



## VET Quality Framework audit report

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

Legal name of organisation	Insight Training Group Australia Pty Ltd
Date/s of audit	16 October 2012

ORGANISATION DETAILS					
<b>RTO legal name</b>	Insight Training Group Australia Pty Ltd		<b>RTO ID number</b>	32142	
<b>Registered business trading name</b>	Insight Training Group Australia Pty Ltd		<b>ABN</b>	77140467929	
<b>Address</b>	Suite 4, Level 1, 8 Minto Rd MINTO NSW			<b>Postcode</b>	2566
<b>Phone</b>	1300 789 236	<b>Fax</b>	02 8798 1227		
<b>E-mail</b>	zunaid@insighttraining.edu.au		<b>Website</b>	Not active	
<b>Registration contact</b>	<b>Name</b>	Mr Zunaid Moosa	<b>Position</b>	Chief Executive Officer	

AUDIT TEAM			
<b>Lead auditor</b>	Mrs Jane Connellan	<b>Technical adviser/s</b>	N/A
<b>Audit team members</b>	Ms Nadine Khoury (Observer)		

ASQA CONTACT DETAILS			
<b>Phone</b>	1300 701801 (ASQA Info line)	<b>E-mail</b>	compliancebrisbane@asqa.gov.au

AUDIT DETAILS	
<b>Audit type</b>	<input type="checkbox"/> Renewal of registration <input type="checkbox"/> Extension to scope of registration <input checked="" type="checkbox"/> Compliance monitoring ( <b>post-initial</b> registration) <input type="checkbox"/> Other:
<b>Scope of audit</b>	<input checked="" type="checkbox"/> Standards for NVR Registered Training Organisations <input type="checkbox"/> Australian Qualifications Framework (AQF) <input type="checkbox"/> Data Provision Requirements <input type="checkbox"/> Fit and Proper Person Requirements <input type="checkbox"/> Financial Viability Risk Assessment Requirements
<b>Date/s of site visit/s</b>	16 October 2012
<b>Site/s visited</b>	Suite 4, Level 1, 8 Minto Road MINTO NSW
<b>Standards audited</b>	Essential Standards for Continuing Registration 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25

ORGANISATION
<ul style="list-style-type: none"> <li>The post-initial audit was originally assigned to Denise Middleton, Lead Auditor, Compliance Brisbane. When Ms Middleton contacted the organisation to schedule the audit at the organisation's Brisbane address she was informed the organisation had moved premises to Minto, NSW.</li> <li>The organisation submitted a change of registration application to amend its head office address and the audit was reassigned to Jane Connellan, Principal Auditor, Compliance Brisbane. When Ms Connellan contacted the organisation to schedule the audit and confirm the audit scope the organisation identified it was not fully resourced for all the qualifications on its scope of registration. The organisation chose to submit an application to withdraw the following qualifications from its scope: BSB40407 Certificate IV in Small Business Management, BSB40610 Certificate IV in Business Sales and BSB50207 Diploma of Business.</li> <li>The organisation's website is not currently active. An internet search of the organisation identified links with Precision International Group Pty Ltd. At audit the organisation identified Precision International Group Pty Ltd is the umbrella company and offers human resources, training and technology solutions through Precision Employment Pty Ltd, Precision Training Australia Pty Ltd (an RTO), Insight Training Group Australia Pty Ltd and Precision Industries Australia Pty Ltd. The brother of Zunaid Moosa, CEO, Insight Training Group Australia Pty Ltd owns and operates Precision Training Australia Pty Ltd.</li> <li>The planned core clients at the initial audit were predominantly corporate clients wishing to upgrade their employees' skills in occupational health and safety administration and management. Since commencing as an RTO the organisation has changed focus and the core clients are now traineeships. The organisation has user choice contracts for QLD, WA, NSW and the ACT. It has not as yet made use of its contracts in QLD and the ACT. Additional funding contracts include the PPP ready workness program in WA.</li> </ul>

- The organisation delivers training in NSW and WA. Neelu Balgovind, the Compliance Officer and trainer and assessor from the organisation's initial registration audit, is managing the Brisbane Office. Ms Balgovind also undertakes an internal audit function for the organisation.
- The organisation has had the following completions in the past 12 months and current student numbers are:
  - BSB30407 Certificate III in Business 2; 3
  - BSB40807 Certificate IV in Frontline Manager 0; 11
  - CPC108108 Certificate I in Construction 14; 0
  - CPCCOHS1001A Work safely in the construction industry 112 in NSW and 36 in WA
  - CPCCIN2001A Assemble components 0; 0
  - SIR20207 Certificate II in Retail 0; 0
  - SIR30207 Certificate III in Retail 0; 38.
- The organisation has plans for growth in student numbers within its current scope. Additionally, it is looking at starting another office between the Gold Coast and Brisbane.
- CPCCJN2001A Assemble components is identified as a single unit on the organisation's scope of registration. This unit can be undertaken as part of the Certificate I in Construction. The organisation has not delivered the unit as a standalone program. The organisation identified it would remove the single unit registration from its scope of registration. A review of ASQAnet identified the organisation submitted an application to remove this unit of competency on 23 October 2012. The application was approved on 24 October 2012.
- CPC10108 Certificate I in Construction was scoped as part of the audit. At the audit the organisation confirmed it had applied to remove this qualification from its scope of registration. A review of ASQAnet on return to the office confirmed the organisation submitted the request to withdraw the qualification on 15 October 2012 (the day prior to the audit). The application was approved on 16 October 2012.
- The organisation has not and does not intend to enter into any partnering agreements for the delivery of its training and assessment services.

#### FOCUS OF AUDIT

Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment
BSB30407	Certificate III in Business Administration	Traineeship
BSB40807	Certificate IV in Frontline Management	Traineeship
CPC10108	Certificate I in Construction [superseded by CPC10111]	Face to face, flexible workplace learning, self paced learning combined with face to face learning or RPL
CPC10111	Certificate I in Construction	Face to face supported by work placement
SIR20207	Certificate II in Retail	Traineeship
SIR30207	Certificate III in Retail	Traineeship

#### INTERVIEWEES

##### Staff (name and position)

Name	Position	Program (qualification, course, etc)
Zunaid Moosa	CEO	CPC10108/CPC10111 Certificate I in Construction
Leah Mossa	Training Manager	N/A
Ann Shephard	Compliance Manager	BSB40807 Certificate IV in Frontline Management

#### SUMMARY OF AUDIT OUTCOME

This audit was conducted under the *National Vocational Education and Training Regulator Act 2011* (the Act) to assess compliance with requirements of the VET Quality Framework as identified under the Scope of Audit section above.

## AUDIT OUTCOME

### Audit status as at 2 November 2012

- The organisation **has not demonstrated compliance** with all compliance requirements reviewed for the audit.

The level of non-compliance is considered to be **significant** when considering the potential for adverse impact on the quality of training and assessment outcomes for students.

The audit report describes evidence of non-compliance identified. Each issue referenced must be rectified by the organisation with evidence provided to ASQA within **20 working days** of the date of the letter accompanying this audit report to demonstrate corrective actions implemented.

Auditor's Name	<i>Jane Connellan</i>	Date of Report	2 November 2012
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## AUDIT RECTIFICATION

### Audit status following additional evidence received January 2013

- The organisation **has demonstrated compliance** with all compliance requirements reviewed for the audit.

Auditor's Name	<i>Jane Connellan</i>	Date of Report	30 January 2013
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## AUDIT SUMMARY OF VET QUALITY FRAMEWORK REQUIREMENTS

VET QUALITY FRAMEWORK COMPONENT		STATUS*
Financial Viability Risk Assessment Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Fit and Proper Person Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Data Provision Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Australian Qualifications Framework (AQF) Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
<b>Standards for NVR Registered Training Organisations 2011</b> - Essential Standards for Continuing Registration		
15	The NVR registered training organisation provides quality training and assessment across all of its operations	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
17	Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
18	The NVR registered training organisation has governance arrangements in place	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
19	Interactions with the National VET Regulator	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
20	Compliance with legislation	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA

21	Insurance	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
22	Financial management	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
23	Certification, issuing and recognition of qualifications and statements of attainment	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
24	Accuracy and integrity of marketing	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
25	Transition to training packages/expiry of VET accredited courses	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
*STATUS: Status of audit findings when audit was conducted                      C = Compliant                      NC = Not Compliant                      NA = Not audited		

## Audit Findings

The organisation was found compliant with the Standards for NVR Registered Training Organisations 2011 (SNR) – Essential Standards for Continuing Registration 16, 17, 18, 19, 21, 23, 24 and 25. The organisation was found non-compliant with SNR 15, 20 and 22.

The non-compliances were considered to be significant as the assessment tools that had been used or were planned to be used did not gather sufficient evidence to confirm a student has demonstrated competence prior to being issued a statement of attainment or qualification. This could have a significant adverse impact on the student and their current or future workplace.

The organisation conducted an internal audit in April 2012. Following this audit the organisation made extensive changes to its quality management system. The new system commenced being implemented in September 2012. In some areas where the system had not been implemented, evidence was considered based on the previous quality management system. Further audits will test the effectiveness of the new quality management system.

### Non-compliances:

#### **SNR 15:**

#### **BSB40807 Certificate IV in Frontline Management**

##### BSBMGT402A Implement operational plan

The assessments focused on writing a report on the theory behind how to implement an operational plan. The assessment did not address the critical aspects for assessment and evidence, required skills and performance criteria regarding the ability to monitor and adjust operational performance, plan and acquire resources, coaching and mentoring skills and planning and organising skills to monitor performance and sequence work of self and others to achieve planned outcomes.

##### BSBMGT404A Lead and facilitate off-site staff

The assessment focused on what strategies a student could use to lead and facilitate off-site staff, it did not assess a student's ability to demonstrate the skills required to lead and facilitate off-site staff. The assessment did not address all the required skills and performance criteria for example, the communication skills to negotiate and manage conflict and to manage performance.

#### **CPC10108 Certificate I in Construction**

##### CPCCOHS1001A Work safely in the construction industry

The organisation had different assessment tools for delivery in NSW and WA. The organisation identified both assessments were deficient and had developed a new assessment tool.

Additionally, the organisation had not ensured Edward Fono and Mark Solah had completed all items of assessment and/or the organisation had retained this evidence.

**Note:** The above qualification has been superseded and is no longer on the organisation's scope of registration. The organisation has developed new assessment tools for this unit to be offered in the new qualification. A review of the new master assessment tools identified they maybe deficient on gathering evidence to demonstrate verbal communication skills, bullying and housekeeping. Implementation of the tools will demonstrate whether this evidence has been captured.

#### **CPC10111 Certificate I in Construction**

##### CPCCVE1011A Undertake a basic construction project

The assessment tool for the full training and assessment delivery mode did not address all unit requirements. The organisation stated it would use the RPL assessment tool (which addresses all the unit of competency requirements) for the full delivery cohort; however, the organisation did not provide guidance on how the RPL tool would be used for this cohort.

**SIR20207 Certificate II in Retail**SIRXMER005A Create a display

The assessments are based on written questions and do not address the practical aspects of the unit of competency including the critical aspects for assessment and evidence and the required skills. For example, the assessments do not require the student to plan, create, build and maintain a display.

SIRXINV001A Perform stock control procedures

The assessments are based on written questions and do not address the practical aspects of the unit of competency including the critical aspects for assessment and evidence and the required skills. For example, the assessment does not ensure the student has the ability to receive and process incoming goods and dispatch outgoing goods, rotate stock and perform out-of-code checking and consistently apply store policy and procedures and safe working practices.

**SIR30207 Certificate III in Retail**SIRXRSK002A Maintain store safety

The assessments focused on identifying store policy and procedure. The practical related to bag checks only. The assessments did not include provisions to demonstrate consistently applying and monitoring store safety. As a result the assessments did not address all the unit of competency requirements particularly the critical aspects for assessment and evidence and the required skills.

SIRXSL004A Build relationships with customers

The assessments did not address the requirements of the unit regarding consistently applying the skills to build relationships with customers. As a result the assessments did not address all the unit of competency requirements particularly the critical aspects for assessment and evidence and the required skills.

Additionally, for the units of competency above the organisation had not ensured Setla Peik had completed all items of assessment and/or the organisation had retained this evidence.

**SNR 20:**

The Student Information Booklet included information on the Apprenticeship and Traineeship Act 2001, the NSW legislation for apprentices and trainees; however, it did not provide information on the legislation that affects the participation of apprentices and trainees in WA (where the RTO also engages in traineeships).

**Note:** the Student Information Booklet was updated at audit to address this issue. No further rectification is required.

**SNR 23:**

The RTO Policies Procedures states it will comply with option 3 for fees collected in advance. Clients with the exception of the 'white card' (CPCCOHS1001A Work safely in the construction industry) are generally trainees where the employer pays, therefore the organisation would not need to demonstrate it complies with one of the student fee protection measures. However, the pre-enrolment information states: '*Fees are payable when you receive notification of enrolment. Fees must be paid in full within five days of receiving this notification from ITGA*' and does not identify this information is for the employer only. Should a student wish to enrol in a qualification without the financial support of an employer the organisation has not demonstrated how it will comply with one of the student fee protection options.

### Rectification requirements – evidence of rectification to be submitted within 20 working days

**SNR 15:****BSB40807 Certificate IV in Frontline Management**BSBMGT402A Implement operational planBSBMGT404A Lead and facilitate off-site staff**SIR20207 Certificate II in Retail**SIRXMER005A Create a displaySIRXINV001A Perform stock control procedures**SIR30207 Certificate III in Retail**SIRXRSK002A Maintain store safetySIRXSL004A Build relationships with customers

The organisation is required to provide assessment tools that address all the unit of competency requirements including the critical aspects for assessment and evidence, required skills and performance criteria. For guidance regarding specific assessment tool gaps for the above units of competency refer to the non-compliances above. Additionally, the organisation is required to provide evidence its assessments will be conducted in accordance with the principles of assessment and the rules of evidence to ensure assessments will be consistently implemented and sufficient evidence will be retained on student files.

**CPC10111 Certificate I in Construction**CPCCV1011A Undertake a basic construction project

The organisation is required to provide evidence the assessment tool that it plans to use for the full training and assessment delivery mode will address all the unit of competency requirements. Should the organisation decide to use the assessment tool it has developed for RPL the organisation is required to demonstrate this tool will be used for the full training and assessment cohort of students.

**SNR 23:**

The organisation is required to demonstrate how it will comply with one of the student fee protection options for individual students should an employer not be funding the student's training and assessment.

**Analysis of rectification received****SNR 15:****BSB40807 Certificate IV in Frontline Management**BSBMGT402A Implement operational plan

Rectification provided:

- Response to audit findings statement
- Project assessment (assessor and student version)
- Oral questioning (assessor and student version)
- Assessment validation / moderation checklist for the assessment tools – which include copies of the previous assessment tools with hand-written mapping and requested changes to the student instructions drawn on the documents
- Supervisor feedback form, and validation checklist of the form
- Unit of competency mapping form

The "response to audit findings" statement refers the auditor to the "mapping form" for references to the location of the non-compliances within the project assessment. The evidence provided rectified all non-compliances for this unit of competency.

BSBMGT404A Lead and facilitate off-site staff

Rectification provided:

- Response to audit findings statement
- Assessment cover sheet
- Written assessment – short answer knowledge based questions (assessor and student version)
- Scenario and role play observation assessment one, with supplementary template (assessor and student version)
- Scenario and role play observation assessment two (assessor and student version)
- Oral questioning (assessor and student version)
- Assessment validation / moderation checklist for the assessment tools
- Supervisor feedback form, and validation checklist of the form
- Unit of competency mapping form

The evidence provided rectified all non-compliances for this unit of competency.

**CPC10111 Certificate I in Construction**CPCCV1011A Undertake a basic construction project

Rectification provided:

- Response to audit findings statement
- Practical observation and oral questioning
- Unit of competency mapping form

The evidence provided rectified all non-compliances for this unit of competency.

**SIR20207 Certificate II in Retail**SIRXMER005A Create a display

Rectification provided:

- Response to audit findings statement
- Assessment cover sheet
- Written assessment – short answer knowledge based questions (assessor and student version)
- Practical observation and oral questioning (assessor and student version)
- Assessment validation / moderation checklist for the assessment tools
- Supervisor feedback form, and validation checklist of the form
- Unit of competency mapping form

The evidence provided rectified all non-compliances for this unit of competency.

*Note – On 8 January 2013, the organisation added SIR20212 Certificate II in Retail Sales to its scope of registration. It is the organisation's responsibility to ensure compliance with the current unit of competency; SIRXMER202 Plan, create and maintain displays.*

#### SIRXINV001A Perform stock control procedures

Rectification provided:

- Response to audit findings statement
- Assessment cover sheet
- Written assessment – short answer knowledge based questions (assessor and student version)
- Practical observation and oral questioning (assessor and student version)
- Assessment validation / moderation checklist for the assessment tools
- Supervisor feedback form, and validation checklist of the form
- Unit of competency mapping form

The evidence provided rectified all non-compliances for this unit of competency.

#### **SIR30207 Certificate III in Retail**

##### SIRXRSK002A Maintain store safety

Rectification provided:

- Response to audit findings statement
- Assessment cover sheet
- Written assessment – short answer knowledge based questions (assessor and student version)
- Practical observation and oral questioning (assessor and student version)
- Assessment validation / moderation checklist for the assessment tools
- Supervisor feedback form, and validation checklist of the form
- Unit of competency mapping form

The evidence provided rectified all non-compliances for this unit of competency.

It was noted Role Play 1 allows the student to choose 3 security policy and procedures to role play inducting new staff members in. As a result, the strength of the assessment evidence that is captured as part of this assessment will be impacted on the students selection i.e. if the policies and procedures are closely related the strength of the assessment evidence would be limited while if the policies and procedures chosen are significantly different the strength of the assessment evidence would be greater. The organisation should monitor the implementation of the tools to see if they are achieving the desired outcome.

##### SIRXSL004A Build relationships with customers

Rectification provided:

- Response to audit findings statement
- Assessment cover sheet
- Three practical observation and oral questioning tools, with supplementary templates (assessor and student version)
- Assessment validation / moderation checklist for the assessment tools
- Supervisor feedback form, and validation checklist of the form
- Unit of competency mapping form

The evidence provided rectified all non-compliances for this unit of competency.

*Note – On 8 January 2013, the organisation added SIR30312 Certificate III in Retail Supervision to its scope of registration. It is the organisation's responsibility to ensure compliance with the current unit of competency; SIRXSL303 Build relationships with customers.*

#### **SNR 23:**

Rectification provided:

- Response to audit findings statement
- Policies and procedures manual – page 34 updated

The evidence provided identified how the organisation will comply with option 3 for fees collected in advance from students.