

Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Blueprint Career Development Pty Ltd
Trading name/s	Blueprint Career Development Pty Ltd
RTO number	30978
CRICOS number	na

AUDIT TEAM

Lead auditor	Anthony Sheppard
Auditor/s	Mark Shrubshall
Technical adviser/s	na

AUDIT DETAILS

Application number/s	1045844
Audit number/s	1004677
Audit reason 1	Application - renewal
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	18 Josephine Street, Loganholme, Queensland, 4129
Date/s of audit	09/12/2013
Organisation's contact for audit	name position e-mail phone
NVR standards audited	Selected Standards for Continuing Registration: SNR 15, 16, 17, 18, 20 & 22.2

BACKGROUND

- The organisational structure consists of Donna Mortlock - Managing director, Rachelle Carmody - Training manager, Rachel Seiler - Administration, and a small number of contract trainers.
- The organisation currently offers three hour non-accredited training in coffee barista and cake decorating, predominantly as marketing activities for feeders into its accredited hospitality qualification. The organisation also offers online non-accredited courses in time management and presentation skills. The organisation does not have formal links with other RTOs.
- The organisation operates a co-provider arrangement with the Queensland Department of Education, Training and Employment for delivery and assessment of the "School 2 Work" program in Rockhampton and Gladstone.



- The organisation describes its core clients as school teachers wishing to study TAE40110, school based trainees in hospitality, retail, and business qualifications, and a range of corporate clients such as Busy at Work for whom it conducts workplace training in business. The organisation states that its delivery to corporate clients predominantly takes place at the client's site with trainers then providing one-on-one training to one to two students at a time.
- The organisation's training operations are predominantly confined to Queensland, with some interstate students upgrading online to TAE40110 Certificate IV in Training and Assessment. The organisation has only one permanent delivery site located at 18 Josephine Street, Loganholme, Queensland, 4129.
- The organisation's revenue sources are fee for service, traineeship programs, Certificate III Guarantee, and the National workforce development fund (predominantly with Jelly Beans family day care).

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

- 67

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB40212	Certificate IV in Business	Mixed	6
BSB41412	Certificate IV in Work Health and Safety	Mixed	Nil
CHC30712	Certificate III in Children's Services	Mixed	16
SIR30212	Certificate III in Retail Operations	Mixed	6
SIT30712	Certificate III in Hospitality	Mixed	28
TAE40110	Certificate IV in Training and Assessment	Mixed	11
30910QLD	Certificate II in Self Awareness and Development	Mixed	Nil

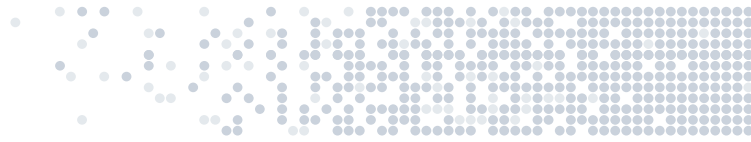
*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Donna Mortlock	Managing Director	TAE40110
Rachelle Carmody	Training Manager	SIT30712
Rachel Seiler	Administration Officer	Nil

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 09/12/2013: 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.

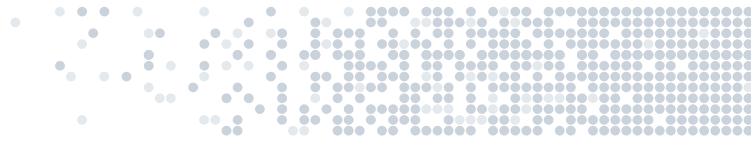


AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 27/01/2014:
Significant non-compliance

AUDIT FINDING BY STANDARD

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



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 did not provide evidence to demonstrate that its strategies for training and assessment met the requirements of the relevant training package or VET accredited course.

TAE40110 Certificate IV in Training and Assessment

- The organisation's strategy for the above qualification makes reference to TAE502B Design and develop assessment tools as an elective option, describing the assessment tools as consisting of Observation/demonstration, Projects/portfolios, Questioning (written/oral), and Reports from supervisor (where learner is in a training role); however, the organisation only offers this unit as RPL where the learner already holds the qualification TAA40104. The organisation does not have training and assessment resources other than its generic RPL kit. The organisation's strategy does not make this clear.

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

TAE40110 Certificate IV in Training and Assessment

- Provide an amended strategy for training and assessment of the above qualification that correctly reflects the manner in which the organisation actually delivers and assesses this qualification, meets the requirements of the TAE10 Training and Education Training Package, and includes evidence of having been developed through effective consultation with industry.

Analysis of rectification evidence:

- The organisation provided a copy of its strategy for training and assessment of TAE40110 Certificate IV in Training and Assessment together with evidence of industry validation (which is presumed to represent industry consultation as relevant to SNR 15.2).
- The organisation's strategy no longer includes TAE502B Design and develop assessment tools as an elective option and has satisfactorily demonstrated compliance with SNR 15.2.

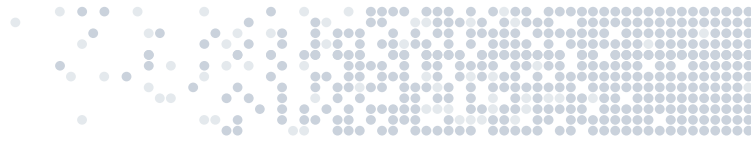
15.3 Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are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

Original finding: Not compliant

Following rectification: Not compliant

Reasons for finding of non-compliance:

- The organisation did not provide evidence to demonstrate that staff or assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package (SNR 15.3).
- Note: see SNR 15.4 and SNR 15.5 for details of non-compliance and rectification



requirements.

- The organisation did not demonstrate compliance with SNR 15.4 in regard to its trainers and assessors; therefore, it also did not demonstrate that its staffing met training package requirements as relevant to SNR 15.3.
- Furthermore, the organisation did not demonstrate that its assessment materials for specific units of competency sampled at audit, met the requirements of the relevant Training Package; therefore, it also did not demonstrate that assessment materials used by the NVR registered training organisation were consistent with the requirements of the Training Package as relevant to SNR 15.3.

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

- The organisation is not required to provide rectification evidence specifically against SNR 15.3. The provision of satisfactory evidence of rectification against the non-compliances noted with SNR 15.4 and SNR 15.5 will also demonstrate compliance against SNR 15.3.

Analysis of rectification evidence:

- The organisation did not provide satisfactory evidence of compliance against SNR 15.4 and SNR 15.5.

Reasons for outstanding non-compliance:

- As the organisation did not provide satisfactory evidence of compliance against SNR 15.4 and SNR 15.5, it remains non-compliant with SNR 15.3 in regard to its staff and assessment resources.

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: Not compliant

Reasons for finding of non-compliance:

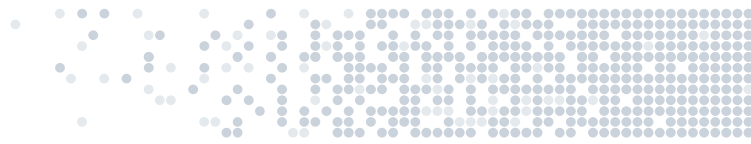
- The organisation did not provide evidence to demonstrate that it's training and assessment is delivered by trainers and assessors who have the necessary training and assessment competencies as determined by the National Skills Standards Council (SNR 15.4 (a)), have the relevant vocational competencies at least to the level being delivered or assessed (SNR15.4 (b)), can demonstrate current industry skills directly relevant to the training/assessment being undertaken (SNR 15.4 (c)), and continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence (SNR 15.4 (d)).

Keith Rogers – Trainer/assessor for SIT30712 Certificate III in Hospitality

- The organisation did not provide evidence to demonstrate that Keith Rogers continues to develop his vocational education and training (VET) knowledge and skills as well as his industry currency and trainer/assessor competence (SNR 15.4 (d)).

Naomi Sherrington – Trainer/assessor for SIT30712 Certificate III in Hospitality and SIR30712 Certificate III in Retail Operations

- The organisation did not provide evidence to demonstrate that Naomi Sherrington has the



relevant vocational competencies at least to the level being delivered or assessed for SIT30712 Certificate III in Hospitality (SNR 15.4 (b)), or that she continues to develop her vocational education and training (VET) knowledge and skills as well as her industry currency and trainer/assessor competence (SNR 15.4 (d)).

Tracey Greenwood – Trainer/assessor for BSB41412 Certificate IV in Work Health and Safety

- The organisation did not provide evidence to demonstrate that Tracey Greenwood has the necessary training and assessment competencies as determined by the National Skills Standards Council (SNR 15.4 (a)), has the relevant vocational competencies at least to the level being delivered or assessed for BSB41412 Certificate IV in Work Health and Safety (SNR 15.4 (b)), has current industry skills directly relevant to the training/assessment being undertaken (SNR 15.4 (c)), and continues to develop her vocational education and training (VET) knowledge and skills as well as her industry currency and trainer/assessor competence (SNR 15.4 (d)).

Marie Turner – Trainer/assessor for CHC30712 Certificate III in Children’s Services

- The organisation did not provide evidence to demonstrate that Marie Turner has the relevant vocational competencies at least to the level being delivered or assessed for CHC30712 Certificate III in Children’s Services (SNR 15.4 (b)), or has current industry skills directly relevant to the training/assessment being undertaken (SNR 15.4 (c)).

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

Keith Rogers – Trainer/assessor for SIT30712 Certificate III in Hospitality

- provide evidence to demonstrate that Keith Rogers continues to develop his vocational education and training (VET) knowledge and skills as well as his industry currency and trainer/assessor competence (SNR 15.4 (d)).

Naomi Sherrington – Trainer/assessor for SIT30712 Certificate III in Hospitality and SIR30712 Certificate III in Retail Operations

- provide evidence to demonstrate that Naomi Sherrington has the relevant vocational competencies at least to the level being delivered or assessed for SIT30712 Certificate III in Hospitality (SNR 15.4 (b)), and that she continues to develop her vocational education and training (VET) knowledge and skills as well as her industry currency and trainer/assessor competence (SNR 15.4 (d)).

Tracey Greenwood – Trainer/assessor for BSB41412 Certificate IV in Work Health and Safety

- provide evidence to demonstrate that Tracey Greenwood has the necessary training and assessment competencies as determined by the National Skills Standards Council (SNR 15.4 (a)), has the relevant vocational competencies at least to the level being delivered or assessed for BSB41412 Certificate IV in Work Health and Safety (SNR15.4 (b)), has current industry skills directly relevant to the training/assessment being undertaken (SNR 15.4 (c)), and continues to develop her vocational education and training (VET) knowledge and skills as well as her industry currency and trainer/assessor competence (SNR 15.4 (d)).

Marie Turner – Trainer/assessor for CHC30712 Certificate III in Children’s Services

- provide evidence to demonstrate that Marie Turner has the relevant vocational competencies at least to the level being delivered or assessed for CHC30712 Certificate III in Children’s Services (SNR 15.4 (b)), and has current industry skills directly relevant to the training/assessment being undertaken (SNR 15.4 (c)).



Analysis of rectification evidence:

Keith Rogers – Trainer/assessor for SIT30712 Certificate III in Hospitality

- The organisation provided evidence demonstrating that Keith Rogers has undertaken professional development in July 2013 to develop his vocational education and training (VET) knowledge and skills as well as his industry currency and trainer/assessor competence. The organisation satisfactorily demonstrated compliance in regard to Keith Rogers.

Naomi Sherrington – Trainer/assessor for SIT30712 Certificate III in Hospitality and SIR30712 Certificate III in Retail Operations

- The organisation provided the following evidence in support of Naomi Sherrington's vocational competency regarding SIT30712 Certificate III in Hospitality relevant to SNR 15.4 (b):
 - Strategy for training and assessment – SIR30712 advising that Naomi Sherrington is trainer/assessor for the units of competency referred to in document HR4 only.
 - Document "HR4", which provides a matrix listing the units of competency trained and assessed together with dot point description of how equivalency is believed to be demonstrated.
 - Document "HR3", which provides information regarding activities to maintain currency.
 - Non-accredited training in applied food service sanitation (Hungry Jacks 1997)
 - Certificate IV in Retail Management issued 2004
 - Certificate IV in Business (Frontline Management) issued 2004
 - Hungry Jacks service award for 20 years of service issued 2009
 - Personal resume
 - TAA40104 Certificate IV in Training and Assessment issued by Blueprint Career Development 2008
 - Position description for Hungry Jacks restaurant manager 2012
 - Hungry Jacks testimonial letter 1998
- It remains unclear how the material provided would demonstrate that Naomi Sherrington has equivalence to the units of competency noted within document HR4 relating to SIT30712 Certificate III in Hospitality. On review of the documentation, it is clear that Ms Sherrington's relevant experience on which equivalency is being determined is limited to her work history with Hungry Jacks, the majority of which is in management roles and not the hands on hospitality roles related to the Certificate III in Hospitality, the non-accredited food sanitation training from more than a decade previous, plus currently working at Hungry Jacks and Subway for one day per month respectively. While it is clear that Ms Sherrington would have significant knowledge and experience of the management of fast food restaurants through her time at Hungry Jacks, it remains unclear how this equates to relevant knowledge and experience relevant to the hands on nature of the units of competency referenced in document HR4 that Ms Sherrington delivers and assesses. It is noted from Ms Sherrington's resume that her last hands on role relevant to the Certificate III in Hospitality is only as recent as September 2002, following which, subsequent roles have been at the level of State and National management and would have little if any hands on practice relevant to the Certificate III in Hospitality.
- The organisation provided satisfactory evidence to demonstrate that Naomi Sherrington continues to develop her vocational education and training (VET) knowledge and skills in regard to SNR 15.4 (d).

Tracey Greenwood – Trainer/assessor for BSB41412 Certificate IV in Work Health and Safety

- The organisation provided satisfactory evidence to demonstrate that Tracey Greenwood has the necessary training and assessment competencies as determined by the National Skills Standards Council (SNR 15.4 (a)), has the relevant vocational competencies at least to the level being delivered or assessed for BSB41412 Certificate IV in Work Health and Safety (SNR15.4 (b)), has current industry skills directly relevant to the training/assessment being undertaken (SNR 15.4 (c)), and continues to develop her vocational education and training (VET) knowledge and skills as well as her industry currency and trainer/assessor competence (SNR 15.4 (d)).



Marie Turner – Trainer/assessor for CHC30712 Certificate III in Children’s Services

- The organisation provided satisfactory evidence to demonstrate that Marie Turner has the relevant vocational competencies at least to the level being delivered or assessed for CHC30712 Certificate III in Children’s Services (SNR 15.4 (b)), and has current industry skills directly relevant to the training/assessment being undertaken (SNR 15.4 (c)).

Reasons for outstanding non-compliance:

Naomi Sherrington – Trainer/assessor for SIT30712 Certificate III in Hospitality and SIR30712 Certificate III in Retail Operations

- The organisation did not demonstrate that Naomi Sherrington has the relevant vocational competencies at least to the level being delivered or assessed for SIT30712 Certificate III in Hospitality (SNR 15.4 (b)). It is noted that the organisation has nominated two other trainer/assessors for the above qualification that have demonstrated compliance.

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: Not compliant
--	--	---

Reasons for finding of non-compliance:

The organisation did not provide evidence to demonstrate that its assessments met the requirements of the relevant Training Package or VET accredited course (SNR 15.5 (a)); was conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5 (b)); or had been systematically validated (SNR 15.5 (d)).

BSB40207/BSB40212 Certificate IV in Business

BSBITU402A Develop and use complex spreadsheet

The organisation was unable to provide sufficient evidence criteria defining acceptable performance for assessment tools in particular the observation check list

The organisation was unable to provide sufficient evidence of clear information about assessment requirements for assessors.

The organisation was unable to provide evidence of validation of its assessment tools

The observation check list did not sufficiently outline acceptable levels of performance.

The organisation used the observation check list as a third party report -allowing the supervisor to sign alongside the assessor against the criteria from the unit.

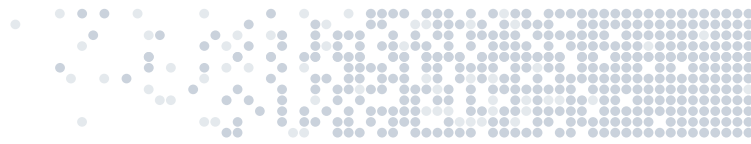
Information at the top of the check list states “to achieve competency in this unit Assessors /Supervisors are required to observe the trainees successfully carry out all the work tasks applicable to this unit”. The organisation stated at audit that it was not the intention to have the supervisor assess.

BSB41407/BSB41412 Certificate IV in Work Health and Safety

BSBWHS407A - Assist with claims management, rehabilitation and return-to-work programs

The organisation was unable to provided assessment tools that met all the requirments of the unit inparticular the critical aspects of evidence, required skills.

For example it was unclear how the organisation gathered sufficient evidence regarding knowledge of relevant legislation. Rights and obligations of all parties under relevant workers compensation scheme and relevant legislation.



The organisation was able to present a trainer assessor guide with model answers however the organisation stated it was unable to provide a copy of the student assessment tool as they did not have one.

The organisation stated that they purchase the online resources off the shelf as and when required (when a student enrolls).

The organisation was unable to provide supporting evidence of a contract to purchase resources from a specific company or any evidence of securing assessment tools from one source.

When the organisation purchases the student online resources they are loaded up onto the college system for use by the student.

The organisation identified that the online version normally is not the same as the physical books (trainer assessor guide).

The organisation was unable to provide sufficient evidence of criteria defining acceptable performance for assessment tools in particular the observation check list.

The organisation was unable to provide evidence of clear information provided to students about assessment requirements (no student assessment tool)

The organisation was unable to provide sufficient evidence of clear information about assessment requirements for assessors.

Information at the top of the check list states "To achieve competency in this unit Assessors /Supervisors are required to observe the trainees successfully carry out all the work tasks applicable to this unit". The organisation stated at audit that it was not the intention to have the supervisor assess.

The organisation was unable to provide sufficient information to demonstrate that it had validated its assessment tools. (no assessment tool available)

CHC30708/CHC30712 Certificate III in Children's Services

CHCCN305B - Provide care for babies

The assessment tools did not meet all the requirements of the unit in particular the required skills and critical aspects of evidence.

The observation checklist did not clearly demonstrate how a student would be observed for a range of workplace conditions with a range of age groups, a range of conditions and over a number of assessment situations.

The organisation was unable to provide sufficient evidence to demonstrate it provided sufficient criteria defining acceptable performance for its observation checklist.

The organisation was unable to provide sufficient evidence of clear information about assessment requirements for assessors.

Information at the top of the checklist states "To achieve competency in this unit Assessors /Supervisors are required to observe the trainees successfully carry out all the work tasks applicable to this unit". The organisation stated at audit that it was not the intention to have the supervisor assess.

The organisation was unable to provide sufficient information to demonstrate that it had validated its assessment tools

SIR30212 Certificate III in Retail Operations

SIRXFIN201 Balance and secure point of sale terminal

The organisation's assessment materials do not gather sufficient or valid evidence of competency with regard to required skills.

The observation checklist does not provide the context of the assessment and it is unclear how the organisation ensures sufficient evidence is gathered. In the absence of clear information regarding the nature of the tasks being demonstrated, it remains unclear how the assessment supports the assessor's competency decision.

The checklist is largely a copy and paste of the performance criteria and does not provide information to the student or assessor as to what the actual assessment tasks are and; therefore,



it is left to the individual assessor to determine both the context of the assessment task and the criteria to be applied to the task for demonstrating competency.

Therefore, the assessment is not conducted in accordance with the rules of evidence, specifically sufficiency, validity, and reliability.

The organisation was unable to provide sufficient information to demonstrate that it had validated its assessment tools.

No student files were available at the time of audit (yet to be delivered).

SIT30707/SIT30712 Certificate III in Hospitality

SITHFAB201 Provide responsible service of alcohol

The assessment tools did not meet all the requirements of the unit in particular the required knowledge and required skills.

For example it was not clear how the organisation assessed communication and the key provisions of liquor laws and regulations at depth relevant to the scope of the job responsibility within licensed premises, including the items *from the unit list* that expresses general statements about requirements of liquor legislation and information that must be customised for each state or territory.

The organisation was unable to provide sufficient evidence criteria defining acceptable performance for assessment tools in particular the observation checklist

The organisation was unable to provide sufficient information to demonstrate that it had validated its assessment tools

TAE40110 Certificate IV in Training and Assessment

TAEDEL401A Plan, organise and deliver group based learning

The assessment tool did not meet all the requirements of the unit in particular the required knowledge.

For example It was not clear how the organisation gathered sufficient evidence around relevant policy, legal requirements, codes of practice and national standards, including commonwealth and state or territory legislation that may affect training and assessment in the vocational education and training sector

The organisation was unable to provide sufficient information to demonstrate that it had validated its assessment tools

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

BSB40207/BSB40212 Certificate IV in Business

BSBITU402A Develop and use complex spreadsheet

- The organisation is required to provide sufficient evidence of criteria defining acceptable performance for assessment tools in particular the observation checklist
- The organisation is required to provide sufficient evidence of clear information about assessment requirements for assessors.
- The organisation is required to provide evidence of validation of its assessment tools

BSB41407/BSB41412 Certificate IV in Work Health and Safety

BSBWHS407A - Assist with claims management, rehabilitation and return-to-work programs

- The organisation is required to provided assessment tools that met all the requirments of the unit inparticular the critical aspects of evidence, required skills.
- The organisation is required to provide sufficient evidence of criteria defining acceptable performance for assessment tools in particular the observation check list.
- The organisation is required to provide evidence of clear information provided to students about assessment requirements.



- The organisation is required to provide sufficient evidence of clear information about assessment requirements for assessors.
- The organisation is required to provide evidence of validation of its assessment tools.

CHC30708/CHC30712 Certificate III in Children's Services

CHCCN305B - Provide care for babies

- The organisation is required to provide assessment tools that meet all the requirements of the unit in particular the required skills and critical aspects of evidence.
- The organisation is required to provide an amended observation check list that clearly demonstrates how a student would be observed for a range of workplace conditions with a range of age groups, a range of conditions and over a number of assessment situations.
- The organisation is required to provide sufficient evidence of criteria defining acceptable performance for assessment tools in particular the observation check list
- The organisation is required to provide sufficient evidence of clear information about assessment requirements for assessors.
- The organisation is required to provide evidence of validation of its assessment tools.

SIR30212 Certificate III in Retail Operations

SIRXFIN201 Balance and secure point of sale terminal

- The organisation is required to provide assessment tools that meet all the requirements of the unit in particular the required skills.
- The organisation is required to provide sufficient evidence of criteria defining acceptable performance for assessment tools in particular the observation checklist.
- The organisation is required to provide evidence of validation of its assessment tools.

SIT30707/SIT30712 Certificate III in Hospitality

SITHFAB201 Provide responsible service of alcohol

- The organisation is required to provide assessment tools that meet all the requirements of the unit in particular the required knowledge and required skills.
- The organisation is required to provide sufficient evidence of criteria defining acceptable performance for assessment tools in particular the observation checklist
- The organisation is required to provide evidence of validation of its assessment tools.

TAE40110 Certificate IV in Training and Assessment

TAEDEL401A Plan, organise and deliver group based learning

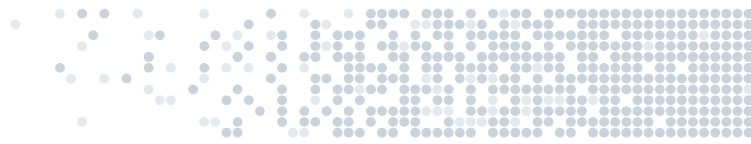
- The organisation is required to provide assessment tools that meet all the requirements of the unit in particular the required knowledge
- The organisation is required to provide evidence of validation of its assessment tools.

Analysis of rectification evidence:

BSB40207/BSB40212 Certificate IV in Business

BSBITU402A Develop and use complex spreadsheet

- The organisation provided a suite of assessment materials; however, it did not demonstrate that its assessment materials meet all requirements of the relevant Training Package, include clearly defined criteria for acceptable performance or clear instructions to learner and assessors.
- The third party report lists the performance criteria at the element level and does not clearly define the actual skills and abilities against which the third party is asked to report. Additionally, the instructions to the supervisor for completion of the third party report state "Observation of the trainee should be completed over a number of shifts or occasions to ensure that skills can be applied in a range of contexts and situations"; however, it does not provide the context of the observation i.e. the actual workplace tasks that the supervisor is to observe over the minimum number of occasions or shifts etc. that might provide reliability and validity of the evidence provided toward the assessor's competency decision.



- The organisation did not provide sufficient evidence of clear information about assessment requirements for assessors. The observation checklist includes assessor instructions that do not make clear the parameters for the observation e.g. “Observation of the trainee should be completed over a number of occasions and in different contexts where possible”. It is unclear how many occasions and under what “different contexts” the assessment should be observed.
- Furthermore, the assessor instructions state “If a trainee is observed incorrectly performing a task, the assessor should make a note in the comments sections along with the date. The trainee should then be retrained or reminded how the task should be performed correctly”; however, it does not make clear what occurs after this i.e. is the learner to be reassessed?
- Additionally, the observation checklist provides criteria that is little different from the performance criteria within the unit of competency i.e. performance criteria are simply reworded and inserted into the checklist without providing any context as to what the assessor is actually meant to observe.
- It remains unclear how the assessments would combine to gather sufficient, reliable evidence of learner competency, particularly in the demonstration of practical skills. The organisation does not ensure that the assessment would be conducted in accordance with the principles of assessment and the rules of evidence, specifically sufficiency, reliability, fairness and validity.
- The organisation provided evidence of third party validation of its assessment tools, though the effectiveness of this validation is questioned, given the remaining non-compliance.

BSB41407/BSB41412 Certificate IV in Work Health and Safety

BSBWHS407A - Assist with claims management, rehabilitation and return-to-work programs

- The organisation provided a suite of assessment materials including a third party report and assessor observation checklist for gathering of evidence in regard to required skills.
- The assessment is based on the same templates as provided for “BSBITU402A Develop and use complex spreadsheet” discussed above and exhibit the same issues.
- It remains unclear how the assessments would combine to gather sufficient, reliable evidence of learner competency, particularly in the demonstration of practical skills. The organisation does not ensure that the assessment would be conducted in accordance with the principles of assessment and the rules of evidence, specifically sufficiency, reliability, fairness and validity.
- The organisation provided evidence of third party validation of its assessment tools, though the effectiveness of this validation is questioned, given the remaining non-compliance.

CHC30708/CHC30712 Certificate III in Children's Services

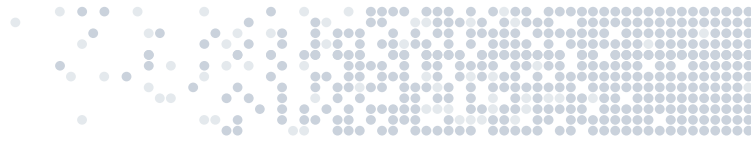
CHCCN305B - Provide care for babies

- The organisation provided a suite of assessment materials including a third party report and assessor observation checklist for gathering of evidence in regard to required skills.
- The assessment is based on the same templates as provided for “BSBITU402A Develop and use complex spreadsheet” discussed above and exhibit the same issues.
- It remains unclear how the assessments would combine to gather sufficient, reliable evidence of learner competency, particularly in the demonstration of practical skills. The organisation does not ensure that the assessment would be conducted in accordance with the principles of assessment and the rules of evidence, specifically sufficiency, reliability, fairness and validity.
- The organisation provided evidence of third party validation of its assessment tools, though the effectiveness of this validation is questioned, given the remaining non-compliance.

SIR30212 Certificate III in Retail Operations

SIRXFIN201 Balance and secure point of sale terminal

- The organisation provided a suite of assessment materials including a third party report and assessor observation checklist for gathering of evidence in regard to required skills.
- The assessment is based on the same templates as provided for “BSBITU402A Develop and use complex spreadsheet” discussed above and exhibit the same issues.
- It remains unclear how the assessments would combine to gather sufficient, reliable evidence of learner competency, particularly in the demonstration of practical skills. The organisation does not ensure that the assessment would be conducted in accordance with the principles of assessment and the rules of evidence, specifically sufficiency, reliability, fairness and validity.



- The organisation provided evidence of third party validation of its assessment tools, though the effectiveness of this validation is questioned, given the remaining non-compliance.

SIT30707/SIT30712 Certificate III in Hospitality

SITHFAB201 Provide responsible service of alcohol

- The organisation provided a suite of assessment materials including a third party report and assessor observation checklist for gathering of evidence in regard to required skills.
- The assessment is based on the same templates as provided for “BSBITU402A Develop and use complex spreadsheet” discussed above and exhibit the same issues.
- It remains unclear how the assessments would combine to gather sufficient, reliable evidence of learner competency, particularly in the demonstration of practical skills. The organisation does not ensure that the assessment would be conducted in accordance with the principles of assessment and the rules of evidence, specifically sufficiency, reliability, fairness and validity.
- The organisation provided evidence of third party validation of its assessment tools, though the effectiveness of this validation is questioned, given the remaining non-compliance.

TAE40110 Certificate IV in Training and Assessment

TAEDEL401A Plan, organise and deliver group based learning

- The organisation provided assessment tools satisfactorily addressing the non-compliance identified regarding required knowledge. It is noted that the organisation’s third party report does not specify the actual tasks to be observed, but is limited to a virtual copy and paste of the performance criteria from the unit of competency although this was not identified within the original non-compliance. It is unclear if this assessment has been altered since site audit.
- The organisation provided evidence of validation of its assessment tools.

Reasons for outstanding non-compliance:

BSB40207/BSB40212 Certificate IV in Business

BSBITU402A Develop and use complex spreadsheet

- It remains unclear how the assessments would combine to gather sufficient, reliable evidence of learner competency, particularly in the demonstration of practical skills. The organisation does not ensure that the assessment would be conducted in accordance with the principles of assessment and the rules of evidence, specifically sufficiency, reliability, fairness and validity.

BSB41407/BSB41412 Certificate IV in Work Health and Safety

BSBWHS407A - Assist with claims management, rehabilitation and return-to-work programs

- It remains unclear how the assessments would combine to gather sufficient, reliable evidence of learner competency, particularly in the demonstration of practical skills. The organisation does not ensure that the assessment would be conducted in accordance with the principles of assessment and the rules of evidence, specifically sufficiency, reliability, fairness and validity.

CHC30708/CHC30712 Certificate III in Children's Services

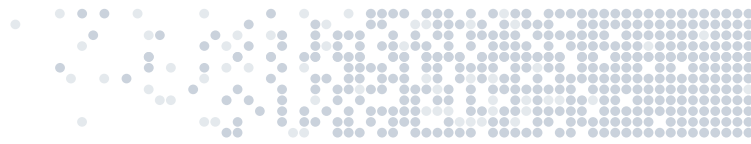
CHCCN305B - Provide care for babies

- It remains unclear how the assessments would combine to gather sufficient, reliable evidence of learner competency, particularly in the demonstration of practical skills. The organisation does not ensure that the assessment would be conducted in accordance with the principles of assessment and the rules of evidence, specifically sufficiency, reliability, fairness and validity.

SIR30212 Certificate III in Retail Operations

SIRXF201 Balance and secure point of sale terminal

- It remains unclear how the assessments would combine to gather sufficient, reliable evidence of learner competency, particularly in the demonstration of practical skills. The organisation does not ensure that the assessment would be conducted in accordance with the principles of



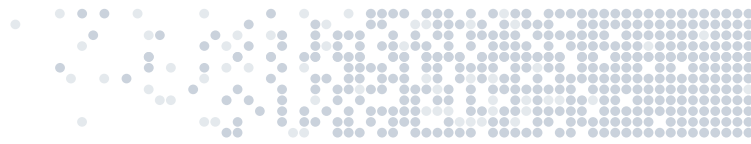
assessment and the rules of evidence, specifically sufficiency, reliability, fairness and validity.

SIT30707/SIT30712 Certificate III in Hospitality

SITHFAB201 Provide responsible service of alcohol

- It remains unclear how the assessments would combine to gather sufficient, reliable evidence of learner competency, particularly in the demonstration of practical skills. The organisation does not ensure that the assessment would be conducted in accordance with the principles of assessment and the rules of evidence, specifically sufficiency, reliability, fairness and validity.

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

Reasons for finding of non-compliance:

- As the organisation was identified non-compliant with the NVR Standards this indicates that the organisation's CEO has not ensured that the NVR registered training organisation continues to comply with the VET Quality Framework.

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

- This requirement will be addressed by the organisation submitting evidence of having rectified the other non-compliances identified within this report. No further rectification is required for this Standard.

Analysis of rectification evidence:

- As the organisation continues to be identified non-compliant with the NVR Standards this indicates that the organisation's CEO has not ensured that the NVR registered training organisation continues to comply with the VET Quality Framework.

Reasons for outstanding non-compliance:

- The organisation continues to be identified non-compliant with the NVR Standards; therefore, this indicates that the organisation's CEO has not ensured that the NVR registered training organisation continues to comply 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.

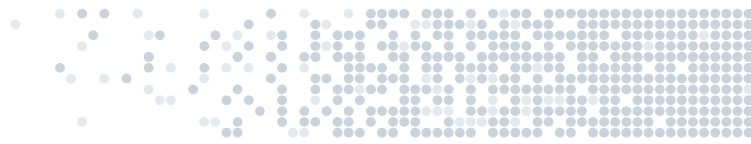
Original finding: Not audited

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.

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