



Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Neil Irvine Management Pty Ltd as trustee for The Irvine Family Trust
Trading name/s	APS Training Group
RTO number	31588
CRICOS number	N/A

AUDIT TEAM

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

AUDIT DETAILS

Application number/s	1038842		
Audit number/s	1004987		
Audit reason 1	Application - renewal		
Audit reason 2	n/a		
Audit reason 3	n/a		
Activity type	Site visit		
Address of site/s visited	146 Woongarra Street, Bundaberg West Q 4670		
Date/s of audit	08/01/2014		
Organisation's contact for audit	Blair Felsch	Operations Manager	
	blair.felsch@apscorp.com.au	07 41543066	
NVR standards audited	Selected Standards for Continuing Registration: 15, 16, 17, 18, 20 and 22.2		

BACKGROUND

- In-house meetings are conducted regularly and determine which training will be offered by the organisation. The organisation's bank manager and accountant are both involved in the planning processes of the organisation.
- The organisation is a family business consisting of a Managing Director, Operations Manager, five trainers/assessors and a part-time administration officer.
- The organisation does not have any partnering arrangements.
- All training is fee for service.

- The organisation delivers non-accredited training in manual handling and OHS consultancy related areas.
- Growth area for the organisation will be in the Workplace Health and Safety area with a plan to add Diploma of Work Health and Safety to its scope in the near future.
- The organisation has no current enrolments.
- The organisation delivers training and assessment in Queensland only.
- CPCCOHS1001A Work safely in the construction industry is delivered online.

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

- Nil

AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
TAE40110	Certificate IV in Training and Assessment	Face to face	Nil
HLTFA311A	Apply first-aid	Face to face	Nil
BSB41412	Certificate IV in Work Health and Safety	Face to Face	Nil
CPCCOHS1001A	Work safely in the construction industry	Online	Nil
RIIOHS202A	Enter and work in confined spaces	Face to face	Nil
RIIOHS204A	Work safely at heights	Face to face	Nil

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

INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Blair Felsch	Operations Manager	N/A
Neil Irvine	Managing Director	TAE40110 Certificate IV in Training and Assessment BSB41412 Certificate IV in Work Health and Safety CPCCOHS1001A Work safely in the construction industry RIIOHS202A Enter and work in confined spaces RIIOHS204A Work safely at heights

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 08/01/2014: Significant non-compliance

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



AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 10/2/2014: 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	Not compliant	Compliant
SNR 23/AQF	Not audited	n/a
SNR 24	Not audited	n/a
SNR 25	Not audited	n/a



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

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

Original finding: Compliant

Following rectification: n/a

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

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The organisation could not provide a training and assessment strategy for BSB41412 Certificate IV in Work, Health and Safety.

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

- The organisation is required to provide a training and assessment strategy for BSB41412 Certificate IV in Work, Health and Safety. The strategy must provide the framework to guide requirements for the teaching, learning and assessment arrangements for the qualification – the macro level requirements of the learning and assessment process.

Analysis of rectification evidence:

- The organisation provided a training and assessment strategy for BSB41412 Certificate IV in Work, Health and Safety which met the requirements for this qualification.

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

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- This standard has been deemed non-compliant because there were non-compliances identified in Standard 15.5. The organisation could not provide assessment tools for the following units of competency:
 - **TAE40110 Certificate IV in Training and Assessment**
 - TAEDES402A Use training packages and accredited courses to meet client needs
 - TAEASS401B Plan assessment activities and processes
 - **BSB41412 Certificate IV in Work Health and Safety**
 - BSBCMM401A Make a presentation
 - BSBWHS403A Contribute to implementing and maintaining WHS consultation and participation processes

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

- This standard will become compliant if rectification evidence addresses the non-compliances identified in Standard 15.5.



Analysis of rectification evidence:

- The organisation provided assessment tools which met the requirements for the following:
- **TAE40110 Certificate IV in Training and Assessment**
 - TAEDES402A Use training packages and accredited courses to meet client needs
 - TAEASS401B Plan assessment activities and processes
- **BSB41412 Certificate IV in Work Health and Safety**
 - BSBCMM401A Make a presentation
 - BSBWHS403A Contribute to implementing and maintaining WHS consultation and participation processes

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

Original finding: Compliant

Following rectification: n/a

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

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The organisation could not provide assessment tools for the following units of competency:
 - **TAE40110 Certificate IV in Training and Assessment**
 - TAEDES402A Use training packages and accredited courses to meet client needs
 - TAEASS401B Plan assessment activities and processes
 - **BSB41412 Certificate IV in Work Health and Safety**
 - BSBCMM401A Make a presentation
 - BSBWHS403A Contribute to implementing and maintaining WHS consultation and participation processes

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

- The organisation is to provide a suite of assessment tools for the following units of competency:
 - **TAE40110 Certificate IV in Training and Assessment**
 - TAEDES402A Use training packages and accredited courses to meet client needs
 - TAEASS401B Plan assessment activities and processes
 - **BSB41412 Certificate IV in Work Health and Safety**
 - BSBCMM401A Make a presentation

- BSBWHS403A Contribute to implementing and maintaining WHS consultation and participation processes

These assessment tools must address the following:

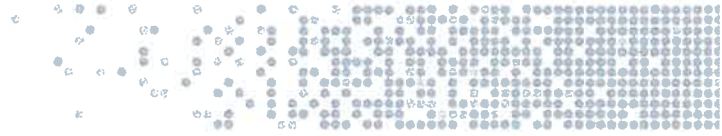
- address all of the units' performance criteria, elements, required skills and knowledge, critical aspects of evidence, required range statement and context and consistency of assessment
- include clear information to assessors and learners about assessment requirements including the context and purpose of assessment, how assessment will be conducted and recorded
- include criteria defining acceptable performance for all assessment tools/tasks to ensure consistency in the judgements made by assessor/s
- meet the principles of assessment and rules of evidence

Analysis of rectification evidence:

- The organisation provided a suite of assessment tools for the following units of competency:
 - **TAE40110 Certificate IV in Training and Assessment**
 - TAEDES402A Use training packages and accredited courses to meet client needs
 - 14 short answer questions
 - Training needs analysis
 - Assessment guidance exercise
 - Written questions (8)
 - Qualification analysis exercise
 - Contextualisation exercise
 - Candidate Analysis exercise
 - TAEASS401B Plan assessment activities and processes
 - 10 short answer questions
 - Scenario 1 – 14 tasks (assessment)
 - Scenario 2 – 6 tasks (RPL assessment)
 - Portfolio
 - Assessment mapping
 - **BSB41412 Certificate IV in Work Health and Safety**
 - BSBCMM401A Make a presentation
 - Observation checklist
 - Project A – researching, developing and evaluating
 - Project B – Develop and deliver two projects
 - Short answer question (14)
 - BSBWHS403A Contribute to implementing and maintaining WHS consultation and participation processes
 - Consultation plan
 - Issue resolution plan
 - Hazard and incident report
 - Consultative advice form
 - 10 short answer questions
 - Practical assessment (8 tasks)
 - Marking guide
- These assessment tools:
 - addressed all of the units' performance criteria, elements, required skills and knowledge, critical aspects of evidence, required range statement and context and consistency of assessment
 - included clear information to assessors and learners about assessment requirements including the context and purpose of assessment, how assessment will be conducted and recorded

- included criteria defining acceptable performance for all assessment tools/tasks to ensure consistency in the judgements made by assessor/s
- met the principles of assessment and rules of evidence.

SNR 16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:
16.1	The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.
Original finding: Compliant	Following rectification: n/a
16.2	The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.
Original finding: Compliant	Following rectification: n/a
16.3	Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.
Original finding: Compliant	Following rectification: n/a
16.4	Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.
Original finding: Not audited	Following rectification: n/a
16.5	Learners receive training, assessment and support services that meet their individual needs.
Original finding: Compliant	Following rectification: n/a
16.6	Learners have timely access to current and accurate records of their participation and progress.
Original finding: Compliant	Following rectification: n/a
16.7	The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.
Original finding: Compliant	Following rectification: 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:
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.



Original finding: Compliant		Following rectification: n/a	
17.2	The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.		
Original finding: Compliant		Following rectification: n/a	
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.		
Original finding: Not audited		Following rectification: n/a	
17.4	The NVR registered training organisation manages records to ensure their accuracy and integrity.		
Original finding: Compliant		Following rectification: n/a	
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.		
Original finding: Not compliant		Following rectification: Compliant	
Reasons for finding of non-compliance:			
<ul style="list-style-type: none">This standard has been deemed non-compliant because the Chief Executive has failed to ensure that the NVR training organisation complies with the VET Quality Framework as non-compliances were identified in Standards 15.2, 15.5 and 22.2.			
In order to become compliant, the organisation is required to:			
<ul style="list-style-type: none">This standard will become compliant when the non-compliance in Standards 15.2, 15.5 and 22.2 are rectified.			
Analysis of rectification evidence:			
<ul style="list-style-type: none">The organisation provided evidence to rectify all outstanding non-compliances that were identified in standards 15.2, 15.5 and 22.2.			
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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The organisation could not provide evidence of 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.

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

- The organisation is to provide evidence of 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.

Analysis of rectification evidence:

- The organisation provided an updated student handbook which contained details of the guarantee it provides to students to complete their training or assessment once they have commenced study in their chosen qualification.

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.	
Original finding: Not audited	Following rectification: n/a



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.

Original finding: Not audited

Following rectification: n/a