

Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Trade Institute of Victoria Pty Ltd
Trading name/s	Trade Institute of Victoria Pty Ltd
RTO number	21920
CRICOS number	02949G

AUDIT TEAM

Lead auditor	Jennine Cochrane
Auditor/s	n/a
Technical adviser/s	n/a

AUDIT DETAILS

Application number/s	n/a	
Audit number/s	1003902	
Audit reason 1	Compliance - monitoring	
Audit reason 2	n/a	
Audit reason 3	n/a	
Activity type	Site visit	
Address of site/s visited	195 Champion Rd Williamstown North VIC 3016	
Date/s of audit	26 and 27/08/2014	
Organisation's contact for audit	Mr John MacDonald john@tiv.vic.edu.au	Chief Executive Officer 0393999511
NVR standards audited	Selected Standards for Continuing Registration: 15.2, 15.3, 15.4, 15.5, 16.4, 17.2, 18.1, 20.1, 22.2, 23.1, 24, 25.	

BACKGROUND

- The organisation has been a Registered Training Organisation since 26 April 2007.
- It delivers and assesses from the Williamstown North premises and worksites where construction is taking place. The organisation refers to itself as a 'boutique' training company and intends to maintain a small student population.
- Its focus is on the traditional trades e.g. Carpentry, Plastering, Bricklaying and Building. As a result, its scope of registration consists of qualifications from the CPC08 Construction, Plumbing and Services Training Package.
- It has maintained regular communications with the Construction and Property Services Industry Skills Council (CPSISC), participating on the board, and is a member of the Master Builders of Victoria.



- It participates in validation activities with TAFE New South Wales at the Riverina campus and Chisholm TAFE and has assisted with the co-writing of training materials with Chisholm TAFE.
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- It has no partnership arrangements in place for the provision of delivery and assessment.
- It has future plans to customise delivery to only delivering skill sets rather than whole qualifications as this is the trend that industry is indicating a preference towards.

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

- 84

AUDIT SAMPLE		
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*
CPC50210	Diploma of Building and Construction (Building)	Blended- Face to face; on the job
CPC40308	Certificate IV in Building and Construction (Estimating)	Blended- Face to face; on the job
CPC40110	Certificate IV in Building and Construction (Building)	Blended- Face to face; on the job
CPC30111	Certificate III in Bricklaying and Blocklaying	Blended- Face to face; on the job
CPC30211	Certificate II in Carpentry	Blended- Face to face; on the job

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

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
John MacDonald	Chief Executive Officer	n/a
Rifat (Reif) Keceli	Business Development Manager and Trainer/Assessor	CPC40110, CPC40308, CPC50210
Bill Spencer	Trainer/Assessor	CPC30211
Jacqui Verrall	Compliance	All
Naveena Karadi	Compliance Coordinator	All

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 17/09/2014: Critical 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 dd/mm/yyyy: n/a



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

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: Not compliant

Following rectification: n/a

Reasons for finding of non-compliance:

Evidence reviewed:

Strategies for training and assessment for:

- CPC50210 Diploma of Building and Construction (Building)
- CPC40308 Certificate IV in Building and Construction (Estimating)
- CPC40110 Certificate IV in Building and Construction (Building)
- Evidence gathering techniques (assessment methods) do not match the planned assessment methods proposed to be used by the organisation.

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

- Provide evidence that it has amended the above strategies for training and assessment to detail exactly what assessment methods will be used for the purpose of gathering evidence to support a decision of competency that meet the requirements of the CPC Training Package.

Analysis of rectification evidence:

- Evidence yet to be supplied

Reasons for outstanding non-compliance:

- Not applicable at this time

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: n/a

Reasons for finding of non-compliance:

- There were no memorandums of understanding or agreements in place to allow students, who are not currently employed on a building site, to attend and work on external building sites for any of the qualifications in audit focus.
- Assessment materials were not consistent with the requirements of the CPC08 Construction, Plumbing and Services Training Package. Refer to SNR 15.5 for detail of all evidence and non-compliances.

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

- Provide evidence that it has agreements in place with building contractors to allow students, who are not currently employed on a building site, to have access to building sites for the purpose of delivery and/or assessment. The agreements must include:



- The obligations of the building contractor, the student and the RTO when the student is on site.
- Details of the activities to be completed by the students when on site in accordance with the structure of the delivery schedule of each qualification.
- Provide evidence that it has assessment resources that meet the requirements of the CPC08 Construction, Plumbing and Services Training Package as specified in SNR 15.5.

Analysis of rectification evidence:

- Evidence yet to be supplied

Reasons for outstanding non-compliance:

- Not applicable at this time

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: Not compliant

Following rectification: n/a

Evidence reviewed:

Staff files for the below listed trainer/assessors:

- William Spencer
- Hafiz Adyana
- Sam Kilinc
- Martin Trevorah

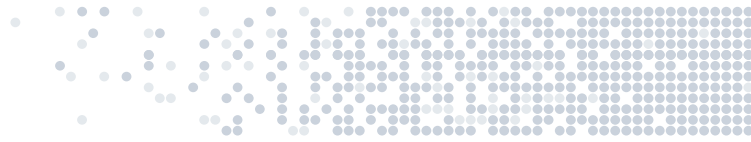
Reasons for finding of non-compliance:

- The RTO has not demonstrated that the following trainer/assessors have continued to develop their vocational education and training (VET) knowledge and skills and trainer/assessor competence:
 - William Spencer (CPC30211 Certificate III in Carpentry)
 - Hafiz Adyana (CPC30211 Certificate III in Carpentry, CPC40110 Cert IV in Build and Construction (Building), CPC50210 Diploma of Building and Construction (Building), CPC30111 Certificate III in Bricklaying /Blocklaying, CPC40308 Certificate IV in Building and Construction (Estimating)).
 - Sam Kilinc (CPC50210 Diploma of Building and Construction (Building), CPC40308 Certificate IV in Building and Construction (Estimating) and CPC40110 Certificate IV in Building and Construction (Building))
 - Martin Trevorah (CPC40308 Certificate IV in Building and Construction (Estimating)).

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

Provide evidence:

- That the following trainer/assessors have continued to develop their vocational education and training (VET) knowledge and skills and trainer/assessor competencies:
 - William Spencer
 - Hafiz Adyana
 - Sam Kilinc
 - Martin Trevorah



- Of a strategy that the RTO will implement to ensure that each trainer/assessor undertakes ongoing development of their vocational education and training (VET) knowledge and skills and trainer/assessor competencies.

Analysis of rectification evidence:

- Evidence yet to be supplied

Reasons for outstanding non-compliance:

- Not applicable at this time

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: n/a

Evidence reviewed:

Assessment tools for:

- CPC30211 Certificate III in Carpentry and
- CPC30111 Certificate III in Bricklaying /Blocklaying
 - *CPCCCA3002A Carry out setting out*
 - *CPCCCM015A Carry out measurements and calculations*

Assessment conducted for these units contained within the student file/s:

- Bellal Kassab
- Bashir Mohamed.

- CPC40110 Certificate IV in Building and Construction (Building)
- CPC40308 Certificate IV in Building and Construction (Estimating)
- CPC50210 Diploma of Building and Construction (Building)
 - *CPCCBC4001A Apply building codes and standards to the construction process for low rise building projects*
 - *CPCCBC4010B Apply structural principles to residential low rise constructs*

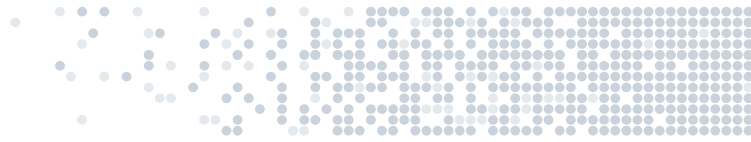
Assessment conducted for these units contained within the student file/s:

- Simon Ronchi
- Scott Dyne

Reasons for finding of non-compliance:

Assessment does not meet the requirements of the CHC Community Services Training Package and has not been conducted in accordance with the principles of assessment and rules of evidence because:

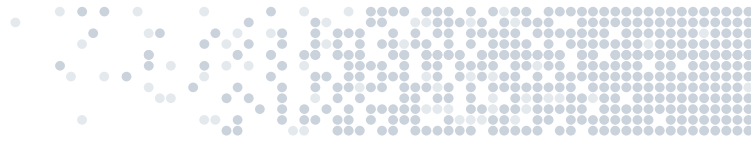
- ***CPCCBC4010B Apply structural principles to residential low rise constructs.***
Assessment is not valid, reliable or sufficient.
- Assessment was incomplete. Site supervisor checklists did not contain the relevant Compliance Criteria (AS Standards) however were marked as OK by the assessor.
- The Performance Criteria are not met in their entirety:
 - Performance *Criterion 2.1* requires '*Relevant industry professionals are consulted*



as required to provide advice regarding the design process and the structural integrity of the proposed Class 1 or Class 10 building'. There is no evidence of any assessment addressing this requirement.

- The Required Skills component relating to any verbal communication skills, in particular, *'communication skills to consult with industry professionals'* and *'using questioning to identify and confirm requirements, share information, listen and understand'* is also not addressed.
- The Critical Aspects for Assessment are not addressed in their entirety. They require:
 - *'evidence of the ability to 'assess the structural integrity of a variety of structures found on building and construction'*. Assessment currently only requires assessment to be conducted on one structure.
 - *'coordinate, plan, implement and check the building of a low rise structure'*. There is no requirement in assessment for the coordination, planning or implementation of the building of a low rise structure.
- Method of Assessment is not addressed in its entirety: It requires:
 - *'direct observation of tasks in real or simulated work conditions, with questioning to confirm the ability to consistently identify and correctly interpret the essential underpinning knowledge required for practical application'*. There is no tool in place to conduct the questioning.
 - Competency to be demonstrated over a period of time reflecting the scope of the role and the practical requirements of the workplace. Practical assessment is conducted once at a worksite by the student without the presence of the assessor and is completed for this unit over a period of only 2 weeks.
 - *'All assessment that is part of a structured learning experience must include a combination of direct, indirect and supplementary evidence.* 'This is not addressed. There is no direct assessment of skills based competency.
- **CPCCBC4001A Apply building codes and standards to the construction process for low rise building projects**

The RTO has no strategy in place to ensure authenticity of assessment lodged online (Moodle). Assessment is conducted online both in the classroom and away from the classroom.
- **CPCCCA3002A Carry out setting out**
 - The observation checklist completed by the assessor lacked definition. It contained statements that were subjective and required personal interpretation by the assessor and some were not observable. Therefore this tool is unreliable. For example (but not limited to): 2. Ensure all standards and manufacturers specifications are noted and understood. 3. Prepare JSA/Safety plan for project/traffic control measures identified. There was no criteria specified to ensure they were and will be assessed reliably.
 - Assessment was incomplete. There was no evidence to support that a Safe Work Method Statement or JSA was ever completed by the candidates on their completed assessment files.
 - Responses to assessment were incorrect yet marked as correct. For example, *'Verbally state if traffic control responsibilities were required. What would it look like?' And the answer provided was 'Bellal states he's (sic) boss would set up the traffic with signs and follow the road laws'*.
- **CPCCCM015A Carry out measurements and calculations**
 - The observation checklist completed by the assessor lacked definition. It contained statements that were subjective and required personal interpretation by the assessor and some were not observable. Therefore this tool is unreliable. For example (but not limited to): *'1. Understood the use and importance of using standards and manufacturers specifications; 2. Stated when SWMS should be used'*. No response was required to be recorded; and *'3. Understand the importance of visual communication'*. There was no explanation as to what was to



be observed for any of these 'observations'.

- The Mentor Evidence Report is not reliable as evidence. It lacks context of when, where and how often the mentor has witnessed the student performing the task on site in order to form an opinion of their abilities for the unit of competencies.
- The Record of assessment specifies assessment to consist of verbal questioning however there was no evidence of this on the student files.
- Instructions for worksheets 1 to 5 were not fair. They specified that an 80% pass mark was accepted however Rifat Keceli (Business Development Manager) advised that this was not the practice and the assessor will reassess the student for any questions not answered correctly.

It is noted that amended Observation Checklists were provided at audit for the above units. They contained the same issues.

Conduct of Assessment:

Evidence of assessment conducted suggested plagiarism however upon explanation by the trainer/assessor it was ascertained that they were being coached in assessment.

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

Provide evidence that it has:

- Reviewed and amended its assessment tools for the following units of competency to ensure that they meet the requirements of the CPC08 Construction, Plumbing and Services Training Package, principles of assessment and rules of evidence:
 - CPC30211 Certificate III in Carpentry
 - CPC30111 Certificate III in Bricklaying/Blocklaying
 - CPCCCA3002A Carry out setting out
 - CPCCCM015A Carry out measurements and calculations
 - CPC40110 Certificate IV in Building and Construction (Building)
 - CPC40308 Certificate IV in Building and Construction (Estimating)
 - CPC50210 Diploma of Building and Construction (Building)
 - CPCCBC4001A Apply building codes and standards to the construction process for low rise building projects
 - CPCCBC4010B Apply structural principles to residential low rise constructs
- Developed and commenced to implement a strategy to ensure the authenticity of assessment conducted and submitted by students online.
- Developed, and commenced to implement, a strategy to identify and rectify the assessment that has occurred for those students that were coached during their assessment activities.
- Developed and implemented a strategy to ensure that all trainer/assessors conduct assessment in accordance with the principles of assessment and rules of evidence.

Analysis of rectification evidence:

- Evidence yet to be supplied

Reasons for outstanding non-compliance:

- Not applicable at this time

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: Not audited

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: Not audited

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: Not audited

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: Not audited

Following rectification: n/a

16.6 Learners have timely access to current and accurate records of their participation and progress.

Original finding: Not audited

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: Not audited

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: Not audited

Following rectification: n/a

17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.

Original finding: Compliant

Following rectification: n/a



17.3 The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

Original finding: Not audited

Following rectification: n/a

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

Original finding: Not audited

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: n/a

Reasons for finding of non-compliance:

- The Chief Executive Officer has not ensured that the NVR registered training organisation complies with the VET Quality Framework in relation to all of its operations within the NVR registered training organisation's scope of registration as listed on the National Register. This is evidenced by the non-compliances identified within the report, that is, SNR 15.2, 15.3, 15.4 and 15.5.

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

- Provide rectification as specified throughout this report that will demonstrate the RTO is now compliant with the VET Quality Framework.

Analysis of rectification evidence:

- Evidence yet to be supplied

Reasons for outstanding non-compliance:

- Not applicable at this time

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: Not audited

Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

19.1 The NVR registered training organisation must co-operate with the National VET Regulator:
(a) in the conduct of audits and the monitoring of its operations;
(b) by providing accurate and timely data relevant to measures of its performance;
(c) by providing information about significant changes by its operations;
(d) by providing information about significant changes to its ownership; and



(e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.

Original finding: Not audited

Following rectification: n/a

SNR 20 Compliance with legislation

20.1 The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.

Original finding: Compliant

Following rectification: n/a

20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Original finding: Not audited

Following rectification: n/a

SNR 21 Insurance

21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.

Original finding: Not audited

Following rectification: n/a

SNR 22 Financial management

22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.

Original finding: Not audited

Following rectification: n/a

22.2 The NVR registered training organisation must provide the following fee information to each client:

- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;**
- (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;**
- (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;**
- (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and**
- (e) the organisation's refund policy.**

Original finding: Compliant

Following rectification: n/a



22.3 Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:

- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;
- (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;
- (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;
- (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or
- (e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.

Original finding: Not audited

Following rectification: n/a

SNR 23 Certification, issuing and recognition of qualifications & statements of attainment

23.1 The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:

- (a) meets the Australian Qualifications Framework (AQF) requirements;
- (b) identifies the NVR registered training organisation by its national provider number from the National Register and
- (c) includes the NRT logo in accordance with its current conditions of use.

Original finding: 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: Compliant

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: Not audited

Following rectification: n/a