

Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	TAFE NSW - Illawarra Institute
Trading name/s	TAFE NSW - Illawarra Institute
RTO number	90006
CRICOS number	

AUDIT TEAM

Lead auditor	Janet Tkachenko
Auditor/s	
Technical adviser/s	

AUDIT DETAILS

Application number/s	n/a
Audit number/s	1007089
Audit reason 1	Other - specify: Strategic Review
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	138 Marshall Mount Road Yallah NSW 2530 Corner Verner & View Streets Goulburn NSW 2580
Date/s of audit	17/11/2014 and 18/11/2014
Organisation's contact for audit	Liz Thomas Business Manager Liz.Thomas@det.nsw.edu.au 0417495146
NVR standards audited	Selected Standards for Continuing Registration: SNR 15.2, SNR 15.3, SNR 15.4, SNR 15.5, SNR 16.3, SNR 16.4, SNR 16.5, SNR 17.1, SNR 17.2, SNR 17.4, SNR 18.1, SNR 18.2, SNR 20.1, SNR 20.2, SNR 24.1, SNR 25.1 and SNR 25.2

BACKGROUND

This review is being conducted as part of the Strategic Industry Review into equine training, under the authority of Section 35 (2) of the National Vocational Education and Training Regulator Act 2011. ASQA is conducting a number of these audits across Australia.

This Review is being conducted because of the quality of the training and assessment provided by some Registered Training Organisations (RTOs), by coroners, regulators, employers and the industry generally.



The findings of the Strategic Industry Review will be published. No names of RTOs will be included in the review report.

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

- 20

AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
10229NAT	Certificate III in Horse Industry Practice (Performance Horse)	Blended	12
10230NAT	Diploma of Horse Industry Management (Performance Horse)	Blended	2
ACH30310	Certificate III in Horse Breeding	Blended	6

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

INTERVIEWEES

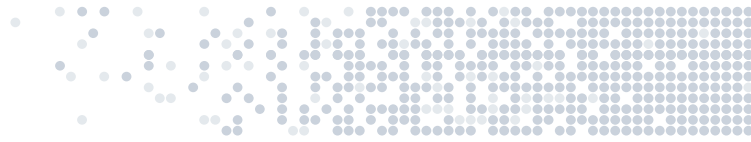
Name	Position	Qualification/Course/Unit code/s
Liz Thomas	Manager Business Improvement	
Chris Outten	Faculty Director	
Rosemary Isedale	Manager Business Planning and Innovation	
Jillian Atkinson	Head Teacher Agriculture	
Kirsty Day	Trainer/assessor	ACH30210 Certificate III in Horse Breeding
James Kay	Trainer/assessor	10229NAT Certificate III in Horse Industry Practice (Performance Horse)
Cathrynne Hensall	Trainer/assessor	10230NAT Diploma of Horse Industry Management (Performance Horse)

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 25/11/2014: Critical non-compliance

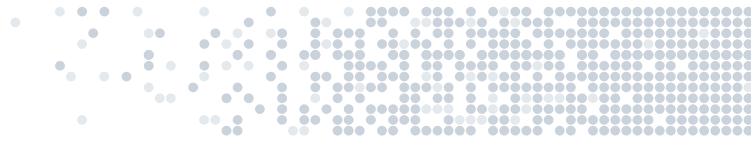
- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

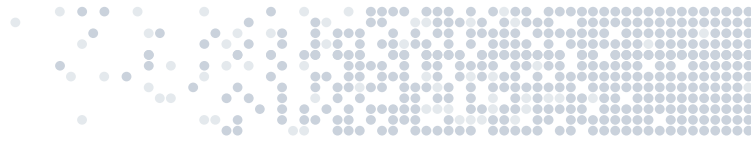


Audit finding following analysis of additional evidence provided on 10/02/2015: Compliant

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	Not audited	n/a
SNR 23/AQF	Not audited	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: 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
	<i>Reasons for finding of non-compliance:</i> <ul style="list-style-type: none">The organisation was unable to demonstrate that 10230NAT Diploma of Horse Industry Management (Performance Management) training and assessment materials are consistent with the requirements of the accredited course and meet the principles of assessment and rules of evidence. (Please refer to SNR 15.5)
	<i>In order to become compliant, the organisation is required to:</i> <ul style="list-style-type: none">Provide evidence to rectify compliance with SNR 15.5.
	<i>Analysis of rectification evidence:</i> <p>10230NAT Diploma of Horse Industry Management (Performance Horse) NSWTEQU414A <i>Manage the re-education of horses</i> SISOEQO409A <i>Train and condition horses</i></p> <ul style="list-style-type: none">Revised assessment materials addressed the non-compliances identified in SNR 15.5.
15.4	Training and assessment is delivered by trainers and assessors who: <ul style="list-style-type: none">(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:

10230NAT Diploma of Horse Industry Management (Performance Horse)

NSWTEQU414A Manage the re-education of horses

SISOEQO409A Train and condition horses

Assessment materials were provided for the above listed qualification. The evidence provided did not support compliance with the requirements of SNR 15.5.

NSWTEQU414A Manage the re-education of horses

Assessment materials comprise of:

- assessment 1: identify client needs and contract (students to submit contract)
- assessment 2: conduct pre-training assessment of the horse (suitability of the horse assessment and written report)
- assessment 3: determine safe work practices relevant to training (students to submit one page safety checks carried out)
- assessment 4: develop training program (students to submit written document)
- assessment 5: training the client's horse and report on progress to be completed four times
- assessor guide and marking sheet for theory and practical for manage the re-education of horses
- unit assessment guide
- assessment validation.

Reasons for finding of non-compliance:

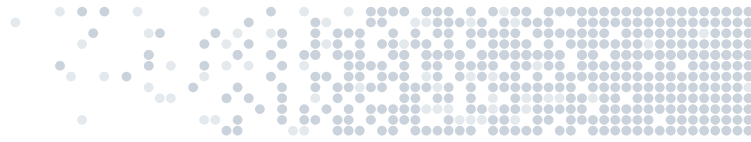
- the assessments did not provide sufficient evidence to verify that the requirements of the accredited course, nor the principles of assessment and the rules of evidence have been met:
 - assessment 1, 2, 3 and 4
 - insufficient evidence was provided to verify the context and consistency of assessment had addressed the appropriate AQF level
 - assessment 5: training the client's horse and report on progress (practical demonstration)
 - there were no assessment tools, available for examination at audit, for the demonstration of required skills
- overall, insufficient assessment evidence was provided to verify that the required skills, knowledge, range and critical aspects have been met
- overall, insufficient evidence was provided to verify sufficient assessment evidence is gathered to substantiate a competency judgement.

SISOEQO409A Train and condition horses

Note: this unit is yet to be delivered

Assessment materials comprise of:

- assessment 1: prepare a training and conditioning program for a horse (design a conditioning program for two horses in your care or for which you are responsible for)
- assessment 2: monthly progress reports
- assessment 3: infield assessments by supervisors
- assessment 4: evaluate conditioning program



- trainer guide included model responses
- unit assessment map
- unit assessment guide.

Reasons for finding of non-compliance:

- the assessments did not provide sufficient evidence to verify that the requirements of the accredited course, nor the principles of assessment and the rules of evidence have been met:
 - assessment 1, 2, and 3
 - insufficient evidence was provided to verify the context and consistency of assessment had addressed the appropriate AQF level
 - assessment 4: evaluate conditioning program (practical demonstration)
 - there were no assessment tools, available for examination at audit, for the demonstration of required skills
- overall, insufficient assessment evidence was provided to verify that the required skills, knowledge range and critical aspects have been met
- overall, insufficient evidence was provided to verify sufficient assessment evidence is gathered to substantiate a competency judgement
- no evidence was provided to verify that the assessment processes, tools and practices had been systematically validated.

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

10230NAT Diploma of Horse Industry Management (Performance Horse)

NSWTEQU414A Manage the re-education of horses

SISOEQO409A Train and condition horses

- provide revised assessment materials, for the units listed above, that collect evidence of an individual candidates's competence in performing all aspects of the unit of competency
- provide evidence of validation of assessment and/or evidence of how validation of assessment for *NSWTEQU414A Manage the re-education of horses* will be validated in a timely manner.

Analysis of rectification evidence:

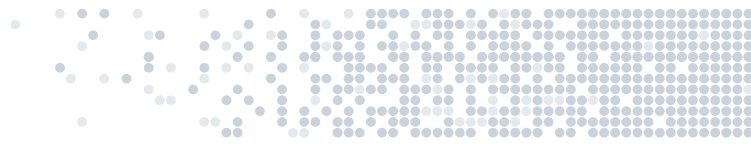
The RTO provided the following evidence:

The assessment validation plan 10230NAT Diploma Horse Industry Management listed the scheduled dates for assessment validation of the remaining units of competency.

10230NAT Diploma of Horse Industry Management (Performance Horse)

NSWTEQU414A Manage the re-education of horses

- student assessment tool which included:
 - initial horse training status assessment
 - assessment one: identify client needs and contract (written and practical)
 - assessment two: conduct pre-training assessment of the horse (written, verbal and practical)
 - assessment three: determine safety requirements (written)
 - assessment four: develop training program (written)
 - assessment five: training progress reports and 3 progress practicals (including video), final report and practical assessment
- assessor guide and assessment summary record
- unit guide
- unit assessment map
- assessment validation checklist, 27 November 2014.



SISOEQO409A Train and condition horses

- student assessment tool which included:
 - assessment one: prepare a written training and conditioning program for two horses
 - assessment two: implement your program and provide monthly progress reportsx4 (practical and written)
 - assessment three: implement your program in-field assessments by supervisorx2 (practical)
 - assessment four: evaluate your program and provide a written report
- assessor guide and assessment summary record
- unit guide
- unit assessment map
- assessment validation checklist, 27 November 2014.

10230NAT Diploma of Horse Industry Management (Performance Horse)

NSWTEQU414A Manage the re-education of horses

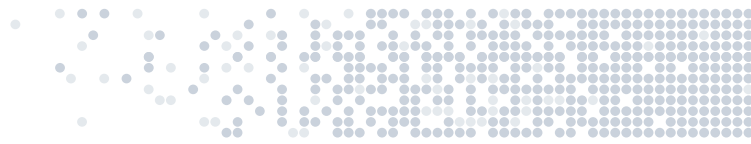
SISOEQO409A Train and condition horses

The RTO has provided evidence of :

- the revised assessment materials demonstrated that the organisation collects sufficient evidence of candidates competence in performing all aspects of the units of competency listed above
- the completed assessment validation for the units *NSWTEQU414A Manage the re-education of horses* and *SISOEQO409A Train and condition horses*.
- scheduled dates for assessment validation of remaining units of competency

The organisation provided sufficient evidence which addressed the non-compliances identified in SNR 15.5.

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: 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: 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: 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

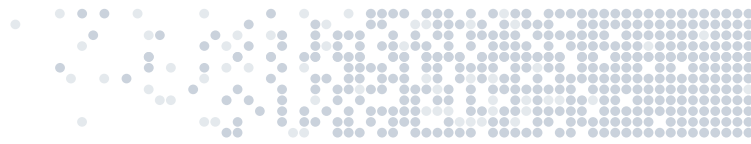
The organisation does not outsource training and assessment services for qualification listed in the scope of this audit, therefore, this element is not applicable.

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 organisation was unable to demonstrate that it complies with the VET Quality Framework, as non-compliance was identified with other Standards within this report. The CEO has not complied with the requirements of SNR 18.1.

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

- Provide evidence to address all non-compliances as identified in this report.

Analysis of rectification evidence:

- The organisation provided sufficient rectification evidence which addressed the identified non-compliances in this report.

18.2 The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.

Original finding: Compliant

Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

19.1 The NVR registered training organisation must co-operate with the National VET Regulator:
(a) in the conduct of audits and the monitoring of its operations;
(b) by providing accurate and timely data relevant to measures of its performance;
(c) by providing information about significant changes by its operations;
(d) by providing information about significant changes to its ownership; and
(e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.

Original finding: Not audited

Following rectification: n/a

SNR 20 Compliance with legislation

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

Original finding: Compliant

Following rectification: n/a

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

Original finding: 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 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: Not audited **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: Not audited

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.

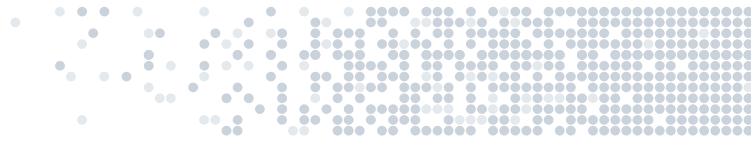
Original finding: Compliant

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