

Audit report – VET Quality Framework

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

ORGANISATION DETAILS	
Organisation's legal name	Cooloola Training and Counselling Service Pty Ltd
Trading name/s	Quest College
RTO number	31797
CRICOS number	n/a

AUDIT TEAM	
Lead auditor	Seth Farrington
Auditor/s	n/a
Technical adviser/s	n/a

AUDIT DETAILS	
Application number/s	1043942
Audit number/s	1004560
Audit reason 1	Application - renewal
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	12-27 Evan Street, MAROOCHYDORE
Date/s of audit	10 & 11/12/2013
Organisation's contact for audit	Glenn Smith Director director@questcollege.com.au 0754436345
NVR standards audited	Selected Standards for Continuing Registration: SNR 15, 16, 17, 18, 20 & 22.2

- BACKGROUND**
- The organisation is a small operation that focuses on delivering programs related to the community services sector. A significant number of the organisation's student cohort are unemployed or looking for a change in career.
 - The organisation also has a not for profit arm which provides training in youth life skills. Students pay \$500 which serves as a commitment by the student to complete studies.
 - The RTO is managed by a Director who is supported by a Training Coordinator, an Administration Manager, an administration team, and contracted trainers and assessors.
- The organisation currently:



- has a partnering arrangement with Dayspring Training Academy for the delivery of CHC51712 Diploma of Counselling.
- receives government funding for User Choice clients and the Certificate III Guarantee clients
- delivers training and/or assessment services to apprentices or trainees
- may deliver training and/or assessment services to students under the age of 18
- accepts fees in advance from students.

The organisation currently does not:

- deliver training and/or assessment services to school students
- deliver training from multiple sites
- deliver training and/or assessment services to overseas students studying in Australia.
- deliver training off shore/outside Australia

Total number of current enrolments in RTO as at audit date: 138

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB40812	Certificate IV in Frontline Management	Mixed	5
CHC30212	Certificate III in Aged Care	Mixed	89
CHC40108	Certificate IV in Aged Care	Face to face	5
CHC51712	Diploma of Counselling	Face to face	17

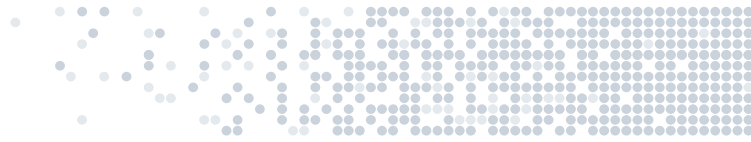
*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Glenn Smith	Director	BSB40812
Berni Forbes	Administration Manager	n/a
Hazel Fox	Training Coordinator	CHC qualifications
Renee Leitch	Consultant	n/a

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 11/12/2013: Minor non-compliance

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

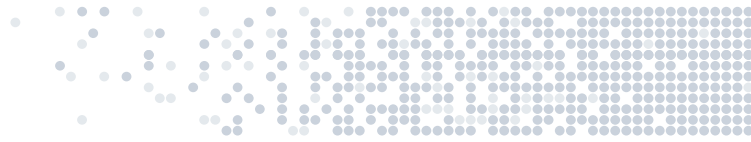


AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

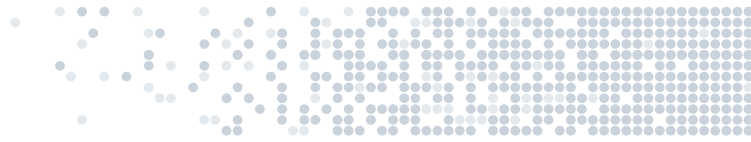
Audit finding following analysis of additional evidence provided on 24/01/2014: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Compliant	n/a
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Not audited	n/a
SNR 20	Compliant	n/a
SNR 21	Not audited	n/a
SNR 22	Compliant	n/a
SNR 23/AQF	Not audited	n/a
SNR 24	Not audited	n/a
SNR 25	Not audited	n/a



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: Compliant Following rectification: n/a
15.3	Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation’s own training and assessment strategies and are developed through effective consultation with industry.
	Original finding: Not compliant Following rectification: Compliant
	<i>Reasons for finding of non-compliance:</i>
	BSB40812 Certificate IV in Frontline Management
	<ul style="list-style-type: none">• The evidence provided did not demonstrate the organisation has access to appropriate assessment materials that meet the requirements of the BSB07 Business Services training package. Refer to Element 15.5 for further details.
	<i>In order to become compliant, the organisation is required to:</i>
	BSB40812 Certificate IV in Frontline Management
	<ul style="list-style-type: none">• Rectify non-compliances identified in Element 15.5.
	<i>Analysis of rectification evidence:</i>
	<ul style="list-style-type: none">• The organisation has rectified non-compliance identified in Element 15.5. No further rectification evidence is required.
15.4	Training and assessment is delivered by trainers and assessors who: (a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and (b) have the relevant vocational competencies at least to the level being delivered or assessed; and (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and (d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.
	Original finding: Compliant Following rectification: n/a
15.5	Assessment including Recognition of Prior Learning (RPL): (a) meets the requirements of the relevant Training Package or VET accredited course; and (b) is conducted in accordance with the principles of assessment and the rules of



**evidence; and
(c) meets workplace and, where relevant, regulatory requirements; and
(d) is systematically validated.**

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

BSB40812 Certificate IV in Frontline Management

BSBMGT402A Implement operational plan

BSBWOR402A Promote team effectiveness

- Analysis of the assessment tools provided for the above units of competency determined they did not meet the requirements of the BSB07 Business Services Training Package (15.5a). They also do not meet the principles of assessment or the rules of evidence (15.5b). For example, the 3rd Party Report mechanism to gather evidence of the application of required knowledge and skills is not accompanied by clear guidance for assessors of the performance level required to ensure performance standards are consistent with the requirements of the training package and ensure assessment is conducted consistently across a range of assessors or learners. Furthermore, the 3rd Party Report is not accompanied by clear instructions as to the context of the assessment task to ensure fairness and consistency of assessment across a range of learners and assessors.

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

BSB40812 Certificate IV in Frontline Management

BSBMGT402A Implement operational plan

BSBWOR402A Promote team effectiveness

- For each of the units of competency above provide a full suite of assessment materials that meets the principles of assessment, the rules of evidence and all the requirements of the unit of competency.
- The assessment materials must include, or be accompanied by, guidance to assessors of the performance level required to enable them to make consistent judgements about competence and information to students about the assessment process.

Analysis of rectification evidence:

BSB40812 Certificate IV in Frontline Management

BSBMGT402A Implement operational plan

BSBWOR402A Promote team effectiveness

- The organisation provided a full suite of enhanced assessment materials including 3rd party reports for each of the units of competency above. Analysis of these tools determined they address the requirements of the BSB07 Business Services training package, the principles of assessment and the rules of evidence.
- Furthermore, the assessment materials provided are accompanied by guidance to assessors of the performance level required to enable them to make consistent judgements about competence and clear information to students about the assessment process.

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: Compliant

Reasons for finding of non-compliance:

- Due to non-compliances identified across other standards the NVR registered training organisation's chief executive has not ensured the NVR registered training organisation complies with all requirements of the VET Quality Framework.

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

- Provide rectification evidence that address all the non-compliances identified in the other SNR standards.

Analysis of rectification evidence:

- Rectification evidence was provided that address all the non-compliances identified in the other SNR standards. No further rectification evidence is required.

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:

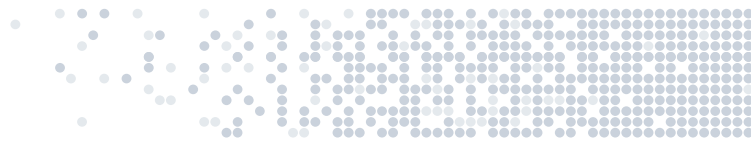
- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;
- (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
- (c) the nature of the guarantee given by the NVR registered 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