

AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 22/23 March 2018

RTO: N.S.E. RTO Pty Ltd

Applicant Details			
Applicant Name	N.S.E. RTO Pty Ltd T/as ANMF (Vic Branch) Education Centre	TOID	22609
Address	535 Elizabeth Street, Melbourne VIC 3000		
	Website	www.anmfvic.asn.au	
Registration Contact	Ms Libby Muir		
Phone Number	(03) 9275 9363	Email	records@anmfvic.asn.au
Audit Team			
Audit Firm	ShineWing Australia	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Libby Muir, Education centre Manager Menaka Dharmapala, Compliance Officer – Education & Training Anna Mastwyk, Trainer/assessor Pip Carew, Assistant Secretary Lisa Fitzpatrick, CEO Helen Cerin, Administration Assistant Lynne Jones, Education Assitant
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Extension to Scope Audit		
Conditions Audited	8		
Standards Audited	1.2, 1.3, 1.4, 1.5	2.3, 2.4	
2016 VRQA Guidelines Audited	3.1, 3.2,	4.1,4.2, 4.3 to 4.7	
Audit Date/s	22/23 March 2018		
RTO Background			
<p>N.S.E. RTO Pty Ltd T/as ANMF (Vic Branch) Education Centre (ANMF) is underwritten b Australian Nursing and Midwifery Federation (Vic Branch), the ANMF (Vic Branch) is membership based.</p> <p>The organisation focuses on safety and the importance of training to working safely – the safety of members and their interaction with clients in the industry.</p> <p>ANMF offers a diverse range of courses for nurses, midwives and personal care workers, including short courses, certification and re-certification courses, professional development seminars, workshops, non-accredited and accredited courses. Twenty online modules are also offered.</p>			

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ANMF was formerly registered under RTO registration TOID 3601 in 1996 trading as Australian Nursing and Midwifery Federation (Victorian Branch). Since 2015, it has been trading as ANMF (Vic Branch) Education Centre under a new RTO Registration TOID 22609, and continues to deliver Nationally Recognised Training by offering Nationally Accredited courses.

The organisation is governed by a Council of 23 members. The RTO operations are governed by the Council's Executive Committee, as such the RTO and education operations are seen as separate entities.

The organisation receives some funding support through the Skills First program, however most learners are not eligible due to holding higher level qualifications. Most training is funded through fee for service activities.

Students, nurses, midwives and personal care workers attending the ANMF have access to quality teaching and support staff, materials and modern facilities with well-equipped classrooms, clinical nursing and computer laboratories, and an extensive library.

The ANMF aims to offer high quality and reasonably priced courses, seminars and workshops to its members and non members at an additional cost.

ANMF has four qualifications on scope and two units of competency. The qualification TAE40110 Certificate IV in Training and Assessment is now superseded and the RTO has submitted an application to include the current qualification, TAE40116 Certificate IV in Training and Assessment, on scope.

During 2016, 60 students had been enrolled in the qualification, most having completed their qualification in the same year and 14 of these learners completed their qualification in 2017.

The audit scope included the review of learning and assessment arrangements for the qualification TAE40116 Certificate IV in Training and Assessment and sampling of the nine core units.

It also included a review of the delivery and assessment arrangements for the superseded qualification TAE40110 Certificate IV in Training and Assessment, sampling of learning and assessment arrangements for two units and review of five student files who had completed the qualification.

ANMF has developed state of the art training facilities at its premises in Elizabeth Street, providing for modern, well-appointed training areas, laboratory facilities and simulated ward environments.

The organisation's focus on training has ensured that well qualified and experienced staff have been appointed to manage its operations, including resource development, compliance and trainer/assessor positions. The Education Centre Manager has extensive experience in nursing and continues to work as a clinical practitioner in addition to managing the Centre.

The Centre Team has spent many hours reviewing the most effective delivery and assessment arrangements of the TAE40116 Certificate IV in Training and Assessment, and has developed its own learning and assessment resources, customised to reflect the training and assessment roles within the health care industry and nursing environments.

The result has been a fully integrated learning design with clustered relevant units to reflect the sequence of learning relevant to nursing training, providing for industry-based content and examples and including practical

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tasks that can readily be demonstrated within the simulated healthcare environment available at the Training Centre.

Following a thorough review of training and assessment arrangements, debating the merits of the training and assessment approaches, unpacking of clusters of learning and assessments, and rectifications at the time of audit, ANMF was able to demonstrate full compliance with the requirements of the qualification and AQTF in delivering the qualification.

Qualifications/Units Audited¹

QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
TAE40116	Certificate IV in Training and Assessment Units sampled: TAEASS401 Plan assessment activities and processes TAEASS402 Assess competence TAEASS403 Participate in assessment validation TAEASS502 Design and develop assessment tools TAEDEL401 Plan, organise and deliver group-based learning TAEDEL402 Plan, organise and facilitate learning in the workplace TAEDES401 Design and develop learning programs TAEDES402 Use training packages and accredited courses to meet client needs TAEELN411 Address adult language, literacy and numeracy skills	540 Elizabeth Street, Melbourne VIC 3000
TAE40110	Certificate IV in Training and Assessment Units sampled: TAEDES401A Design and develop learning programs TAEASS402B Assess Competence	540 Elizabeth Street, Melbourne VIC 3000

Interviewee(s) – Staff name and position; employer name and position

Anna Mastynyk	Trainer/assessor: Certificate IV in Training and Assessment
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¹ Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

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Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
If 'No', please provided amended details below:		

Third party Arrangements –	Yes	No
Do the RTO's third party arrangements match the information provided by the VRQA?	X	
If 'No', please provided amended details below:		

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Audit Summary - AQTF Conditions of Registration

AQTF Conditions Place an X in the appropriate column		Compliant	Non - Compliant	Not audited
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation			X
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment			X
7	Recognition of Qualifications Issued by other RTOs			X
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses			X

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Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1	X		
1.1 – Continuous Improvement Strategy			X
1.2 – Training and Assessment Strategies	X		
1.3 – Training and Assessment Resources	X		
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies	X		
Standard 2	X		
2.1 – Meeting the Needs of Clients			X
2.2 – Continuous Improvement of Client Services			X
2.3 – Provision of Information to Clients	X		
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients			X
2.6 – Learner Access to Records of Participation			X
2.7 – Complaints and Appeals Strategy			X
Standard 3			X
3.1 – Operations Management			X
3.2 – Continuous Improvement of Operations			X
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management			X

Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
1. Governance, Financial viability and Management systems			X
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
2. Transparency and oversight of third parties			X
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)	X		
3.1 – Vocational & Industry skill requirements	X		
3.2 – Training and Assessment (TAE) skill requirements	X		
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
4. Delivery of training and assessment services	X		
4.1 – Training and assessment practices	X		
4.2 – Amount of training	X		
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes	X		
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)	X		
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)	X		
4.6 – TAE – Trainer under supervision requirements	X		
4.7 – TAE – Registration requirements	X		
5. Annual Declaration of Compliance			X
5.1 – Annual Declaration of Compliance			X

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Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance	Not audited
CONDITION 2 - Interactions with the Registering Body	Not audited
CONDITION 3 - Compliance with Legislation	Not audited
CONDITION 4 - Insurance	Not audited
CONDITION 5 - Financial Management	Not audited
CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment	Not audited
CONDITION 7 - Recognition of Qualifications Issued by other RTOs	Not audited

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CONDITION 8 - Accuracy and Integrity of Marketing		Compliant
Evidence/Documentation Reviewed		
Sighted: <ul style="list-style-type: none"> • Student Handbook • Draft Brochure • Student Handbook Certificate IV in Training and Assessment 		
CF.8.1	Finding	Required Rectification(s)
	Following a number of rectifications at the time of audit, ANMF (Vic Branch) Education Centre had ensured that its marketing and advertising of the TAE40116 Certificate IV in Training and Assessment qualification to prospective clients would be ethical, accurate and consistent with its scope of registration. The NRT logo was employed in accordance with its conditions of use.	N/A
Improvement Opportunities		
ANMF (Vic Branch) Education Centre would benefit by reviewing procedures for developing marketing and informational materials and ensuring that clear advice is provided to everyone involved that qualification and unit titles must be identified on all materials, in the same format as they are on Training.gov.au.		
CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses		Not audited

Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.

Not audited

ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.

Compliant

Evidence/Documentation Reviewed

Learning and assessment strategies for the following qualification:

TAE40116 Certificate IV in Training and Assessment

- Training and Assessment Strategy Version 4 (March 2018)
- Delivery and Assessment Matrix
- Learning and Assessment Resource Matrix
- Delivery Plan
- RPL and Credit Transfer quick reference guide

SF.1.2.1 Finding

Required Rectification(s)

ANMF (Vic Branch) Education Centre had implemented strategies for training and assessment for units on scope that met the requirements of the relevant Training Package and were developed in consultation with industry.

N/A

<p>ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>TAE40116 Certificate IV in Training and Assessment Required Text: Vocational Training and Assessment Second Edition: A blended learning package for TAE40116 Certificate IV in Training and Assessment, Hill and Perlitz. Recommended reading:</p> <ul style="list-style-type: none"> • Training and assessment: theory and practice, Travers and Rule. • Models of Adult Learning Literature review, Tusting and Barton. • The Adult Learner, Knowles and Holton. • Basic Training for Trainers: A handbook for New Learners, Kroennert. <p>Units:</p> <p><i>TAEASS401 Plan assessment activities and processes</i> <i>TAEASS402 Assess competence</i> <i>TAEASS403 Participate in assessment validation</i> <i>TAEASS502 Design and develop assessment tools</i> <i>TAEDEL401 Plan, organise and deliver group-based learning</i> <i>TAEDEL402 Plan, organise and facilitate learning in the workplace</i> <i>TAEDES401 Design and develop learning programs</i> <i>TAEDES402 Use training packages and accredited courses to meet client needs</i> <i>TAELLN411 Address adult language, literacy and numeracy skills</i></p> <ul style="list-style-type: none"> • PowerPoint presentations • Handout materials • Block A B and C Learner guides • Block A, B and C Assessment tools. • Case studies • Simulated learning programs • Policies and procedures 	

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- Templates

Assessor Workbook.

- Learner Workbook activities
- Skills activity
- Knowledge activity
- Performance activities

Training rooms – equipped with audio visual equipment

Library resources

Independent study areas with computer access

Simulated labs and wards.

Personnel files of two trainers/assessors:

- Anna Mastynyk
- Karen Squire-Ryan

SF.1.3.1 Finding	Required Rectification(s)
Staff, facilities, equipment and training and assessment materials used by the RTO were consistent with the requirements of the Training Package and the RTO's own training and assessment strategies.	N/A

<p>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>		Compliant
Evidence/Documentation Reviewed		
<p>Personnel files of two trainers/assessors:</p> <ul style="list-style-type: none"> • Anna Mastynyk • Karen Squire-Ryan 		
SF.1.4.1	Finding	Required Rectification(s)
	<p>Training and assessment was delivered by trainers and assessors who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed, and could demonstrate current industry skills directly relevant to the training/assessment being undertaken, and continued to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	N/A

<p>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL): a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Assessment strategies for the following qualification and units: TAE40116 Certificate IV in Training and Assessment</p> <p>Learning Block A The following units were assessed as part of Block A: <i>TAEDES402 Use training packages and accredited courses to meet client needs</i> <i>TAEASS401 Plan assessment activities and processes</i> <i>TAEASS502 Design and develop assessment tools</i> <i>TAEASS402 Assess competence</i> <i>TAEASS403 Participate in assessment validation</i></p> <p>Assessment tasks:</p> <ul style="list-style-type: none"> - PACC1 Consult with Senior Clinical Nurse at South East Health - PACC2 Consult with Senior Clinical Nurse Educator or Nurse Unit Manager - POE 1a Develop a learning program for a full qualification - POE1b Develop four assessment plans for four units at South East Health (including two RPL assessments) - Cluster A POE 2 Develop one assessment plan for one unit in your workplace - 2 RPL assessments - included in POE 1b - PACC 1 Consult with Clinical Nurse Educator - PACC 2 Consult with Clinical Nurse Educator - PACC 4a Assess for candidates against one unit of competency - PACC 4b Assess one candidate for RPL against one unit 	

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- KBT Questions 16-18, 21-26, 29-36, 41-42.
- PACC 5 Participate in validation – in conjunction with POE 5b
- POE 5 Report validation findings – participate in three validations of an assessment tool. Validate one assessment tool developed and used with the five mock candidates assessed through previous tasks. Sighted form template.
- KBT Questions 16, 27, 31, 43 – 49
- PACC 1 Consult with Senior Clinical Nurse Educator
- PACC 2 Consult with Senior Clinical Nurse Educator and Unit Manager
- POE 1b Develop a learning program for a full qualification at SE Healthcare
- POE 2 Develop one assessment plan for one unit
- POE 3a Develop three assessment tools SE Healthcare
- PACC 3b Trial and review assessment tools for SE Healthcare
- KBT Questions – 6, 9-11, 16-26, 28, 37,38, 40-42, 44, 45, 47,48
- PACC 1 Consult
- PACC 2 Consult
- POE 1a Develop a learning program for a full qualification at SE Health
- POE 1b Develop four units of competency for SE Health
- POE 2 Develop one assessment competency for your workplace
- POE 3a Develop three assessment tools for South East Healthcare (2 assessment tools, 1 RPL tool)
- PACC 3b Trial and review assessment tools for South East Healthcare
- PACC1 Consult with the Unit Manager at Meadowview
- POE 1 Develop a learning program for an entire unit of competency
- KBT Q1-14, 17, 18

Learning Block B

The following units were assessed as part of Block B:

- *TAEDES401 Design and develop learning programs*
- *TAELLN411 Address adult language, literacy and numeracy skills*

Assessment tasks:

- POE 1 Plan a 20 minute training session
- POE 2 Plan the first 40 minute training session

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- POE 3 Plan the second 40minute training session
- PACC 1 Deliver a 20 minute training session
- PACC 2 Deliver the first 40 minute training session
- PACC 3 Deliver the second 40 minute training session
- KBT Questions 1 – 13.
- PACC 1 Consult
- POE 1a Develop a learning program for a full qualification
- PACC 1 Consult with the Unit Manager at Meadowview
- PACC 2 Conduct a PRT interview with two learners requiring LLN support
- POE 2 Analyse and record the PTR assessment of two learners requiring LLN support
- PACC 3 Consult with an LLN specialist
- PACC 4 Review the learning program for Meadowview
- POE1 Develop a learning for an entire unit of competency
- POE 4 Revise the learning program for Meadowview
- POE 4 Revise the learning program for Meadowview
- POE 3 Develop individual training plans and customise learning resources
- KBT Questions 16 -19.
- Learner Workbook activities
- Skills activity
- Knowledge activity
- Performance activity – this required preparing and facilitating work-based learning – two examples and conducting a learning facilitation with at least two learners.

Learning Block C

The following units were assessed as part of Block C:

- *TAEDEL401 Plan, organise and deliver group-based learning*
- *TAEDEL402 Plan, organise and facilitate learning in the workplace*
- *TAEDEL404 mentor in the workplace*

Assessment tasks included:

- PACC Consult with Senior Clinical Nurse Educator at SE Health
- POE 1a Develop a learning program for a full qualification for SE Health

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- PACC 3a Review a learning program at SE Health
- PACC 1 Consult with Unit Manager at Meadowview
- POE 1 Develop a learning program for an entire unit of competency
- PACC 4 Review the learning program at Meadowview
- KBT Questions 3 - 15

TAE40110 Certificate IV in Training and Assessment

TAEDES401A Design and develop learning programs

Assessment resources:

- Assessment Task B Marking Guide
- Written reports
- Portfolio
- Individual learning plan
- Third party verification
- Learning record sheet for Tammy P, Emily D
- Individual learning plan Tammy P, Emily D
- Session plan: individual work-based learning, Tammy P, Emily D
- Observer feedback form 5/4/2017
- Participant evaluation form learner: 1. Nicole Porter/Tammy P. 2. Emily D and Nicole Porter

Assessment Task A: Develop learning programs

- Develop learning program for a unit of competency to meet workplace needs.
- Identify the characteristics of two different groups of learners.
- Design a program for a OOC and develop materials for two consecutive 40 minute sessions, one for each of the two groups of learners.
- Deliver the two programs with three participants in each session.
- Submit a written report (approximately 500 words).

Task A Portfolio:

- Program Plan HLTWHS006 Manage personal stressors in the work environment
- Unit Outline
- Session Plan 1 VCAL students
- Session Plan 2 Secondary school students

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- Risk control tool
- Participant evaluation form - six students
- Observer feedback form
- PowerPoint presentation – Mindfulness

Assessment Task B – Project

- Conduct an analysis of roles and work practices in your workplace to identify individual needs of two people and develop a work based learning pathway for each – one for a UOC related to work based learning.
- Develop individual learning plans.
- Deliver two sessions according to the plans.
- Seek feedback from each learner.

Assessment Task C - Project

- Sort answer questions - eight questions - 100%
- Marking Guide

Student files:

- Claire Logue, assessors Karen Squire-Ryan and Anna Mastinyk
- Josephine Rescinti, assessors Karen Squire-Ryan and Anna Mastinyk
- Susan Ireland, assessors Karen Squire-Ryan and Anna Mastinyk

TAEASS402B Assess Competence

TAEASS401 Plan assessment activities and processes

Assessment Tasks:

- Assessment Task D – Project
- Plan an RPL Assessment process for a candidate to achieve a UOC
- Prepare an RPL Plan and develop RPL tools
- Trial and review assessment tools
- Deliver RPL assessment
- Assess the RPL evidence
- Assessment Marking Guide

Student files:

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<ul style="list-style-type: none"> - Student files: - Claire Logue, assessors Karen Squire-Ryan and Anna Mastynyk, Stress Management. - Josephine Rescinti, assessors Karen Squire-Ryan and Anna Mastynyk, CPR 3/5/2017, - Susan Ireland, assessors Karen Squire-Ryan and Anna Mastynyk, HLTAID003 Provide first aid, 		
SF.1.5.1	Finding	Required Rectification(s)
	<p>Following modifications at the time of audit, assessment instruments, including Recognition of Prior Learning (RPL), met the requirements of the relevant Training Package and qualification TAE40116 Certificate IV in Training and Assessment and could be conducted in accordance with the principles of assessment and the rules of evidence. They met workplace requirements and, for the qualification TAE40110 Certificate IV in Training and Assessment, were systematically validated.</p>	N/A

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2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.

Not audited

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.

Not audited

2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.		Compliant
Evidence/Documentation Reviewed		
<p>Sighted:</p> <ul style="list-style-type: none"> • Student Handbook • Brochure 		
SF.2.3.1	Finding	Required Rectification(s)
ANMF (Vic Branch) Education Centre had provided sufficient information, before students enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.		N/A

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2.4 - 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.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Industry Consultation Summary. • Feedback from six employers. • Recommendations adopted. 		
SF.2.4.1	Finding	Required Rectification(s)
	The employers were engaged in the development, delivery and monitoring of training and assessment.	N/A

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2.5 - Learners receive training, assessment and support services that meet their individual needs.	Not audited
2.6 - Learners have timely access to current and accurate records of their participation and progress.	Not audited
2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	Not audited

3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.	Not audited
3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.	Not audited
3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.	Not audited
3.4 - The RTO manages records to ensure their accuracy and integrity.	Not audited

Detailed Findings – 2016 VRQA Guidelines for VET Providers

GUIDELINE 1.1 - An RTO must ensure that it has a current strategic plan and a detailed business plan which have been approved by its governing body.

Not audited

- a) An RTO ensures the strategic plan details the overall vision, mission, board of directors and strategic directions of the RTO and clearly indicates that provision of vocational education is a primary purpose of the RTO.
- b) An RTO ensures the business plan details the operational and workforce development arrangements for a three year period that incorporates:
 - i. description of the business including an organisation chart, courses, location(s) and facilities
 - ii. a continuous improvement plan or risk management strategy
 - iii. a work force development plan
 - iv. strategic alliances with other education or service providers or third party arrangements
 - v. training and assessment delivery including proposed facilities and delivery hours

GUIDELINE 1.2 - An RTO demonstrates its financial viability and its capacity to sustain quality VET into the future by ensuring it has a three year financial plan that includes:

Not audited

- a) projected student enrolments by qualifications
- b) a range of financial indicators, including
 - i. cash flow
 - ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1)
 - iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1)
- c) the VET provider shows that it has a financial guarantor with the capacity to service the guarantee and/or to demonstrate sufficient working capital to operate for at least 6 months without tuition fees.
- d) details about whether any person involved in the management or provision of courses by the RTO meets any of the descriptions listed in section 4.3.11(2) of the Act.

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GUIDELINE 1.3 - An RTO ensures that it has management systems that include:

- a) management information including:
 - I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds)
 - II. a physical address of the company in Victoria for the purposes of serving notices
 - III. details of the directors, CEO/PEO and senior management members with associated police checks and Working With Children Checks if students are under 18 years of age
 - IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria
 - V. contact arrangements for the CEO/PEO including during holidays and other closure periods
 - VI. physical addresses for the location of financial, student and staff records including archives and computer back up storage
- b) a financial management system including a system for managing student fee payments and student refunds
- c) a student records management system that includes the capacity to provide the VRQA with AVETMISS compliant data and to ensure that copies of student records are
 - I. not able to be withheld from the RTO; and
 - II. able to be provided in electronic and print versions, at no cost to the VRQA in the event that the VET provider ceases operations
- d) a staff records management system including arrangements which ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills.

Not audited

GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:

- a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management
- b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that:
 - i. for an RTO with anticipated ongoing operation of less than 150 equivalent full time students or an annual student fee turnover of less than \$1.5m per annum, persons are appointed with suitable qualifications and experience; and
 - ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience
- c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience.

Not audited

<p>GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.</p> <ul style="list-style-type: none"> • A <i>third party</i> means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO. • <i>Services</i> mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services. 	Not audited
<p>GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:</p> <ul style="list-style-type: none"> a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and b) for the purposes of the conduct of any audit or monitoring of its operations. 	Not audited
<p>GUIDELINE 2.3 – An RTO notifies the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:</p> <ul style="list-style-type: none"> a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and b) within 30 calendar days of the agreement coming to an end. 	Not audited
<p>GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:</p> <ul style="list-style-type: none"> a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party. 	Not audited
<p>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO t provides, in print or through referral to an electronic copy, current and accurate information that:</p> <ul style="list-style-type: none"> a) enables the student to make informed decisions about undertaking training with the RTO and b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf 	Not audited

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GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.

Not audited

GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:

Not audited

- a) the RTO, its trainers, assessors or other staff;
- b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or
- c) a student of the RTO.

GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.

Not audited

<p>GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:</p> <ul style="list-style-type: none"> a) vocational competencies at least to the level being delivered and assessed; b) current industry skills directly relevant to the training and assessment being provided; and c) current knowledge and skills in vocational training and learning that informs their training and assessment. <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4.		
GF 3.1.1	Finding	Required Rectification(s)
	A review of trainer/assessor information confirmed that training and assessment was to be conducted by trainers/assessors who had vocational competencies at least to the level being delivered and assessed, current industry skills directly relevant to the training and assessment being provided, and current knowledge and skills in vocational training and learning that informed their training and assessment.	N/A

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GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4.		
GF 3.2.1	Finding	Required Rectification(s)
	Training and assessment was delivered by appropriately qualified trainers/assessors.	N/A

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GUIDELINE 3.3 Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.

Not audited

GUIDELINE 3.4 Where the RTO, in delivering training and assessment, engages an individual who is not a qualified trainer and/or assessor, the individual works under the supervision of a qualified trainer and/or assessor and must not determine assessment outcomes.

Not audited

GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:

- a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines;
- b) has vocational competencies at least to the level being delivered and assessed; and
- c) has current industry skills directly relevant to the training and assessment being provided.

Not audited

GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.		Compliant
Evidence/Documentation Reviewed		
See Standard 1.2		
GF 4.1.1	Finding	Required Rectification(s)
	ANMF (Vic Branch) Education Centre's training and assessment strategies and practices, including the amount of training it provided, were consistent with the requirements of the Training Packages and enabled each student to meet the requirements for each unit of competency in which the student was enrolled and a rationale for this amount of training was provided.	N/A

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GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:		Compliant
<ul style="list-style-type: none"> a) the existing skills, knowledge and the experience of the student; b) the mode of delivery; and c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification. 		
Evidence/Documentation Reviewed		
See Standard 1.2		
GF 4.2.1	Finding	Required Rectification(s)
	ANMF (Vic Branch) Education Centre had identified a duration for TAE40116 qualification reviewed and had determined the amount of training it provided to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.	N/A

GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation) of these Guidelines.		Compliant
Evidence/Documentation Reviewed		
Report - Review of TAE40116 delivery and assessment arrangements and tools prepared by Cathryn Thomas 17-12-2017 Included instructions for non-conformity response – 1. Immediate correction, 2. Root cause, 3. Root case correction, 4. Corrective Action Verification Plan, 5. Follow up		
GF 4.3.1	Finding	Required Rectification(s)
ANMF (Vic Branch) Education Centre had undergone an independent validation of its assessment system, tools, processes and outcomes.		N/A

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GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered or have demonstrated equivalence of competencies.		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4		
GF 4.4.1	Finding	Required Rectification(s)
	ANMF (Vic Branch) Education Centre had ensured that all trainers and assessors delivering the TAE40116 Certificate IV in Training and Assessment held the training and assessment qualification at least to the level being delivered.	N/A

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<p>GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment:</p> <p>a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.</p>		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4		
GF 4.5.1	Finding	Required Rectification(s)
	<p>The two trainers/assessors for the qualification TAE40116 held the following:</p> <ul style="list-style-type: none"> • Diploma of Vocational Education and Training and/or • Diploma of Training Design and Development 	N/A

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GUIDELINE 4.6 - An RTO ensures that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 of these Guidelines and does not determine assessment outcomes.		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4		
GF 4.6.1	Finding	Required Rectification(s)
	No trainers/assessors were working under supervision.	N/A

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GUIDELINE 4.7 - An application to add any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor) to an RTO's scope of registration has only be granted if an RTO has:		Compliant
<ul style="list-style-type: none"> a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3. 		
Evidence/Documentation Reviewed		
<p>Not audited as part of this Extension to Scope Audit. See validation report.</p>		
GF 4.7.1	Finding	Required Rectification(s)
	<p>ANMF (Vic Branch) Education Centre had held registration for at least two years continuously at the time of applying to add the qualification TAE40116 Certificate IV in Training and Assessment to scope and had undergone an independent validation of its assessment system, tools, processes and outcomes.</p>	<p>N/A</p>

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GUIDELINE 5.1 - An RTO registered with the VRQA has provided an annual declaration of compliance with the AQTF Essential Conditions and Standards for Continuing Registration (the AQTF Standards) and these Guidelines, and in particular whether it:

- a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and
- b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and
- c) has training and assessment strategies and practices in place that ensure that all current and prospective students are or will be trained and assessed in accordance with the requirements of the AQTF Standards and these Guidelines.

Not audited