



Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Access Training Institute Pty Ltd
Trading name/s	Access Training Institute Pty Ltd
RTO number	91498
CRICOS number	n/a

AUDIT TEAM

Lead auditor	Sue Melinz
Auditor/s	Ramani Johnson (Analysis of rectification evidence)
Technical adviser/s	n/a

AUDIT DETAILS

Application number/s	1055523
Audit number/s	1005752
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, Suite 8, 50 Macquarie Street Liverpool NSW 2170
Date/s of audit	23/07/2014
Organisation's contact for audit	Zeeshan Rana shan.rana@kirana.com.au Chief Executive Officer 1300 854 011
NVR standards audited	Selected Standards for Continuing Registration SNR 15, 16, 17, 18, 20 2, 22 2, 22 3, 23 1, 24 1 & 25

BACKGROUND

Access Training Institute Pty Ltd was initially registered on 21 April 2009 by the then VET Regulator NSW VETAB.

Access Training Institute Pty Ltd is part of the Kirana Group of Companies that comprises of three RTO's in total. Kirana Training Pty Ltd and Maxis Solutions Pty Ltd complete the Kirana Group

The CEO Zeeshan Rana advised the auditor that under the previous regulator RTO's in NSW were restricted to delivering only eight qualifications for the first twelve months of registration, as such Kirana

Training Pty Ltd was registered to maximise funding opportunities. Maxis Solutions Pty Ltd is the latest acquisition.

All three organisations deliver training and assessment services nationally, with the majority of training being conducted in NSW, QLD and WA.

The organisation registered for VET FEE – HELP approximately 18 months ago and stated that it has experienced a significant increase in enrolments due to the financial assistance VET FEE – HELP affords students.

The organisation currently receives state funding under the following programs:

- NSW – User Choice and Skills Shortage Program
- QLD – Certificate 3 Guarantee
- ACT – Priority Support Program
- WA – Future Skills

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

- 611

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	Mixed	97
CHC30712	Certificate III in Children's Services	Mixed	10
CHC30113	Certificate III in Early Childhood Education and Care	Mixed	30
CHC50908	Diploma of Children's Services (Early Childhood Education and Care)	Mixed	56
CHC50113	Diploma of Early Childhood Education and Care)	Mixed	256
TLI31610	Certificate III in Warehousing	Mixed	11

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

INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Zeeshan Rana	Chief Executive Officer	All
Andrew Croft	Quality & Compliance Manager	All
Katrina Borg	Operations Manager	All
Karen McMaster	Trainer/assessor	CHC30712 Certificate III in Children's Services CHC30113 Certificate III in Early Childhood Education and Care CHC50113 Diploma of early Childhood Education and Care

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 12/08/2014: 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 13/10/2014: 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	Compliant	n/a
SNR 24	Compliant	n/a
SNR 25	Compliant	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

Reasons for finding of non-compliance:

- The RTO has not provided assessment tools and materials that meet the requirements of the relevant Training Packages and are consistent with the requirements of SNR 15.5. Refer to SNR 15.5 of this report for further information.

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

- Provide evidence that addresses the non-compliances identified against SNR 15.5 of this report.

Analysis of rectification evidence:

- The RTO has provided rectification evidence that addresses the non-compliances identified against SNR 15.5 of this report. Please refer to SNR 15.5 of this report for further information.

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:

Evidence provided:

- Assessment Booklet Assessor's Guide for 2 x clustered units of competency;
 - CHCCS400C *Work within a relevant legal and ethical framework* and CHCECE009 *Use an approved learning framework to guide practice.*
 - TLIL1001A *Complete workplace orientation/induction procedures* and TLIF1001A *Follow occupational health and safety procedures.*
- Assessor's Guide for 3 x clustered units of competency;
 - CHCECE003 *Provide care for children*, CHCECE005 *Provide care for babies and toddlers* and CHCECE007 *Develop positive and respectful relationships with children.*
- A Facilitator's Guide, Learner Guide and PowerPoint Slides for both the individual and clustered units of competency were provided.
- A Practicum Booklet Assessment Strategy 4 – Supervisory Report & Assessment 5 Observation/Demonstration for the qualifications;
 - CHC30113 Certificate III in Early Childhood Education and Care
 - CHC50113 Diploma of Early Childhood Education and Care
- Assessment Booklet Assessor's Guide for individual units of competency;
 - TLIB1030A *Undertake general site maintenance*
 - BSBRSK501B *Manage Risk*
 - BSBHRM513A *Manage workforce planning*

Audit findings:

CHC30113 Certificate III in Early Childhood Education and Care

CHC50113 Diploma of Early Childhood Education and Care

- Assessment Strategy 4 – Supervisory Report
 - The Practicum Booklets contain all the units of competency from each of the CHC qualifications. Each of the units contains a list of performance criteria with a single tick box covering all performance criteria within the unit. The tick box is titled "Demonstrated Competency Required. Tick Yes". Therefore, it is unclear which performance criteria are assessed in the workplace as opposed to being assessed in a classroom.
 - The Practicum Booklet does not identify which units of competency require workplace assessment as per the Training Package requirements, but states that the work log book "must be signed by your supervisor every day".
 - The Practicum Booklet does not provide clear and detailed instructions regarding:
 - the assessment activities and or tasks that are to be completed by the learner
 - how the supervisor is to conduct the assessment
 - how or over what period of time learner competency is determined.
- Assessment Strategy 5 – Observation/Demonstration
 - The Practicum Booklet for the CHC50113 Diploma of Early Childhood Education and Care states in the index that there is an "Assessment strategy 5 – Assessor

Observation", however the booklet does not contain this.

- Assessor's Guide for clustered units of competency CHCECE003, CHCECE005 and CHCECE007 Assessment 1 - 3
 - The Assessment Booklet does not clearly describe how the assessment activities meet the requirements of the Training Package. For example, page 3 states "...assessment tools provided have been mapped against the learning outcomes and assessment criteria for this unit", yet the assessment is for three units of competency.
 - The "Competency Assessment Mapping" in the Assessor's Guide does not contain consistent and accurate information. For example, the Competency Assessment Mapping states on page 7 states there is an assessment task 5 (AS5), however there is no AS5 contained in the booklet.
 - The assessment booklet contains information not relevant to the Early Childhood Education and Care qualification and contains out dated information. For example, the document references the Aged Care standards and does not reference the Early Years Learning Framework.
 - The *final* assessment finding refers to Satisfactory or Not Yet Satisfactory rather than Competent or Not Yet Competent.

- *It is noted that the Compliance Manager advised the auditor that all assessment tools and materials are currently under review as part of the organisations continuous improvement process. In house materials are being developed for all qualifications and some formatting issues had been identified prior to the site audit.*

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

- **Provide evidence that demonstrates:**
 - How the organisation ensures that all assessment tools used to determine the learner competence meets the requirements of the relevant Training Package.
 - That all assessment tools sampled for the audit provide clear instructions to assessors and workplace supervisors to facilitate consistency in assessment judgement and provide sufficient information to make informed decisions on the learner's competence.
 - The assessment tools clearly describe all assessment activities and or tasks to be undertaken by learners, specifically with regard to observable behaviours.
 - The *final* assessment finding of Satisfactory or Not Yet Satisfactory has been amended to reflect Competent or Not Yet Competent.
 - Assessment tools and materials contain accurate and current information appropriate to the qualification.
 - The organisation's validation process has been reviewed to ensure assessment tools and practices have been systematically validated.

Analysis of rectification evidence:

- The RTO has provided revised practicum booklets for *CHC30113 Certificate III in Early Childhood Education and Care* and *CHC50113 Diploma of Early Childhood Education and Care* as rectification evidence.

- The revised practicum booklets provide information to candidates and assessors in the introduction section:
 - on meeting the requirements of workplace assessments.
 - on meeting the evidence requirements of the units of competency
 - tasks need to need to be demonstrated a number of times and over a period of time.
- Revised Supervisor Reports and Assessor observation reports that have:
 - instructions to assessors section
 - instructions to supervisors section
 - instructions to learners on multiple assessment visits at workplace.
- Incorrect references rectified in the assessor guide of the following units of competency:
 - CHCECE003 Provide care for babies and toddlers
 - CHCECE005 Provide care for children
 - CHCECE007 Develop positive and respectful relationships with children
- Assessment validation policy including:
 - Assessment validation tool quality check conducted by Jennifer Nightingale for the following units of competency:
 - CHCECE003 Provide care for babies and toddlers
 - CHCECE005 Provide care for children
 - CHCECE007 Develop positive and respectful relationships with children
- The RTO has met the requirements of this standard and is compliant.

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:

- The CEO has not ensured compliance with the VET Quality Framework as evidence by the non-compliances identified against SNR 15.3 and 15.5 in this audit report.

- As such the organisation has not addressed the compliance requirements of Standard 18.1.

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

- Provide evidence that addresses the non-compliances identified against Standard 15.3 and 15.5.

Analysis of rectification evidence:

- The RTO has provided rectification evidence that addresses the non-compliances identified against SNR 15.3 and SNR 15.5
- The RTO has met the requirements of this Standard and is compliant.

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: Not audited

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 compliant

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: Compliant

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: Compliant

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: Compliant

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: Compliant

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: Compliant

Following rectification: n/a