



Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Access Training & Logistics Pty Ltd
Trading name/s	Access Training & Logistics Pty Ltd
RTO number	21318
CRICOS number	n/a

AUDIT TEAM

Lead auditor	Jane Connellan
Auditor/s	n/a
Technical adviser/s	n/a

AUDIT DETAILS

Application number/s	1035763
Audit number/s	1003343
Audit reason 1	Application - renewal
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	Level 1 31-37 Buckhurst Street South Melbourne VIC 3205
Date/s of audit	11/06/2013
Organisation's contact for audit	Sophie Murphy General Manager sophiem@accesstraininglogisti 03 9696 5999 cs.com
NVR standards audited	Selected Standards for Continuing Registration: SNR 15, 16, 17, 18, 20 and 22.2



BACKGROUND

- The organisation has recently undergone a number of staff changes. Following this the organisation implemented a number of changes to its assessment materials and a more formal process for continuous improvement.
- The organisation has had delivery in Victoria, Queensland, New South Wales and the Australian Capital Territory.
- The organisation has a number of Government funding contracts and also accepts students under fee for service arrangements.
- The organisation does not engage in any partnership arrangements.
- The organisation has recently opened an office in Geelong.

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

157

AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB51107	Diploma of Management	Traineeship or workplace training	11
SIR30212	Certificate III in Retail	Traineeship	41
SIR40212	Certificate IV in Retail Management	Traineeship	8
SIT30707	Certificate III in Hospitality	Traineeship	25
22012VIC	Certificate I in Vocational Preparation	Face to face and work placement	0

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

INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Sophie Murphy	General Manager	n/a

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 12/06/2013: 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 10/07/2013: Compliant



AUDIT FINDING BY STANDARD		
Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Compliant	n/a
SNR 17	Not compliant	Compliant
SNR 18	Not compliant	Compliant
SNR 19	Not audited	n/a
SNR 20	Not compliant	Compliant
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: Compliant	Following rectification: n/a
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:

- **SIR30207 Certificate III in Retail**

SIRXMGT002A Maintain employee relations

The assessment tools focused on testing students' understanding of the subject matter rather than the student consistently and responsibly applying their knowledge as required by the critical aspects. Additionally, the assessment tools did not address the required skills, specifically, interpersonal skills or the general required knowledge relating to store organisational structure, responsibilities of employers and employees under an Australian Apprenticeship contract of training or the store policy, procedures and legislative requirements in regards to staff rosters, personal animosity and non-compliance with store policy and procedures.



SIRXFIN201 Balance point-of-sale-terminal

The assessment tools did not address the required knowledge regarding credit and returns, lay-by and security of non-cash transactions.

- **SIT30707 Certificate III in Hospitality**

SITHFAB002C Operate a bar

Two sets of assessment tools were reviewed for this unit: the completed assessment tools on the student files, and the newer master assessment tools that are in the process of being implemented. The completed assessment tools did not address all the unit of competency requirements including elements and performance criteria, required knowledge and skills, range statement and critical aspects. The gaps mostly related to preparing tea and coffee, problem-solving skills to deal with beer quality problems and safety and environmental/disposal issues. The newer master tools addressed these gaps with the exception of assessing students' skills in preparing and serving tea and coffee.

SITHFAB013A Provide specialist advice on food

The assessment tools did not address all the required knowledge (specifically, major suppliers and the health and legal consequences of failing to address special requirements) and the range statement and critical aspects, as they did not ensure students' had a detailed knowledge of a wide variety of food items as specified by the types of food that must be addressed in the range statement.

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

- **SIR30207 Certificate III in Retail**

SIRXMGT002A Maintain employee relations

The organisation is required to provide assessment tools that address the required skills and knowledge and the critical aspects.

SIRXFIN201 Balance point-of-sale-terminal

The organisation is required to provide assessment tools that address the required knowledge.

- **SIT30707 Certificate III in Hospitality**

SITHFAB002C Operate a bar

The organisation is required to provide assessment tools that address the required skills.

SITHFAB013A Provide specialist advice on food

The organisation is required to provide assessment tools that address the required skills, range statement and critical aspects.

- *Note: for specifics regarding the areas of non-compliance to be addressed refer to the detail in the non-compliances.*

Analysis of rectification evidence:

- **SIR30207 Certificate III in Retail**

SIRXMGT002A Maintain employee relations

The amended assessment record provided includes observation activities that address a student consistently and responsibly applying their knowledge as required by the critical aspects and address the required skills and knowledge.

SIRXFIN201 Balance point-of-sale-terminal

The amended assessment record and sample answer activities provided include written questions, observation activities and a supervisors report that address the required knowledge regarding credit and returns, lay-by and security of non-cash transactions.



- **SIT30707 Certificate III in Hospitality**

SITHFAB002C Operate a bar

The amended assessment document and assessment record provided which include changes to the observation, supervisors report and verbal questions address a student's skills in preparing and serving tea and coffee.

SITHFAB013A Provide specialist advice on food

The amended learner guide and assessment record provided which include additional written and verbal questions and observation activities address all the required knowledge, range statement and critical aspects.

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: Not audited

Following rectification: n/a

17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- A range of the student assessment and training/assessment staff records reviewed identified the organisation has not managed all its records to ensure their accuracy and integrity. Some of the assessment records had not been marked and a number of the training/assessment staff records were not complete or up to date.

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

- The organisation is required to demonstrate how it will ensure, going forward, that it will manage its student assessment and training/assessment staff records to ensure their accuracy and integrity.

Analysis of rectification evidence:

- The organisation provided evidence of amended Staff Recruitment and Assessment Policies and Procedures that highlight the procedural changes that will be implemented, going forward, to ensure it will manage its student assessment and training/assessment staff records to ensure their accuracy and integrity. It was noted an email has been forwarded to all assessors outlining the changes that have been implemented.

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:

- The non-compliances identified at audit demonstrate the organisation's Chief Executive has not ensured the NVR registered training organisation complies with the VET Quality



Framework across all of its operations.

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

- Addressing the non-compliances identified at audit will demonstrate the organisation’s Chief Executive has ensured the NVR registered training organisation complies with the VET Quality Framework across all its operations.

Analysis of rectification evidence:

- The rectification evidence provided addressed the non-compliances demonstrating the organisation’s Chief Executive has ensured the NVR registered training organisation complies with the VET Quality Framework across its operations.

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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The information provided to clients regarding the legislative and regulatory requirements that affect their participation in vocation education and training was out-dated.

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

- The organisation is required to provide evidence it will provide clients with accurate information regarding the legislative and regulatory requirements that affect their participation in vocational education and training.



Analysis of rectification evidence:

- The organisation provided an amended Student Handbook with updated information regarding the legislative and regulatory requirements that affect clients participation in vocational education and training.

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	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	<p>The NVR registered training organisation must provide the following fee information to each client:</p> <p>(a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;</p> <p>(b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;</p> <p>(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;</p> <p>(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</p> <p>(e) the organisation’s refund policy.</p>
Original finding:	Compliant
Following rectification:	n/a

22.3	<p>Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:</p> <p>(a) (Option 1) the NVR registered training organisation is administered by a state, territory or Commonwealth government agency;</p> <p>(b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme; [option 2 not currently available]</p> <p>(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;</p> <p>(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</p>
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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. [option 5 not currently available]~~

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 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 competence and 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

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