

Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Housing Industry Association Ltd
Trading name/s	Housing Industry Association Ltd
RTO number	1091
CRICOS number	N/A

AUDIT TEAM

Lead auditor	F. Garai
Auditor/s	NIL
Technical adviser/s	NIL

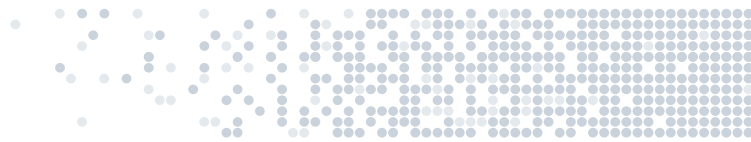
AUDIT DETAILS

Application number/s	1044550
Audit number/s	1004582
Audit reason 1	Application - renewal To assess ongoing compliance with the VQF – focus is on evidence of effective ongoing deployment of systems SNR 15, 16, 17, 18, 20 & 22.2
Audit reason 2	n/a specify or delete
Audit reason 3	n/a specify or delete
Activity type	Site visit
Address of site/s visited	• 70 Jolimont Street EAST MELBOURNE VIC 3002
Date/s of audit	18 - 19 March 2014
Organisation's contact for audit	Sharon Richardson RTO Manager s.richardson@hia.com.au (07) 3021 8820
NVR standards audited	Selected Standards for Continuing Registration: To assess ongoing compliance with the VQF where the focus is on evidence of effective ongoing deployment of systems. SNRs: 15, 16, 17, 18, 20 & 22.2.

BACKGROUND

General organisation information

Housing Industry Association Ltd (HIA) is the leading industry association in the Australian residential building sector, supporting the businesses and interests of over 43,000 builders, contractors,



manufacturers, suppliers, building professionals and business partners.

HIA members include businesses of all sizes, ranging from individuals working as independent contractors and home based small businesses, to large publicly listed companies, 85% of all new home building work in Australia is performed by HIA members.

The RTO is:

An Industry/Enterprise RTO and is a public listed Not for profit company, which employees 500 employees Australia wide.

RTO Management structure

The organisation is managed by a board of managers, and the Chief Executive Officer reports monthly to the board, the RTO is managed by a team of managers located at each training delivery site, and managed by a national training manager based in Brisbane.

Other strategic & operational groups that assist the RTO

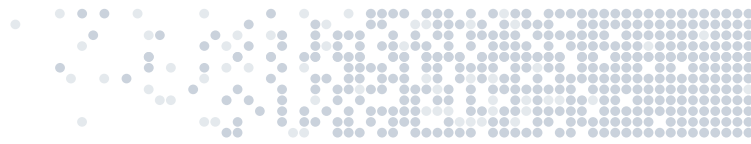
The RTO utilises Industry advisory group/s (Commonwealth & State regulatory industry advisory groups e.g. Work safe Victoria), and contract consultants to assist them with developing and validating training and assessment.

General description of RTO location & facilities

The RTO has offices/training facilities in all state and territory capital cities around Australia, as well as state regional locations.

HOUSING INDUSTRY ASSOCIATION - PERMANENT DELIVERY SITES				
State	Address1	Address2	Suburb	Postcode
NSW	4 Byfield Street		NORTH RYDE	2113
VIC	70 Jolimont Street		EAST MELBOURNE	3002
QLD	14 Edmondstone Street		SOUTH BRISBANE	4101
WA	22 Parkland Road		OSBORNE PARK	6017
SA	Cnr Station Place & Port Road		HINDMARSH	5007

State	Address1	Address2	Suburb	Postcode
NSW	17 Murray Dwyer Circuit	Steel River Estate	MAYFIELD WEST	2304
ACT	28 Collie Street		FYSHWICK	2609
NSW	Office 23-25	Lot 5 Druit Court	COFFS HARBOUR	2450
TAS	30 Burnett Street		NORTH HOBART	7000
QLD	Unit 4/2 John Duncan Court		VARSITY LAKES	4227
QLD	25 Blackhawk Boulevard		THURINGOWA CENTRAL	4817
QLD	5 Anderson Street		CAIRNS	4870
QLD	Ground Floor	224 Victoria Street	MACKAY	4740
QLD	Level 1 office	1078-84 Wisers Road	MAROOCHYDORE	4558
VIC	Suite 1	109 Hume Street	WODONGA	3690
VIC	196 High Street		BENDIGO	3550



NT	Suite 2490	Frances Bay Road	STUART PARK	0820
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General description of training modes used by the RTO

The RTO provides training using classroom based delivery only.

The RTO delivers courses and qualifications interstate, but does not deliver courses or qualifications off shore.

RTO scope of registration

The RTOs scope of registration is drawn from the following Training Packages;
BSB07 and CPC08

The RTO is registered to deliver the following qualifications:

BSB30112 Certificate III in Business,

BSB40407 Certificate IV in Small Business Management,

BSB41412 Certificate IV in Work Health and Safety

CPC40110 Certificate IV in Building and Construction (Building),

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

CPC40308 Certificate IV in Building and Construction (Estimating),

CPC40508 Certificate IV in Building and Construction (Site Management),

CPC50210 Diploma of Building and Construction (Building)

Units of competency:

CPCCOHS1001A Work safely in the construction industry,

BSBCUS301B Deliver and monitor a service to customers.

Student enrolments at time of audit were:

BSB41412 Certificate IV in Work Health and Safety	21 enrolments
CPC40110 Certificate IV in Building and Construction (Building)	948 enrolments
CPC50210 Diploma of Building and Construction (Building)	169 enrolments

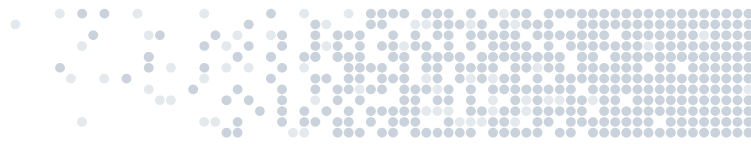
RTO fee or funding information

The RTO offers its training and services as a fee for service and government funded provider

Total number of current enrolments in RTO as at audit date: 1138 students

AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
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BSB41412	Certificate IV in Work Health and Safety	Face to Face	21
CPC40110	Certificate IV in Building and Construction (Building)	Face to Face	948
CPC50210	Diploma of Building and Construction (Building)	Face to Face	169
CPCCOHS	1001A Work safely in the construction industry	Face to Face	NIL

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

INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Brenton Gardner	CEO	ALL
Sharon Richardson	RTO General manager	ALL
David McEvoy	Product manager	ALL
Kate Vassallo	Compliance manager	ALL
Rachel Oakley	Operations manager	ALL
Clare Fleming	Training services	ALL

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 19 March 2014: Significant non-compliance

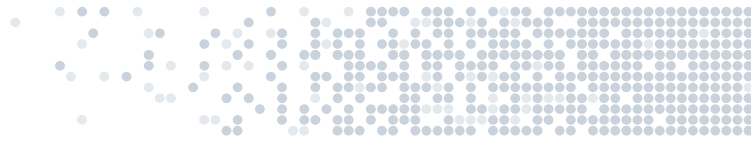
- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on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

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

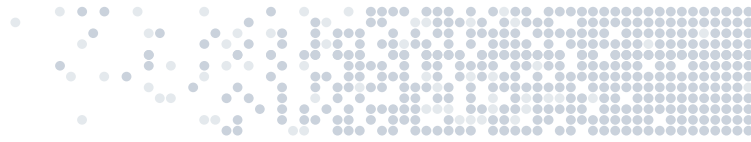
Audit finding following analysis of additional evidence provided on 12 May 2014: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Not compliant	Compliant
SNR 17	Not compliant	Compliant
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



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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

Share point database (Continuous Improvement Register & Complaints register), RTO handbook A guide to policies and procedures V1.3 Sep. 2013 (Continuous improvement policy & procedure), Continuous improvement annual Perpetual schedule V1.4.4, Assessment validation reports: 4 day national video conference 5 – 8 Feb 2013, validating assessment tools for: CPCCOHA1001A Work safely in the construction industry, CPCCBC4010B Apply structural principles to residential low rise constructions, & CPCCBC4011B Apply structural Principles to commercial low rise constructions.

The RTO does not follow its policy & procedure in respect to recording complaints. Evidence sighted at audit of a complaint in the complaints register made by staff member Maris Powell on the 24 Jan 2014, Complaints register code 14-CO-29, regarding an incorrect procedure for the issuing of qualification Testamur/certificate, was not recorded in the Continuous Improvement register. The organisation's complaints & continuous improvement policy & procedure states that complaints that have a continuous improvement impact are to be recorded in the continuous improvement register.

It was also identified at the time of audit that there were continuous improvement entries in the register marked as closed, yet when the files was opened the comments on file stated that the continuous improvement actions were still in progress.

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

Demonstrate by providing print outs or by other means that the data base allows, that the complaints and continuous improvement registers have been reviewed, and the records in both registers from 1 July 2013 to the audit date have been checked for accuracy and have been correctly cross referenced with both registers.

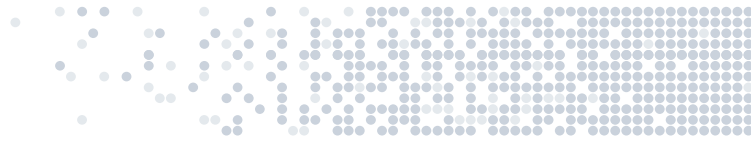
Analysis of rectification evidence:

Rectification Evidence audited:

SNR 15.1 Complaints Registers Sharepoint complaints register exported to Excel, SNR 15.1 Complaint register item 14-CO-29 Screen shot of the complaints register item from Marisa Powell, SNR 15.1 CI Register item 14-CI-104 Screen shot of the correspond CI item from the above complaint, SNR 15.1 CI Register Sharepoint Continuous Improvement register exported to Excel The RTOs rectification evidence demonstrated that collected data is systematic and contributes to continuously improving training and assessment.

A range of data is collected, from the complaints register that is sufficient to provide the RTO with valuable improvement opportunities.

The RTOs rectification evidence demonstrated that processes for monitoring continuous improvement activities and for reviewing data collection for continuous improvement processes and how outcomes are decided.



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:

Evidence audited:

Training and Assessment Strategies for: BSB41412 Certificate IV in Work Health and Safety, CPC40110 Certificate IV in Building and Construction (Building), CPC50210 Diploma of Building and Construction (Building), CPCCOHS1001A Work safely in the construction industry.

The organisations Training and Assessment Strategies do not meet the requirements of the relevant training packages, the following non compliances are relevant to all the training and assessment strategies audited.

The organisations Training and Assessment strategies did not specify all of the resources, both human and physical, that will be used to meet the requirements of the qualification/course/unit of competency.

There was no reassessment process or strategy stated, or referred to, the Training and Assessment Strategies did not demonstrate how a candidate will be reassessed.

Did not demonstrate how cheating and plagiarism will be monitored and managed.

The Training and Assessment Strategies did not demonstrate how reasonable adjustments will be applied.

The organisation did not state or refer how assessment appeals and grievances are to be managed.

The organisation had no strategy for assessing and decision making from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency.

The Training and Assessment strategies did not identify assessment evidence gathering methods matrix, for the collection of evidence that meets the training package requirements.

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

Specify all of the resources, both human and physical, that will be used to meet the requirements of the qualification/course/unit of competency

Demonstrate a strategy for assessing and decision making from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency

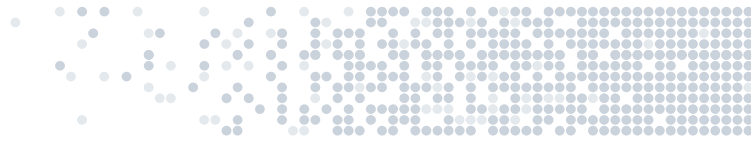
Detail or refer to a reassessment process or strategy of how a candidate will be reassessed.

Demonstrate how cheating and plagiarism will be monitored and managed.

Demonstrate how reasonable adjustments will be applied.

State or refer how assessment appeals and grievances are to be managed.

Identify assessment evidence gathering methods that meets the training package requirements.



Analysis of rectification evidence:

Rectification Evidence audited:

SNR 15.2 Resources TAS, SNR 15.2 Resources TAAG, SNR 15.2 Resources AB1, SNR 15.2 Assessment decision making AB1, SNR 15.2 Assessment decision making TAS, SNR 15.2 Assessment decision making TAAG 79, SNR 15.2 Assessment decision making TAAG 148, SNR 15.2 Assessment decision making UM BSBPMG513A, SNR 15.2 Assessment decision making UM CPCBC5002A, SNR 15.2 Assessment decision making UM CPCBC5010B, SNR 15.2 Re-assessment AB1, SNR 15.2 Re-assessment PH, SNR 15.2 Re-assessment RTOH, SNR 15.2 Re-assessment TAAG, SNR 15.2 Re-assessment TAS, SNR 15.2 Plagiarism AB1-1, SNR 15.2 Re-assessment AB1 – 5, SNR 15.2 Plagiarism PH, SNR 15.2 Plagiarism RTOH, SNR 15.2 Plagiarism TAAG 49, SNR 15.2 Plagiarism TAAG 52, SNR 15.2 Plagiarism TAS, SNR 15.2 Reasonable adjustment AB1, 15.2 Reasonable adjustment PH, 15.2 Reasonable adjustment RTOF, 15.2 Reasonable adjustment TAAG, 15.2 Reasonable adjustment TAS, 15.2 Assessment appeals AB1, 15.2 Assessment appeals Form, 15.2 Assessment appeals PH, 15.2 Assessment appeals RTOH, 15.2 Assessment appeals TAAG, 15.2 Assessment appeals TAS, 15.2 Evidence gathering AB1, 15.2 Evidence gathering TAAG, 15.2 Evidence gathering TAS.

The rectification evidence audited demonstrated that the strategies for training and assessment used by the RTO meet the requirements of the relevant training package or accredited course.

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: Compliant

Following rectification: n/a

Evidence audited:

Industry consultation reports from: 31 Oct 2013, 9 Aug 2013, 24 May 2013, 17 May 2013, 14 May 2013, on Training and Assessment Strategies for all qualifications.

Sample of learning/training materials for: CPCCOHS1001A Work safely in the construction industry, BSBWHS404A Contribute to WHS hazard identification, risk assessment and risk control, PUAWER002B Ensure workplace emergency prevention procedures, systems and processes are implemented. Participant guides, Trainer & assessor guides, power point presentations, National Construction code series, 2014, Volume 2, NCC Building code of Australia Class1 and Class 10 buildings. Guide to Standards and Tolerances 2007, Victorian Building Commission.

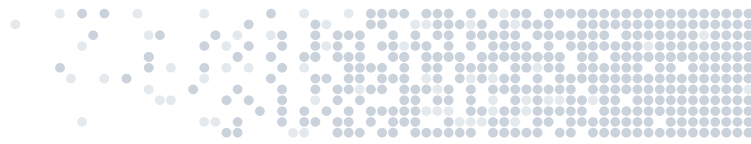
Training delivery & assessment facilities:

The training delivery and assessment facilities/rooms were inspected at 70 Jolimont Avenue, and it was identified that all of the RTOs training delivery and assessment facilities/rooms are modelled on the facilities inspected, because of this evidence it was decided by the auditor after consultation with the Regional Compliance Manager Melbourne, that there is no requirement to visit the RTOs facilities in other states or territories.

The RTO was able to demonstrate that it has access to all required resources to deliver each qualification/course on its scope of registration and sought in its registration application.

The RTO ensures that resources specified in each strategy for training and assessment is used across all of its operations by staff and learners.

The RTO demonstrates how it has consulted to ensure its physical and human resources meet industry performance expectations and quality standards.



The RTO ensures that the currency, sufficiency and effectiveness of its resources are systematically reviewed and improved.

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:

Evidence audited:

RTO handbook A guide to policies and procedures V1.3 Sep. 2013 (policy & procedure for the recruiting and induction of staff)

Trainer and assessor files for: All trainers and assessors are sessional contract trainers & assessors.

Mark Horner Trainer & assessor for; CPC40110 Certificate IV in Building and Construction & CPCCOHS1001A Work safely in the construction industry

David Young Trainer & assessor for; CPC40110 Certificate IV in Building and Construction & CPCCOHS1001A Work safely in the construction industry

Denise Madden Trainer & assessor for; BSB41412 Certificate IV in Work Health and Safety

Michael Crews Trainer & assessor for; CPC50210 Diploma in Building and Construction (Building)

Anthony Jones Trainer & assessor for; CPCCOHS1001A Work safely in the construction industry

Peter Hopper Trainer & assessor for; CPCCOHS1001A Work safely in the construction industry

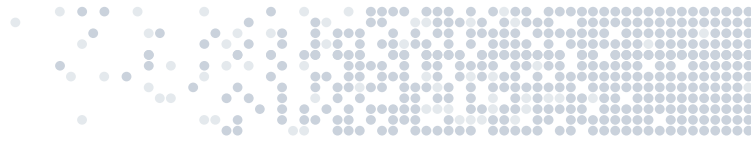
The following non-compliances were identified at the time of the audit:

Mark Horner: The RTO has not demonstrated sufficient evidence that the trainer & assessor has continued to develop their industry currency and trainer/assessor competence. Dates and provider details of professional development workshops not identified in the evidence audited.

David Young, Peter Hopper, Denise Madden, & Anthony Jones: The RTO has not demonstrated sufficient evidence that the trainer & assessor has continued to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence. Dates and provider details of professional development workshops not identified in the evidence audited.

Michael Crews: Whilst Michael Crews file did provide a PD log of both VET & Industry PD work shop attendance, the organisations that conducted the PD workshops were not identified which makes it difficult to check the bonafide of attendance of the workshops by the Trainer & assessor.

The RTO has not demonstrated sufficient evidence that the trainer & assessor has continued to develop their industry currency and trainer/assessor competence.



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

Develop and demonstrate strategies, or policy, and procedures detailing how trainers and assessors are to maintain vocational currency, VET skills and knowledge, and trainer and assessor competence in accordance with the NSSC – Communique 8 December 2011.

Demonstrate how trainers and assessors are maintaining their vocational currency, VET skills and knowledge, and trainer and assessor competence in accordance with the NSSC – Communique 8 December 2011, by providing evidence that trainers and assessors will undertake professional development of vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence for 2014.

Analysis of rectification evidence:

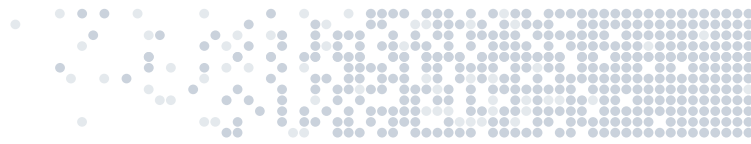
Rectification evidence audited:

SNR 15.4 PD log, SNR 15.4 PD Schedule, PD VET-TA Competence 30 April 2014, PD session Vocational competence 30 April 2014 Building structures presentation, PD session Vocational competence 30 April 2014 to BCA, PD session Vocational competence WHS 30 April 2014, Trainer PD development meeting Agenda 30 April 2014, HIA Trainer/Assessor contractor qualifications and experience matrix

The RTOs evidence demonstrates strategies, and procedures detailing how trainers and assessors are to maintain vocational currency, VET skills and knowledge, and trainer and assessor competence in accordance with the NSSC – Communique 8 December 2011.

The PD Log will be updated whenever a trainer/assessor undertakes any PD activity. The Log may be maintained electronically and stored against the individual trainer on the Sharepoint register or may be updated on hard copy and placed in the trainer/assessor file.

The RTOs evidence demonstrated how trainers and assessors will maintain their vocational currency, VET skills and knowledge, and trainer and assessor competence from the PD schedule for 2014.



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:

Evidence audited:

RTO handbook A guide to policies and procedures V1.3 Sep. 2013

Assessment tools and instruments for:

RPL Assessment tools for the following qualifications:

BSB41412 Certificate IV in Work Health and Safety

CPC40110 Certificate IV in Building and Construction (Building)

CPC50210 Diploma of Building and Construction (Building)

CPCCOHS1001A Work safely in the construction industry

Assessment tools for:

CPCCOHS1001A Work safely in the construction industry

BSBWHS404A Contribute to WHS hazard identification, risk assessment and risk control

PUAWER002B Ensure workplace emergency prevention procedures, systems and processes are implemented

CPCCBC4001A Apply building codes and standards to the construction process for low rise building project

CPCCBC4024A Resolve Business Disputes

CPCCBC5010B Manage construction work

CPCSUS5001A Develop workplace policies and procedures for sustainability

From the evidence audited it was found that the assessment tools and instruments do not meet the respective Training Packages requirements for the Principles of Assessment and The Rules of evidence. The following common non-compliances were identified for both the RPL assessment tools and the Unit of competency assessment tools.

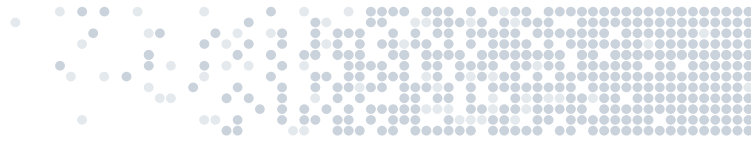
There were no instructions to the assessor or the candidate on how to conduct the assessment in regards to the standard the candidate is required to meet to be deemed competent and no conditions of the assessment were stated.

There were no assessment instructions for the assessor to assist making decision from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency.

There were no instructions on how assessment appeals are to be managed and conducted.

There were no instructions to either the assessor or the candidate on how reassessment is to be conducted.

Multiple assessments were identified for a Unit of Competency; it was not clear which assessments are to determine a student's progress (Formative Assessments) and which



assessments are to determine a student's competence against the Unit of Competency (Summative Assessments).

There were no instructions to the assessor to refer to the organisations Policy on Access, Equity and Additional Support Services in regards to allowable reasonable adjustments.

The following specific non-compliances were identified at the time of the audit.

The assessment tool for BSBWHS404A Contribute to WHS hazard identification, risk assessment and risk control does not provide instructions to the assessor and the candidate of the assessment conditions, e.g. whether the assessment is a closed book or open book assessment, the overall time allocated to complete the assessment. The instruction to the candidate refer to the evidence being sent to the RTO and the candidate is to ensure that they make a copy of their assessment evidence before sending to the RTO, it was clarified at time of audit that the candidate completes the assessment at the RTOs facilities and they do not post, email or send to the RTO. The instructions are erroneous, and will cause confusion to both the assessor and the candidate.

The assessor's instructions do not refer to the evidence mapping table for the clustered units of competency to assist the assessor in making an assessment decision on the evidence submitted by the candidate.

Assessment tools for: CPCCOHS1001A Work safely in the construction industry, BSBWHS404A Contribute to WHS hazard identification, risk assessment and risk control, PUAWER002B Ensure workplace emergency prevention procedures, systems and processes are implemented.

No guidance to the assessor on what practical task evidence is suitable to satisfy the critical evidence requirements for the Units of competence.

No decision sign off sheet for the candidate in regards to the final assessment outcome. The candidate is not given the opportunity to agree or disagree with the assessor's decision.

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

Amend the sampled assessment tools to ensure the identified non-compliances have been rectified, and demonstrate that the sampled assessment tools meet Principles of Assessment and The Rules of evidence of the respective Training Packages.

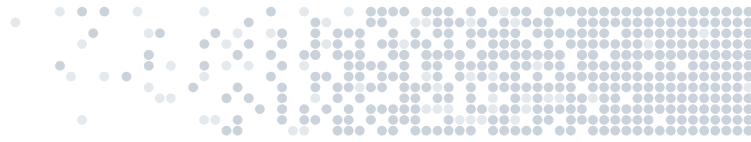
Analysis of rectification evidence:

Evidence audited:

Assessment instructions for:

CPCBC4001A	Apply building codes and standards to the construction process for low rise building projects assessment instructions,
CPCSUS5001A	Develop workplace policies and procedures for sustainability,
BSBWHS402A	Assist with compliance with WHS laws,
BSBWHS404A	Contribute to WHS hazard identification, risk assessment and risk control
PUAWER002B	Ensure workplace emergency prevention procedures, systems and processes are implemented,
BSBWHS406A	Assist with responding to incidents, Understand WHS Requirements assessment instructions, and assessment conditions.

The rectification evidence provided satisfies the requirements for compliance with SNR 15.5



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

Evidence audited:

RTO Handbook policy & procedures, 11.1 Marketing policy & procedure, 13.1 Access & equity policy & procedure, 13.1.3 LLN policy & procedure, and 13.1.4 Assistance policy & procedure. Student hand book, web site, marketing brochures, Enrolment induction checklist, course fee agreement, participant enrolment checklist, application for credit transfer, RTO staff induction checklist.

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

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

Evidence audited:

RTO Handbook policy & procedures, Continuous improvement policy & procedure

The RTO's continuous improvement approach is systematic, Data on the effectiveness of services provided to clients is collected and analysed systematically.

Data that is collected and analysed is relevant and sufficient to allow judgements to be made about the quality of client's services across the RTO's scope of registration and operations.

Improvements to client services were demonstrated.

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: Not compliant

Following rectification: Compliant

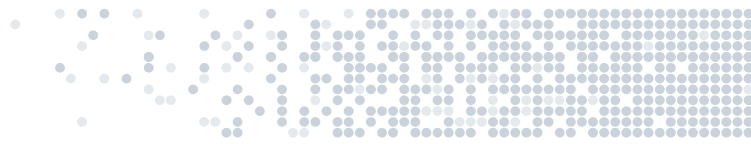
Reasons for finding of non-compliance:

Evidence audited:

RTO Handbook policy & procedures, Grievances & appeals policy & procedure, Participant handbook Grievances & appeals policy & procedure.

Information provided to clients is not clear, is not articulate and is not sufficient to assist them to make an informed choice because;

The information in the participants hand book does not articulate the under pinning policy and procedure on the organisations Grievances & appeals policy & procedure. The participants hand book does not identify who the assessment appeal is to be submitted to, who will manage the appeal application, and the time frame that the assessment appeal will take.



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

Amend the participants hand book for the Grievances & appeals policy & procedure, as identified in the non-compliance above.

Analysis of rectification evidence:

Evidence audited:

Grievances and Appeals RTO and participants Handbooks, Grievances and Appeals form

The evidence provided by the RTO demonstrated that they have amended RTO and participants handbooks to meet the requirements of SNR 16.3

Section 24 of the RTO Handbook describes the Complaints and Grievances Policy and Procedure. Information in this section also makes the distinction between *Complaints and Grievances* and *Assessment Appeals*.

Reasons for outstanding non-compliance:

- Not applicable at this time

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.
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Original finding: Compliant

Following rectification: n/a

Evidence audited:

The majority of the RTO's clients are self - employed building trade's people. Or builders

The RTO does not deliver training in the work place.

The RTO monitors the learner's progress.

16.5	Learners receive training, assessment and support services that meet their individual needs.
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Original finding: Compliant

Following rectification: n/a

Evidence audited:

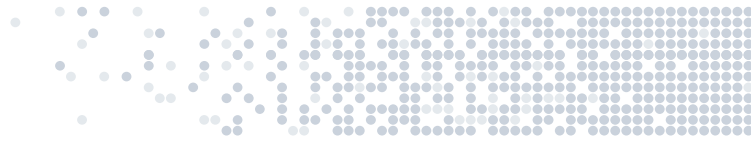
Participants hand book, RTO hand book for policy & procedures.

Learners' training and learning support needs are systematically assessed.

Learners have access to relevant learning support services, including assistance with language, literacy and numeracy.

Training, assessment and learning support services provided to each client are consistent with the training and assessment strategies.

Learning, assessment, and learning support services are monitored and improved.



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

Original finding: Compliant

Following rectification: n/a

Evidence audited:

VETrack student management system, Share point data base, RTO hand book, and Participants hand book.

Learners are informed about how to gain access to their records.

Records of learners' participation and progress through their training program are systematically collected, recorded and stored.

Records management practices are monitored and improvements are demonstrated.

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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

Share point continuous improvement register, Share point complaints register, RTO hand book, Participants hand book.

Information provided to clients is not clear, is not articulate and is not sufficient to assist them to make an informed choice because;

The information in the participants hand book does not articulate the under pinning policy and procedure on the organisations Grievances & appeals policy & procedure. The participants hand book does not identify who the assessment appeal is to be submitted to, who will manage the appeal application, and the time frame that the assessment appeal will take.

Effective management of complaints and appeals and their resolution were not demonstrated.

Complaints and appeals are not monitored and reviewed accurately to prevent their recurrence and to improve the RTO's operations or services. Refer to SNR 15.1 in regards to registers not monitored and reviewed accurately.

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

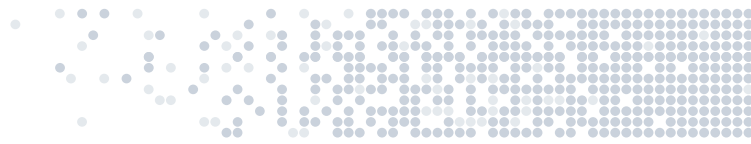
Amend the participants hand book for the Grievances & appeals policy & procedures.

Demonstrate by providing print outs or by other means that the data base allows, that the complaints and continuous improvement registers have been reviewed, and the records in both registers from 1 July 2013 to the audit date have been checked for accuracy and have been correctly cross referenced with both registers.

Analysis of rectification evidence:

Evidence audited:

The Registered Training Organisations evidence demonstrated that it provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.



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

Evidence audited:

RTO Hand book, Participants Hand book, Share point data base, enrolment – agreement form, Agreements are in place with each client.

The RTO ensures that client' rights as consumers are protected.

The RTO's systems are sufficient to support the provision of quality training, assessment and client services.

The RTO monitors and reviews the provision of services to clients and demonstrates improvements.

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

Evidence audited:

VETrack student management system, Share point data base, RTO hand book

Management systems are:

Appropriate for the size and scope of the RTO's operations

Focused on providing quality training, assessment and support services

Consistently implemented across all of the RTO's operations

Systematically monitored and improved.

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 compliant

Following rectification: Compliant

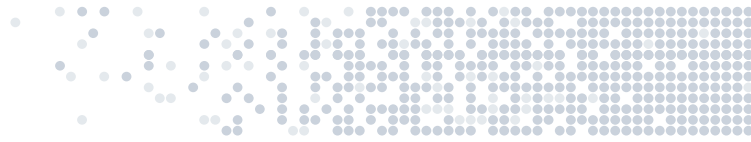
Reasons for finding of non-compliance:

Evidence audited:

RTO Hand book, Recruitment policy & procedure, Share point data base; Continuous improvement register.

The RTO has no auspicing or partnership agreements with other providers, the RTO does have sessional contract trainers and assessors

Documented agreements are in place with each sessional contract trainer & assessor that provides training and/or assessment on the RTO's behalf. The agreements do not describe the responsibilities of



each party and the management strategies to be implemented, including monitoring arrangements

There was no evidence the implementation of the agreement is monitored to ensure that it is being adhered to and that improvements are made, where required. e.g. the professional development requirements for trainers and assessors is not identified in the agreement, and the evidence provided during the audit for the sessional contract trainers and assessors did not comply with the requirements of the NSSC – Communiqué 8 December 2011.

Improvements to arrangements for the establishment, monitoring and implementation of agreements are not demonstrated. There were no entries in the continuous improvement register to demonstrate sessional contract trainers and assessor files had been reviewed and up dated.

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

Amend sessional contract trainers and assessors agreement/contracts to describe the responsibilities of each party and the management strategies to be implemented, including monitoring arrangements.

Amend sessional contract trainers and assessors agreement/contracts to reflect arrangements for the establishment, monitoring and implementation of agreements are not demonstrated.

Analysis of rectification evidence:

Evidence audited:

HIA Trainer/Assessor contractor agreement, HIA Trainer/Assessor contractor qualifications and experience matrix, HIA Authority to train and assess, RTO Handbook,

Section 2.6 of the RTO Handbook deals with Human Resources including Contract Trainers/Assessors. The highlighted section of the excerpt provided is directly relevant to the management of contract trainers/assessors.

The Trainer/Assessor contractor qualifications and experience matrix is completed and maintained by the Compliance Manager to record details of the qualifications or units of competence that a trainer has been authorised to deliver and assess. Authorisation is dependent on the trainer/assessor providing adequate verified evidence of vocational competence and training and assessment qualifications.

Trainer and Assessor Matrix is used to demonstrate competencies at least to the level being delivered and assessed.

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

Evidence audited:

RTO Hand book, Share point data base, Records management policy & procedure, continuous improvement register, VETrak student management system.

Records are systematically managed.

Records for demonstrating compliance with the *VET Quality Framework* are maintained.

Staff meet their responsibilities for records management.

The effectiveness of records management is monitored and reviewed.



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:

Evidence audited:

SNRs: 15.1, 15.2, 15.4, 15.5, 16.3, 16.7, & 17.3 were found to be non – compliant.

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

Rectify SNRs: 15.1, 15.2, 15.4, 15.5, 16.3, 16.7, & 17.3 as stated in the respective SNR rectification requirements.

Analysis of rectification evidence:

Evidence audited:

The rectification evidence provided by the RTO satisfied all of the non-compliance requirements to deem the RTO compliant with SNR 18.1

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

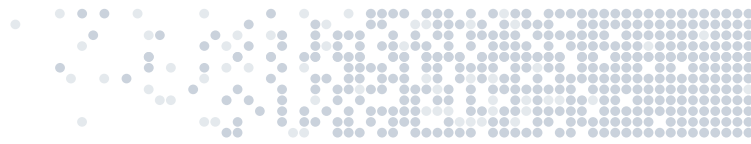
Following rectification: n/a

Evidence audited:

Share point data base Continuous improvement register, and complaints register. Trainer and assessor feedback form.

Trainers and assessors provide input to business decisions so that these decisions promote quality VET practices

The RTO demonstrated how it includes the considerations of trainers and assessors’ experiences in decision-making.



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

Evidence audited:

Share point data base, RTO Hand book policies and procedures.

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

Evidence audited:

Share point data base, RTO Hand book policies and procedures, Trainer & assessor files, Staff induction/orientation procedure, Participants Hand book, Participants induction/orientation procedure.

SNR 21 Insurance

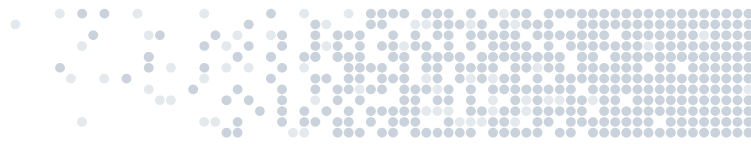
21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.

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

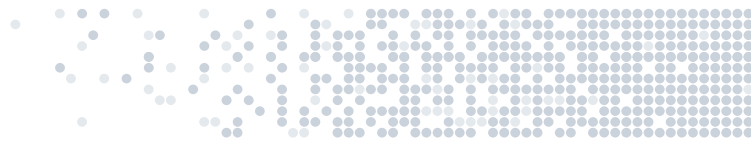
Following rectification: n/a

Evidence audited:

Share point data base, RTO Hand book policies and procedures, Participants Hand book,

The RTO provides the following information:

- 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.



- 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

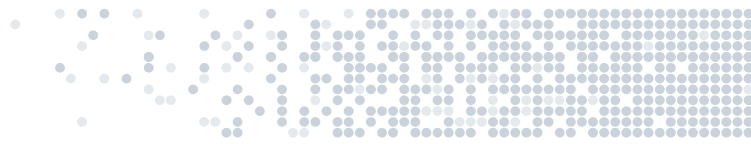
Following rectification: n/a

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.

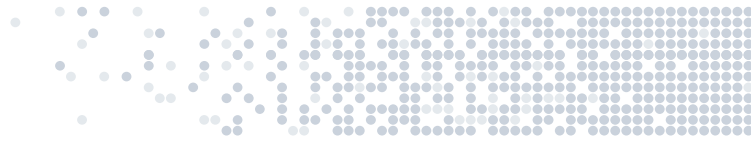
Original finding: Not audited

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