



Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Carers Queensland Inc
Trading name/s	Carers Queensland Inc
RTO number	32047
CRICOS number	n/a

AUDIT TEAM

Lead auditor	Carol Hunter
Auditor/s	n/a
Technical adviser/s	n/a

AUDIT DETAILS

Application number/s	1064430
Audit number/s	1006539
Audit reason 1	Application - renewal
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	15 Abbott St Camp Hill 4152
Date/s of audit	30/10/14
Organisation's contact for audit	Jenny Ryan jryan@carersqueensland.asn.au 07 3900 8100 Manager - New Programs and Client Services Central
NVR standards audited	Selected Standards for Continuing Registration: SNRs 15.1,15.2,15.3,15.4,15.5,16.1,16.3,16.4,16.5,16.6,16.7,17.3,17.4,18.1, 20.2,22.2,22.3,23.1,24.1,25.1,25.2

BACKGROUND

- Carers Queensland is a peak body that provides support services to the carers over the full range of needs throughout Queensland. It provides a wide range of services to carers including to carers of the very young, disability, aged and culturally and linguistically diverse groups.

It provides for advocacy, and administration of funding packages, no interest loans, is a support group



facilitator, and has recently launched its reconciliation plan for aboriginal and Torres Strait Islander people. Carers Queensland is an incorporated association with 13 sites across the state and 100 staff. It has a board of **9 Directors**.

- To assist carers better fulfil their roles, the registered training organisation provides publically funded nationally recognised training in two identified high needs areas. Clients do not have to be a member to access services or training.

Total number of current enrolments in RTO as at audit date: **5** in CHC30212 Certificate III in Aged Care

- CHC30112 Certificate III in Community Services Face to face with support at Camp Hill and Strafford
- CHC30212 Certificate III in Aged Care Face to Face with support at Stafford Certificate 3 Guarantee

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
CHC30112	Certificate III in Community Services Work	Face to face	0
CHC30212	Certificate III in Aged Care	Face to face	5

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

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Deborah Cottrell	Chief Executive Officership	All
Midge Spice	Project Officer	All
Jayne Ryan	Manager New Projects And Csc	
Lalita Lakshmi	Education And Training Officer (Cald)	All
Peter Gourley	Administration Assistant And Cas Information Officer	All

ORIGINAL AUDIT FINDING AT TIME OF AUDIT
<p>Audit finding as at 30/10/2014: Minor non-compliance</p> <ul style="list-style-type: none"> • 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 24/11/2014: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Not compliant	Compliant
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Not audited	n/a
SNR 20	Not compliant	Compliant
SNR 21	Not audited	n/a
SNR 22	Not compliant	Compliant
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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

CHC30112 Certificate III in Community Services Work

CHC30212 Certificate III in Aged Care

- The organisation provided a training and assessment strategy for each of the above listed qualifications. Analysis of this evidence identified they did not contain sufficient information to demonstrate how the organisation will ensure training and assessment meets training package requirements.

Specifically, the strategies did not articulate the training resources, and particularly the human resources that would be used to ensure training package requirements would be met.

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

- provide amended strategies that include sufficient information regarding the training resources, and particularly the qualified trainers and assessors involved in the delivery and assessment of the above qualifications, to demonstrate that the training package requirements will be met.

Analysis of rectification evidence:

CHC30112 Certificate III in Community Services Work

CHC30212 Certificate III in Aged Care

- The organisation provided amended strategies that addressed the identified non-compliances.

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:

CHC30112 Certificate III in Community Services Work

CHC30212 Certificate III in Aged Care

- As noncompliances were identified in SNR15.5 the organisation did not demonstrate it had assessment materials which meet the requirements of the CHC08 Community Services Training Package

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



- provide evidence that it has rectified the non-compliances identified in SNR15.5. No other specific evidence is required.

Analysis of rectification evidence:

CHC30112 Certificate III in Community Services Work
CHC30212 Certificate III in Aged Care

- The organisation provided evidence that rectified non-compliance in SNR 15.5.

<p>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.</p>	<p>Original finding: Compliant</p>	<p>Following rectification: n/a</p>
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<p>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.</p>	<p>Original finding: Not compliant</p>	<p>Following rectification: Compliant</p>
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Reasons for finding of non-compliance:

CHC30212 Certificate III in Aged Care
CHCICS304B Work effectively with carers

- The organisation presented assessment tools for the above unit of competency which did not meet the requirements of the CHC08 Community Services Training Package.
- Specifically, assessment did not assess the required skill of “apply knowledge of basic home fire safety” and the associated required elements in the range statement.

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

CHC30212 Certificate III in Aged Care
CHCICS304B Work effectively with carers

- provide a revised assessment tool that addresses the skill requirements identified above and the identified requirements in the range statement.

Analysis of rectification evidence:

CHC30212 Certificate III in Aged Care
CHCICS304B Work effectively with carers

- The organisation provided additional assessment tasks which at a bare minimum addressed the identified non-compliances. The auditor considers that careful validation of completed student work for these new tasks would be the only means to confirm whether they gather



valid and reliable evidence to meet the skill requirement.

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:	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:	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:	Not compliant
Following rectification:	Compliant
<i>Reasons for finding of non-compliance:</i>	
<ul style="list-style-type: none">The organisation did not provide evidence that its appeals process was sufficiently broad to allow for appeals about the range of services provided by the RTO.	
<i>In order to become compliant, the organisation is required to:</i>	
<ul style="list-style-type: none">provide an appeals process that provides clients with the opportunity to appeal the decisions of the RTO.	



Analysis of rectification evidence:

- The organisation provided an updated appeals process that addresses the requirements of this standard.

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: Not audited

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: 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: n/a

Reasons for finding of non-compliance:

- Due to noncompliances identified across other standards, the RTO's chief executive officer has not ensured the organisation complies with all requirements of the VET Quality Framework.

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

- provide evidence to rectify the non-compliances identified across other Standards. No other specific evidence is required.

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: 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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The student handbook provided insufficient information about legislative and regulatory requirements that affect students' participation in vocational education and training.

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

- provide evidence that the student handbook includes information about legislative and regulatory requirements that affect students' participation in vocational education and training.

Analysis of rectification evidence:

- The organisation provided an amended student handbook that now includes sufficient information to address the identified non-compliances.



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 compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The organisation was unable to provide information provided to students about course fees and charges or the nature of the guarantee given by the organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification.

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

- For **CHC30212 Certificate III in Aged Care**, provide information to be provided to students about course fees and charges.
- For all students, the nature of the guarantee given by the organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification.

Analysis of rectification evidence:

- The organisation provided its amended student handbook that now addresses the identified non-compliances.

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: 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