation's contact for audit	Melinda Symon manager@mcosite.com.au	Chief Executive Officer 07 3205 1130
NVR standards audited	Selected Standards for Continuing Registration: 15, 16, 17, 18, 20, 22.2	

#### BACKGROUND

- Managed Corporate Outcomes Pty Ltd was first registered as a training organisation in November 2003.
- At the time of application for renewal of registration, the organisation was owned by Ms Melinda Symon. At audit, the organisation advised it was in the process of undergoing a change of ownership. The new business owners, whose shareholders include Ms Symon, submitted a *Notification of material change or event* to ASQA on 13 December 2013.
- Day to day operations is managed by Ms Symon, who is also a trainer and assessor. The organisation



also employs a number of other trainers and assessors and administration staff.

- The business is operated from a permanent delivery site in Brendale, Queensland. The majority of training and assessment is delivered within a workplace, or at hired training rooms.
- The organisation advised that, in 2013, approximately 70% of training and assessment was sourced through funded training, including traineeships and the Certificate III Guarantee.
- The organisation is not CRICOS registered and does not have any partnering arrangements.
- Total number of student completions as at audit date: 965.
- During the audit, a review of completed student files for **BSB10112 Certificate I in Business** identified assessment had not been conducted in accordance with the rules of evidence. The organisation advised the assessor was no longer employed with the organisation, and further provided evidence to demonstrate moderation and records management processes it introduced to ensure all subsequent assessment meets the requirements of the rules of evidence.

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

- 359

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB10112	Certificate I in Business	Face to face	0
BSB30211	Certificate III in Customer Contact	Face to face	0
BSB40110	Certificate IV in Legal Services	Face to face	0
BSB41412	Certificate IV in Work Health and Safety	Face to face / workplace	7
BSB51207	Diploma of Marketing	Face to face / workplace	3
BSB51413	Diploma of Project Management	Face to face / workplace	25
BSB60612	Advanced Diploma of Work Health and Safety	Face to face / workplace	0
CPC40208	Certificate IV in Building and Construction (Contract Administration)	Face to face / workplace	7
FDF30111	Certificate III in Food Processing	Face to face / workplace	32
FNS40211	Certificate IV in Bookkeeping	Face to face / workplace	13
FNS50210	Diploma of Accounting	Face to face / workplace	5
MSS30312	Certificate III in Competitive Systems and Practices	Face to face / workplace	0
MSS40312	Certificate IV in Competitive Systems and Practices	Face to face / workplace	4
RII20109	Certificate II in Resources and	Face to face /	0



	Infrastructure Work Preparation	workplace	
RII50109	Diploma of Surface Operations Management	Face to face / workplace	7
SIR20212	Certificate II in Retail Services	Face to face	0
SIR40212	Certificate IV in Retail Management	Face to face / workplace	0
TAE40110	Certificate IV in Training and Assessment	Face to face	5
CPPCMN3001B	Participate in environmentally sustainable work practices	Face to face	0
RIIVEH305A	Operate and maintain a four wheel drive vehicle	Face to face	0

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

### INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Melinda Symon	Chief Executive Officer	BSB41412, BSB51207, BSB51413, BSB60612, CPC40208,
Neville Kussrow	Operations Manager	BSB30211, BSB41412, BSB51413, TAE40110
Neil Shilbury	Director	n/a

### ORIGINAL AUDIT FINDING AT TIME OF AUDIT

#### Audit finding as at 11/12/2013: 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 13/02/2014: Compliant

### AUDIT FINDING BY STANDARD

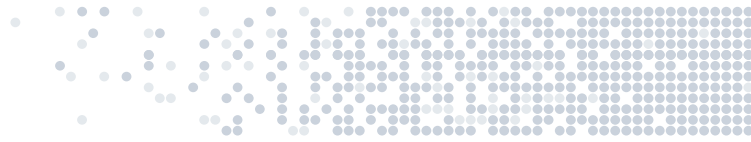
Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Compliant	n/a
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Not audited	n/a
SNR 20	Compliant	n/a



SNR 21	Not audited	n/a
SNR 22	Compliant	n/a
SNR 23/AQF	Not audited	n/a
SNR 24	Not audited	n/a
SNR 25	Not audited	n/a



<b>SNR 15</b>	<b>The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:</b>
<b>15.1</b>	<b>The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.</b>
<b>Original finding:</b>	<b>Compliant</b>
<b>Following rectification:</b>	<b>n/a</b>
<b>15.2</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>	<b>Compliant</b>
<b>Following rectification:</b>	<b>n/a</b>
<b>15.3</b>	<b>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.</b>
<b>Original finding:</b>	<b>Not compliant</b>
<b>Following rectification:</b>	<b>Compliant</b>
<i>Reasons for finding of non-compliance:</i>	
<b>BSB40110 Certificate IV in Legal Services</b>	
<b>CPC40208 Certificate IV in Building and Construction (Contract Administration)</b>	
<b>FNS50210 Diploma of Accounting</b>	
<b>RII20109 Certificate II in Resources and Infrastructure Work Preparation</b>	
<i>CPPCMN3001B Participate in environmentally sustainable work practices</i>	
<i>RIIVEH305A Operate and maintain a four wheel drive vehicle</i>	
<ul style="list-style-type: none"><li>• For each qualification and explicitly listed unit of competency above, as non-compliances were identified in SNR 15.4 and 15.5, the organisation did not demonstrate it had staff or assessment materials consistent with the requirements of the respective Training Packages.</li><li>• In addition, for <b>BSB40110 Certificate IV in Legal Services</b> and <i>RIIVEH305A Operate and maintain a four wheel drive vehicle</i>, the organisation advised it was not fully resourced and did not have training materials consistent with the requirements of the respective Training Packages.</li></ul>	
<b>FNS40211 Certificate IV in Bookkeeping</b>	
<b>RII50109 Diploma of Surface Operations Management</b>	
<ul style="list-style-type: none"><li>• As non-compliances were identified in SNR 15.4, the organisation did not demonstrate it had staff consistent with the requirements of the respective Training Packages.</li></ul>	
<b>BSB51413 Diploma of Project Management</b>	
<b>FDF30111 Certificate III in Food Processing</b>	
<b>SIR20212 Certificate II in Retail Services</b>	
<b>SIR40212 Certificate IV in Retail Management</b>	
<b>TAE40110 Certificate IV in Training and Assessment</b>	
<ul style="list-style-type: none"><li>• For each qualification above, as non-compliances were identified in SNR 15.5, the organisation did not demonstrate it had assessment materials consistent with the requirements of the respective Training Packages.</li></ul>	



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

**BSB40110 Certificate IV in Legal Services**

**CPC40208 Certificate IV in Building and Construction (Contract Administration)**

**FNS50210 Diploma of Accounting**

**RII20109 Certificate II in Resources and Infrastructure Work Preparation**

*CPPCMN3001B Participate in environmentally sustainable work practices*

*RIIVEH305A Operate and maintain a four wheel drive vehicle*

- For each qualification and explicitly listed unit of competency above, provide evidence to satisfactorily address the non-compliances identified in SNR 15.4 and 15.5, which will demonstrate the organisation has staff and assessment materials consistent with the requirements of the respective Training Packages.
- In addition, for **BSB40110 Certificate IV in Legal Services** and *RIIVEH305A Operate and maintain a four wheel drive vehicle*, provide its suite of training materials that are consistent with the requirements of the respective Training Packages.

**FNS40211 Certificate IV in Bookkeeping**

**RII50109 Diploma of Surface Operations Management**

- Provide evidence to satisfactorily address the non-compliances identified in SNR 15.4, which will demonstrate the organisation has staff consistent with the requirements of the respective Training Packages.

**BSB51413 Diploma of Project Management**

**FDF30111 Certificate III in Food Processing**

**SIR20212 Certificate II in Retail Services**

**SIR40212 Certificate IV in Retail Management**

**TAE40110 Certificate IV in Training and Assessment**

- For each qualification 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 respective Training Packages.

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*Analysis of rectification evidence:*

**BSB40110 Certificate IV in Legal Services**

**BSB51413 Diploma of Project Management**

**CPC40208 Certificate IV in Building and Construction (Contract Administration)**

**FDF30111 Certificate III in Food Processing**

**FNS40211 Certificate IV in Bookkeeping**

**FNS50210 Diploma of Accounting**

**RII20109 Certificate II in Resources and Infrastructure Work Preparation**

**RII50109 Diploma of Surface Operations Management**

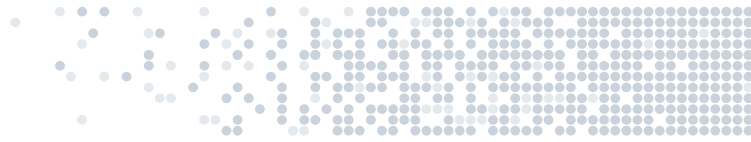
**SIR20212 Certificate II in Retail Services**

**SIR40212 Certificate IV in Retail Management**

**TAE40110 Certificate IV in Training and Assessment**

*CPPCMN3001B Participate in environmentally sustainable work practices*

- The organisation provided evidence to satisfactorily address the non-compliances identified in SNR 15.4 and / or 15.5, which demonstrates it has staff and assessment materials consistent with the requirements of the respective Training Packages.



- 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:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

**CPC40208 Certificate IV in Building and Construction (Contract Administration)**

- For the above qualification, it could not be determined Ms Melinda Symon had:
  - relevant vocational competencies at least to the level being delivered and assessed
  - current industry skills directly relevant to the training/assessment being undertaken
  - development of industry currency.

Ms Symon was nominated as a trainer and assessor for a number of qualifications across multiple industry areas. Although a trainer matrix, resume and copies of qualifications were provided for Ms Symon, the information contained in the documents did not clearly relate to the above listed qualification.

**BSB40110 Certificate IV in Legal Services**

**FNS40211 Certificate IV in Bookkeeping**

**FNS50210 Diploma of Accounting**

- For the above qualifications, it could not be determined Ms Vivian Younger had:
  - the necessary training and assessment competencies
  - sufficient development of VET knowledge and skills and trainer/assessor competence.

The organisation verbally advised Ms Younger had completed the TAE40110 Certificate IV in Training and Assessment, however could not provide evidence to support this.

**RII20109 Certificate I in Resources and Infrastructure Work Preparation**

**RII50109 Diploma of Surface Operations Management**

*CPPCM3001B Participate in environmentally sustainable work practices*

- For the above qualification and explicitly listed unit of competency, it could not be determined Mr Andrew Bowring had:
  - the necessary training and assessment competencies
  - sufficient development of VET knowledge and skills and trainer/assessor competence.

The organisation verbally advised Mr Bowring had completed the TAA40104 Certificate IV in Training and Assessment and was in the process of completing the TAE40110 Certificate IV in Training and Assessment. The organisation could not provide evidence to support this however.

*RIIVEH305A Operate and maintain a four wheel drive vehicle*

- For the above explicitly listed unit of competency, the organisation advised it was not fully resourced and did not have a trainer and assessor who had:
  - the necessary training and assessment competencies
  - relevant vocational competencies at least to the level being delivered and assessed



- current industry skills directly relevant to the training/assessment being undertaken
- sufficient development of VET knowledge and skills, industry currency, and trainer/assessor competence.

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

**CPC40208 Certificate IV in Building and Construction (Contract Administration)**

- For the above qualification, provide evidence which demonstrates Ms Melinda Symon has relevant vocational competencies at least to the level being delivered and assessed, current industry skills directly relevant to the training and assessments, and development of industry currency.

**BSB40110 Certificate IV in Legal Services**

**FNS40211 Certificate IV in Bookkeeping**

**FNS50210 Diploma of Accounting**

- For the above qualifications, provide evidence to demonstrate Ms Vivian Younger has the necessary training and assessment competencies, and has continued to develop her VET knowledge and skills and trainer/assessor competence.

**RII20109 Certificate I in Resources and Infrastructure Work Preparation**

**RII50109 Diploma of Surface Operations Management**

*CPPCMN3001B Participate in environmentally sustainable work practices*

- For the above qualification and explicitly listed unit of competency, provide evidence to demonstrate Mr Andrew Bowring has the necessary training and assessment competencies, and has continued to develop his VET knowledge and skills and trainer/assessor competence.

*RIIVEH305A Operate and maintain a four wheel drive vehicle*

- For the above explicitly listed unit of competency, provide evidence to demonstrate it has a trainer and assessor who has:
  - the necessary training and assessment competencies
  - relevant vocational competencies at least to the level being delivered and assessed
  - current industry skills directly relevant to the training and assessments
  - continued to develop their VET knowledge and skills, industry currency, and trainer/assessor competence.

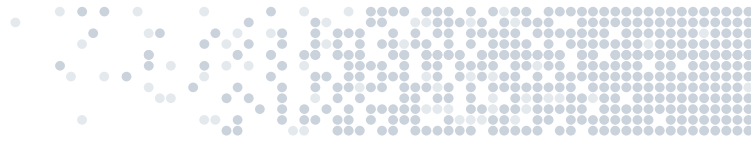
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*Analysis of rectification evidence:*

**CPC40208 Certificate IV in Building and Construction (Contract Administration)**

- For Ms Melinda Symon, the organisation provided the following advice:
  - She has subscribed membership to Master Builders
  - She has a subscription to BuildIT and Excellence in Construction
  - She attended a workshop: Project Administration for Commercial Projects
  - Description of tender application processes undertaken to deliver training
  - She has attended Construction Skills Queensland workshops, breakfasts and forums
  - Industry references from John Holland, Watpac, Leightons, Laing O'Rourke. The references are supportive of training provided, contextualisation of training, and the development of non-accredited training
  - Qualification – Masters of Professional Management; Diploma of Occupational Health and Safety
  - Current enrolment – CPC40110 Certificate IV in Building and Construction (Building) with Master Builders
  - Competency mapping for qualification, which demonstrates the units Ms Symon





will deliver.

- The evidence demonstrates Ms Melinda Symon has sufficient development of industry currency. The information does not include dates of attendance for workshops; however the subscription of memberships should support general currency.
- The evidence demonstrates Ms Symon has relevant vocational competencies at least to the level being delivered and assessed, and current industry skills, for the units of competency she is nominated to deliver.
  
- The organisation also nominated Aleksandar Ilic as a trainer and assessor for partial delivery of the qualification (the remaining units Ms Symon will not deliver). For Mr Ilic, the organisation provided the following evidence:
  - TAE40110 Certificate IV in Training and Assessment, MCO, 22/08/2013 (note – Mr Ilic's file was reviewed at audit for this qualification)
  - CPC40208 Certificate IV in Building and Construction (Contract Administration), MCO, 15/10/2013
  - RPL credit worksheet for CPC40208
  - BSB51407 Diploma of Project Management, MCO, 04/12/2012
  - Resume of Aleksandar Ilic – Currently Head Contract Administrator with John Holland
  - Competency mapping for qualification, which demonstrates the units Mr Ilic will deliver.
  
- The evidence demonstrated Mr Ilic has the necessary training and assessment competencies; relevant vocational competencies; can demonstrate current industry skills; and has developed his VET knowledge and skills as well as industry currency and trainer/assessor competence.

#### **BSB40110 Certificate IV in Legal Services**

- The organisation withdrew the qualification from its scope of registration (APP 1057961). No further evidence is required.

#### **FNS40211 Certificate IV in Bookkeeping**

##### **FNS50210 Diploma of Accounting**

- The organisation provided:
  - TAE40110 Certificate IV in Training and Assessment, RTO 32067, dated 04/02/2014.
- The evidence demonstrates Ms Vivian Younger has the necessary training and assessment competencies, and has continued to develop her VET knowledge and skills and trainer/assessor competence.

#### **RII20109 Certificate I in Resources and Infrastructure Work Preparation**

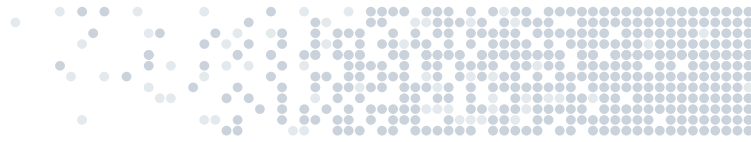
##### **RII50109 Diploma of Surface Operations Management**

##### *CPPCMN3001B Participate in environmentally sustainable work practices*

- The organisation provided:
  - TAE40110 Certificate IV in Training and Assessment, RTO 30982, dated 25/05/2012.
  - Trainer and assessor matrix – including information on VET industry currency and professional development
- The evidence demonstrates Mr Andrew Bowring has the necessary training and assessment competencies and has continued to develop his VET knowledge and skills and trainer/assessor competence.

##### *RIIVEH305A Operate and maintain a four wheel drive vehicle*

- The organisation withdrew the unit of competency from its scope of registration (APP 1057809). No further evidence is required.



**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:*

**BSB40110 Certificate IV in Legal Services**

*BSBLEG418A Produce complex legal documents*

- The organisation advised it was not fully resourced and did not have assessment materials that:
  - met the requirements of the BSB07 Training Package
  - demonstrated assessment would be conducted in accordance with the principles of assessment and the rules of evidence
  - had been systematically validated.

**BSB51413 Diploma of Project Management**

*BSBPMG514A Manage project cost*

- Assessment tools had been developed to meet the requirements of a superseded unit of competency. Assessment did not address all requirements of the current unit of competency; including the range statement and critical aspects for assessment. As examples:
  - Assessment did not assess the preparation of a budget for a project. While the organisation verbally advised this component was assessed within another unit of competency, it did not clearly identify this to the student or assessor
  - Assessment did not allow for the level of detail required to ensure the full range of performance requirements described would be addressed.

*BSBMGT516C Facilitate continuous improvement*

- Assessment did not address all requirements of the BSB07 Training Package; including all required skills. Further, the information provided to assessors and students did not ensure assessment would be conducted in accordance with the principles of assessment. As examples:
  - Assessment did not assess learning skills to coach and mentor staff, using a range of methods to cater for different learning styles
  - Clear information was not provided for the assessor or student to explain the requirements for the assessment “presentation”.

**CPC40208 Certificate IV in Building and Construction (Contract Administration)**

*CPCCBC4006B Select, procure and store construction materials for low rise projects*

- Assessment did not address all requirements of the CPC08 Training Package; including all elements and performance criteria, required skills, critical aspects for assessment, context of and specific resources for assessment, or method of assessment. As examples:
  - Assessment did not include the direct observation of tasks in real or simulated work conditions using resources such as computers with 2-D CAD drawing software
  - Assessment did not assess the ability to identify suitable building and construction materials specified by a project, to use verbal and written communication skills with manufacturers, to test materials, to safely handle and store materials, or to maintain sampling and record-keeping processes.



### **FDF30111 Certificate III in Food Processing**

#### *FDFTEC3001A Participate in a HACCP team*

- Assessment did not address all requirements of the FDF10 Training Package; including all required knowledge, required skills, or range statement. Further, it could not be ensured that assessment would be conducted in accordance with the principles of assessment and rules of evidence. As examples:
  - The assessment tool “oral questions” was not supported with the evidence criteria used by an assessor to judge the quality of performance (the assessment decision-making rules)
  - Assessment did not assess knowledge of the roles and responsibilities for development and maintenance of the food safety program; raw materials, ingredient and finished product composition and characteristics, and related handling and storage requirements; sources of technical expertise on food safety requirements; the role of consultation in the development, implementation and ongoing maintenance of the food safety program; or conditions required for bacterial food poisoning to occur
  - Assessment did not assess the ability to identify personal roles and responsibilities for participating in the development or review of a food safety program.

### **FNS50210 Diploma of Accounting**

#### *FNSACC503A Manage budgets and forecasts*

- Assessment did not address all requirements of the FNS10 Training Package; including all required skills.
  - Assessment did not assess the ability to determine and confirm budgeting requirements and deal with clients, using questioning and active listening.

### **RII20109 Certificate II in Resources and Infrastructure Work Preparation**

#### *RIICCM201A Carry out measurements and calculations*

- Assessment did not address all requirements of the RII09 Training Package; including all required skills. As examples:
  - Calculations did not incorporate all requirements specified in the unit of competency
  - Guidance was not provided to the assessor of the specific requirement to complete five separate tasks of measurement of objects to within 1mm.

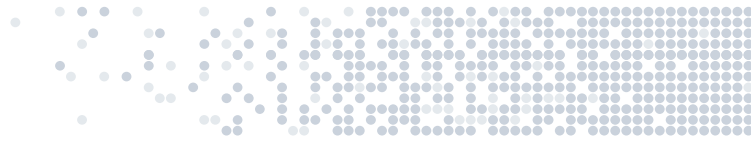
#### *RIISAM203B Use hand and power tools*

- Assessment did not address all requirements of the RII09 Training Package; including all required knowledge and required skills. Further, it could not be ensured that assessment would be conducted in accordance with the principles of assessment and rules of evidence. As examples:
  - Information provided to the student and assessor advised a multiple choice assessment tool was required to be completed; this assessment tool was not available at audit
  - The organisation advised that some aspects of the required skills may be captured within a Structured Workplace Learning Program Student Handbook, to be completed as part of 140 hours on-the-job training, and that some aspects of the required knowledge may be addressed in other units of competency within the qualification. Information was not provided to the student or assessor about these tools.

### **SIR20212 Certificate II in Retail Services**

#### *SIRXRSK201 Minimise loss*

- Assessment tools had been developed to meet the requirements of a superseded unit of competency. Assessment did not address all of the requirements of the current unit of competency; including all elements and performance criteria, required skills, or context of and specific resources for assessment. As examples:



- Assessment did not assess the demonstration of communication and interpersonal skills, observation skills, technical skills, or all literacy and numeracy skill requirements
- Assessment was not undertaken on the ability to use stock effectively
- Assessment did not ensure access to a real or simulated work environment, or require access to relevant documentation, security equipment or point-of-sale equipment.

*SIRXSL002A Advise on products and services*

- Although assessment relating to product knowledge was undertaken, the assessment tasks did not require the student to apply skills and knowledge in the context of the unit of competency. Consequently, assessment did not address all requirements of the SIR07 Training Package; including all elements and performance criteria, required knowledge, required skills, critical aspects for assessment, or context of and specific resources for assessment. As examples:
  - Assessment did not ensure the use of stock, relevant documentation (including store policies and procedures), customers, or communication equipment while in a retail work environment
  - Assessment did not assess the demonstration of interpersonal or numeracy skills.

**SIR40212 Certificate IV in Retail Management**

*SIRXMPR001A Profile a retail market*

- Assessment did not address all requirements of the SIR07 Training Package; including all elements and performance criteria, required skills, critical aspects for assessment, or context of and specific resources for assessment. As examples:
  - Assessment did not ensure access to a retail work environment to promote the store image, profile its customers, work with the retail supervisor to discuss and evaluate ideas, or to implement ideas
  - Assessment did not assess the demonstration of interpersonal skills or literacy skills to interpret store policy and procedures or generate reports.

**TAE40110 Certificate IV in Training and Assessment**

*TAEASS402B Assess competence*

- Assessment was clustered with another unit of competency. Assessment did not address all requirements of the TAE10 Training Package; including all elements and performance criteria, required skills, or critical aspects for assessment. In addition, it could not be ensured that assessment would be conducted in accordance with the principles of assessment and rules of evidence. As examples:
  - A review of completed student files identified that, although students were required to demonstrate the ability to “assess competence”, these tasks were not documented and information about assessment requirements were not provided to the assessor or student
  - The tasks undertaken in the completed student files did not meet all requirements of the unit of competency
  - Assessment was not supported with the evidence criteria used by an assessor to judge the quality of performance (the assessment decision-making rules).

*CPPCMN3001B Participate in environmentally sustainable work practices*

The organisation provided two separate assessment options for the unit of competency, dependent on whether the unit was delivered explicitly (Option One), or clustered with another unit of competency (Option Two).

- Option One - The organisation used commercially developed tools. Assessment did not address all requirements of the CPP07 Training Package; including all elements and performance criteria, required skills, or critical aspects for assessment.
  - Instructions for the practical assessment identified that direct observation would occur and that the assessor would develop and provide a properly contextualised task prior to the observation. The task had not been developed.



- Option Two – Assessment did not address all requirements of the CPP07 Training Package; including all elements and performance criteria, required skills, critical aspects for assessment, overview of assessment, or method of assessment.
  - Assessment tools were not “strictly relevant to the particular workplace role” and did not include the direct observation of tasks in real or simulated conditions
  - It is noted that, although not identified as an assessment tool, the organisation advised a Structured Workplace Learning Program Student Handbook was completed, as part of on-the-job training. If utilised as an assessment tool, the handbook may address some of the requirements.

*RIIVEH305A Operate and maintain a four wheel drive vehicle*

- The organisation advised it was not fully resourced and did not have assessment materials that:
  - met the requirements of the RI109 Training Package
  - demonstrated assessment would be conducted in accordance with the principles of assessment and the rules of evidence
  - had been systematically validated..

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

**BSB40110 Certificate IV in Legal Services**

*BSBLEG418A Produce complex legal documents*

- Provide its suite of assessment tools, including the context and conditions of assessment, the tasks to be administered to the student, an outline of the evidence to be gathered from the candidate and the assessment decision-making rules, to demonstrate assessment:
  - meets the requirements of the BSB07 Training Package
  - will be conducted in accordance with the principles of assessment and the rules of evidence
  - has been systematically validated.

**BSB51413 Diploma of Project Management**

*BSBPMG514A Manage project cost*

- Provide its assessment tools to demonstrate assessment meets all requirements of the BSB07 Training Package; including the range statement and critical aspects for assessment.

*BSBMGT516C Facilitate continuous improvement*

- Provide its assessment tools to demonstrate assessment meets all requirements of the BSB07 Training Package; including all required skills.
- The tools are to be supported with clear information for the assessor and student to explain all assessment requirements.

**CPC40208 Certificate IV in Building and Construction (Contract Administration)**

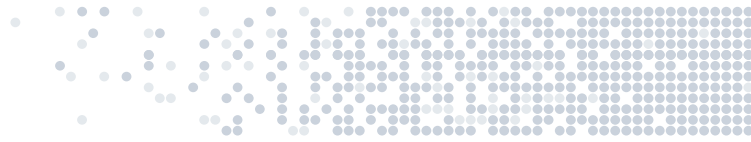
*CPCBC4006B Select, procure and store construction materials for low rise projects*

- Provide its assessment tools to demonstrate assessment meets all requirements of the CPC08 Training Package; including all elements and performance criteria, required skills, critical aspects for assessment, context of and specific resources for assessment, and method of assessment.

**FDF30111 Certificate III in Food Processing**

*FDFTEC3001A Participate in a HACCP team*

- Provide its assessment tools to demonstrate assessment meets all requirements of the FDF10 Training Package; including all required knowledge, required skills, and range statement.
- The tools are to be supported with the assessment decision-making rules to ensure assessment would be conducted in accordance with the principles of assessment and



rules of evidence.

### **FNS50210 Diploma of Accounting**

*FNSACC503A Manage budgets and forecasts*

- Provide its assessment tools to demonstrate assessment meets all requirements of the FNS10 Training Package; including all required skills.

### **RII20109 Certificate II in Resources and Infrastructure Work Preparation**

*RIICCM201A Carry out measurements and calculations*

- Provide its assessment tools to demonstrate assessment meets all requirements of the RII09 Training Package; including all required skills.

*RIISAM203B Use hand and power tools*

- Provide its assessment tools to demonstrate assessment meets all requirements of the RII09 Training Package; including all required knowledge and required skills.
- The tools are to be supported with clear information for the assessor and student to clearly identify all assessment tools relating to the unit of competency and explain assessment requirements.

### **SIR20212 Certificate II in Retail Services**

*SIRXRSK201 Minimise loss*

- Provide its assessment tools to demonstrate assessment meets all of the requirements of the SIR07 Training Package; including all elements and performance criteria, required skills, and context of and specific resources for assessment.

*SIRXSL002A Advise on products and services*

- Provide its assessment tools to demonstrate assessment meets all requirements of the SIR07 Training Package; including all elements and performance criteria, required knowledge, required skills, critical aspects for assessment, and context of and specific resources for assessment.

### **SIR40212 Certificate IV in Retail Management**

*SIRXMPR001A Profile a retail market*

- Provide its assessment tools to demonstrate assessment meets all requirements of the SIR07 Training Package; including all elements and performance criteria, required skills, critical aspects for assessment, and context of and specific resources for assessment.

### **TAE40110 Certificate IV in Training and Assessment**

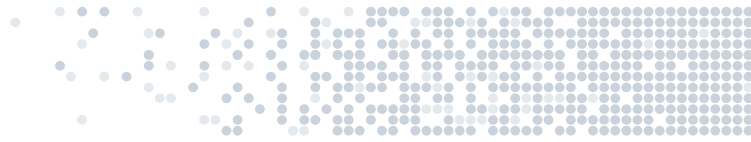
*TAEASS402B Assess competence*

- Provide its assessment tools to demonstrate assessment meets all requirements of the TAE10 Training Package; including all elements and performance criteria, required skills, and critical aspects for assessment.
- The tools are to be supported with clear information for the assessor and student to clearly explain all assessment requirements, and the assessment decision-making rules.

*CPPCMN3001B Participate in environmentally sustainable work practices*

Should the organisation continue to deliver the unit of competency via two methods, the organisation is required to provide rectification for both assessment options.

- Option One – Provide its assessment tools to demonstrate assessment meets all requirements of the CPP07 Training Package; including all elements and performance criteria, required skills, and critical aspects for assessment. Where practical assessment is undertaken, the tools are to be supported with the assessment decision-making rules.
- Option Two – Provide its assessment tools to demonstrate assessment meets all requirements of the CPP07 Training Package; including all elements and performance criteria, required skills, critical aspects for assessment, overview of assessment, and



method of assessment.

*RIIVEH305A Operate and maintain a four wheel drive vehicle*

- Provide its suite of assessment tools, including the context and conditions of assessment, the tasks to be administered to the student, an outline of the evidence to be gathered from the candidate and the assessment decision-making rules, to demonstrate assessment:
  - meets the requirements of the BSB07 Training Package
  - will be conducted in accordance with the principles of assessment and the rules of evidence
  - has been systematically validated.

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*Analysis of rectification evidence:*

**BSB40110 Certificate IV in Legal Services**

*BSBLEG418A Produce complex legal documents*

- The organisation withdrew the qualification from its scope of registration (APP 1057961). No further evidence is required.

**BSB51413 Diploma of Project Management**

*BSBPMG514A Manage project cost*

- The organisation provided:
  - Assessment tool with marking guide
  - Mapping document.
- Assessment tools meet all requirements of the BSB07 Training Package; including the range statement and critical aspects for assessment.

*BSBMGT516C Facilitate continuous improvement*

- The organisation provided:
  - Assessment tool.
- Assessment tools address the requirements of the BSB07 Training Package; including all required skills. Further, the tools are supported with clear information for the assessor and student to explain all assessment requirements.

**CPC40208 Certificate IV in Building and Construction (Contract Administration)**

*CPCCBC4006B Select, procure and store construction materials for low rise projects*

- The organisation provided:
  - Assessment tool with marking guide.
- Assessment tools appear to address the requirements of the CPC08 Training Package, at a minimum. Appropriate implementation of the tools, and particularly the Practical Task 2, will demonstrate if all evidence intended is gathered.

**FDF30111 Certificate III in Food Processing**

*FDFTEC3001A Participate in a HACCP team*

- The organisation provided:
  - Assessment tool with marking guide.
- Assessment tools meet the requirements of the FDF10 Training Package; including the required knowledge, required skills, and range statement.
- Further, the tools are supported with the assessment decision-making rules to ensure assessment is conducted in accordance with the principles of assessment and rules of evidence.

**FNS50210 Diploma of Accounting**

*FNSACC503A Manage budgets and forecasts*

- The organisation provided:



- Assessment tool with marking guide.
- Assessment tools appear to address the requirements of the FNS10 Training Package, including all required skills, at a minimum. Appropriate implementation of the tools, and particularly the Practical Task 1 observation to demonstrate skills, will demonstrate if all evidence intended is gathered.

### **RII20109 Certificate II in Resources and Infrastructure Work Preparation**

#### *RIICCM201A Carry out measurements and calculations*

- The organisation provided:
  - Clustered assessment tool for RIIOHS201A, RIICOM201A, RIIRIS201B, RIIGOV201A, RIICCM201A, RIIBEF201B.
- Assessment meets all requirements of the RII09 Training Package; including all required skills.

#### *RIISAM203B Use hand and power tools*

- The organisation provided:
  - Clustered assessment tool for CPPCMN3001B and RIISAM203B.
- Assessment tools address the requirements of the RII09 Training Package; including all required knowledge and required skills.
- The tools are supported with clear information for the assessor and student to clearly identify all assessment tools relating to the unit of competency and explain assessment requirements.

### **SIR20212 Certificate II in Retail Services**

#### *SIRXRSK201 Minimise loss*

- The organisation provided:
  - Assessment tool with marking guide
  - Work experience employer's program.
- Assessment meets all requirements of the SIR07 Training Package, at a minimum. Appropriate implementation of the tools, and particularly the Work Experience Program, will demonstrate if all evidence intended is gathered.

#### *SIRXSLS002A Advise on products and services*

- The organisation provided:
  - Assessment tool with marking guide
  - Work experience employer's program.
- Assessment meets all requirements of the SIR07 Training Package, at a minimum. Appropriate implementation of the tools, and particularly the Work Experience Program, will demonstrate if all evidence intended is gathered.

### **SIR40212 Certificate IV in Retail Management**

#### *SIRXMPR001A Profile a retail market*

- The organisation provided:
  - Assessment tool with marking guide
  - Work experience employer's program.
- Assessment meets the requirements of the SIR07 Training Package; including all elements and performance criteria, required skills and critical aspects for assessment.

### **TAE40110 Certificate IV in Training and Assessment**

#### *TAEASS402B Assess competence*

- The organisation provided:
  - Clustered assessment tool with marking guide for TAEAAA402B and TAEASS403B
  - Sample unit of competency – BSBWHS303A.
- Assessment tools are supported with clear information for the assessor and student to clearly explain all assessment requirements, and the assessment decision-making rules.





- Assessment meets all requirements of the TAE10 Training Package; including all elements and performance criteria, required skills, and critical aspects for assessment.

*CPPCMN3001B Participate in environmentally sustainable work practices*

- The organisation advised it will use the (contextualised) Small Print resources only (Option One).
- Assessment addresses all requirements of the CPP07 Training Package, including all elements and performance criteria, required skills and critical aspects for assessment. The practical assessment is now undertaken as part of the 140 hours of structured workplace training. The Handbook was viewed at audit.

*RIIVEH305A Operate and maintain a four wheel drive vehicle*

- The organisation withdrew the unit of competency from its scope of registration (APP 1057809). No further evidence is required.

<b>SNR 16</b>	<b>The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:</b>	
<b>16.1</b>	<b>The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.2</b>	<b>The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.3</b>	<b>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.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.4</b>	<b>Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.5</b>	<b>Learners receive training, assessment and support services that meet their individual needs.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.6</b>	<b>Learners have timely access to current and accurate records of their participation and progress.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a



<b>16.7</b>	<b>The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a

**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:**

<b>17.1</b>	<b>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.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a

<b>17.2</b>	<b>The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a

<b>17.3</b>	<b>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.</b>
<b>Original finding:</b> Not audited	<b>Following rectification:</b> n/a

<b>17.4</b>	<b>The NVR registered training organisation manages records to ensure their accuracy and integrity.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a

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

<b>18.1</b>	<b>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.</b>
<b>Original finding:</b> Not compliant	<b>Following rectification:</b> Compliant

*Reasons for finding of non-compliance:*

- As non-compliances were identified during the audit process, the organisation’s Chief Executive had not ensured the organisation complied 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 rectified all non-compliances identified during the audit process; to demonstrate its Chief Executive has ensured the organisation complies with the VET Quality Framework.

**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.**

**Original finding:** Compliant

**Following rectification:** n/a

**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; and**  
**(e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.**

**Original finding:** Not audited

**Following rectification:** n/a

**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.**

**Original finding:** Compliant

**Following rectification:** n/a

**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.**

**Original finding:** Compliant

**Following rectification:** n/a

**SNR 21 Insurance**

**21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.**

**Original finding:** Not audited

**Following rectification:** n/a



## SNR 22 Financial management

**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:** Not audited

**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 audited

**Following rectification:** n/a

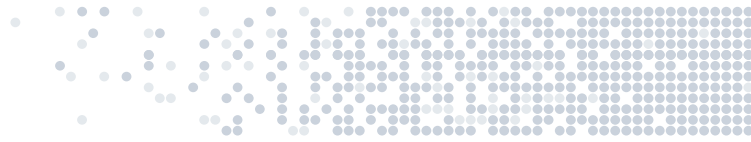
- 24.2 The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.**

**Original finding:** Not audited

**Following rectification:** n/a

#### **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.**



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**Original finding:** Not audited

**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

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