



## VET Quality Framework audit report

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

Legal name of organisation	Munvost Pty Ltd
Date/s of audit	29/05/2012

ORGANISATION DETAILS			
<b>RTO legal name</b>	Munvost Pty Ltd	<b>RTO ID number</b>	51807
<b>Registered business trading name</b>	Trainwest	<b>ABN</b>	51 118 874 865
<b>Address</b>	Unit 2, 8 Riseley St, Applecross WA		<b>Postcode</b> 6153
<b>Phone</b>	1300 938 411	<b>Fax</b>	08 9364 2550
<b>E-mail</b>	<a href="mailto:michelle@trainwest.com.au">michelle@trainwest.com.au</a>	<b>Website</b>	<a href="http://www.trainwest.com.au">http://www.trainwest.com.au</a>
<b>Registration contact</b>	<b>Name</b> Michelle Munrowd-Harris	<b>Position</b>	Chief Executive Officer

AUDIT TEAM			
<b>Lead auditor</b>	Anne Maree Newbery	<b>Technical adviser/s</b>	N/A
<b>Audit team members</b>	N/A		

ASQA CONTACT DETAILS			
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AUDIT DETAILS	
<b>Audit type</b>	<input checked="" type="checkbox"/> Renewal of registration <input type="checkbox"/> Extension to scope of registration <input type="checkbox"/> Compliance monitoring (incl. post-initial 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>	29/05/2012
<b>Site/s visited</b>	Unit 2, 8 Riseley St, Applecross WA 6153
<b>Standards audited</b>	Essential Standards for Continuing Registration 15, 16, 17, 18, 20, 21, 22.2

ORGANISATION
<p>Munvost Pty Ltd (hereafter referred to as Trainwest) was established by Michelle Munrowd-Harris and Ann-Marie Wragg in 2006 and began operation as a Registered Training Organisation (RTO) in June 2007. The initial focus was the Training and Assessment Certificate IV and the scope of registration has since grown to include business qualifications in management and occupational health and safety and mining and public safety qualifications and units of competency to accommodate clients in the resources industry.</p> <p>Trainwest has a small office in Applecross, Perth that is its administrative base. It houses nine fulltime staff (including the two Directors) and four casual staff. Additionally, there are three contract Trainer/Assessors.</p> <p>Trainwest's primary business is offering public workshops and all classroom-based training is conducted in a range of leased venues across the greater Perth area and Kalgoorlie. Business plans identify an expansion of public workshops to include delivery in Geraldton. Plans are also in place for the development of a training and administration centre on land that has been purchased in Belmont, Perth.</p> <p>In addition to its public workshop program, Trainwest has Memoranda of Understanding with Barmenco Limited, MINEBIZ and Minara Resources. These partnership arrangements allow the partner organisation to provide training and assessment to its employees on behalf of Trainwest.</p> <p>Average student enrolments are 30-50 per month.</p>

FOCUS OF AUDIT		
Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment
BSB40807	Certificate IV in Frontline Management	Classroom & on-the-job
BSB41407	Certificate IV in Occupational Health and Safety	Classroom & on-the-job
TAE40110	Certificate IV in Training and Assessment	Classroom & on-the-job
RII20409	Certificate II in Underground Metalliferous Mining	Classroom & on-the-job; Partnership arrangement
RII30309	Certificate III in Underground Metalliferous Mining	Classroom & on-the-job; Partnership arrangement

INTERVIEWEES		
Staff (name and position)		
Name	Position	Program (qualification, course, etc)
Michelle Munrowd-Harris	Chief Executive Officer	TAE40110 Certificate IV in Training and Assessment
Ann-Marie Wragg	Chief Financial Officer & HR Director	TAE40110 Certificate IV in Training and Assessment
Taleah Blake	Partnership & Compliance Coordinator	N/A
Bronwyn Walker	Administration Assistant	N/A
David Hughes	Trainer & Assessor	Lead Trainer/Assessor for TAE40110 Certificate IV in Training and Assessment


### 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 14 June 2012


- The organisation **has not demonstrated compliance** with all compliance requirements reviewed for the audit.
- The level of non-compliance is considered to be **critical** 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.

<b>Auditor's Name</b>	Anne Maree Newbery	<b>Signature</b>		<b>Date of Report</b>	14/06/2012
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#### AUDIT RECTIFICATION

##### Audit status as at 20 July 2012

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

<b>Auditor's Name</b>	Anne Maree Newbery	<b>Signature</b>		<b>Date of Report</b>	20 July 2012
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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>		
<b>- Essential Standards for Continuing Registration</b>		
15	The NVR registered training organisation provides quality training and assessment across all of its operations	<input checked="" type="checkbox"/> C <input 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 type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
20	Compliance with legislation	<input checked="" type="checkbox"/> C <input 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 checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
23	Certification, issuing and recognition of qualifications and statements of attainment	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
24	Accuracy and integrity of marketing	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
25	Transition to training packages/expiry of VET accredited courses	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
*STATUS: Status of audit findings when audit was conducted      C = Compliant      NC = Not Compliant      NA = Not audited		

### Audit Findings

**14 June 2012** Not compliant with SNR 15.4, 15.5, 16.3, 16.4, 17.4 and 18.1.

**20 July 2012** Compliant, following analysis of rectification evidence.

#### ANALYSIS OF RECTIFICATION EVIDENCE AS AT 20 JULY 2012

##### SNR 15.4

##### Evidence received:

- Trainwest Professional Development 2012 Schedule - BSB40807 Certificate IV in Frontline Management.
- Delivery and Assessment Strategy for BSB40807 Certificate IV in Frontline Management noting training and assessment staff as Shelley Hemi, Tom Morris and Veronica McNeil.
- Staff Qualification Matrix for Shelley Hemi, Tom Morris and Veronica McNeil
- An email dated 21 June 2012 to Trainwest from Australian Institute of Management WA confirming Corporate Membership.
- A Tax Invoice and payment receipt for enrolments in the Morton Learning Enterprise Business Leadership Program for Shelley Hemi, Tom Morris and Veronica McNeil.
- Plans to invite guest presenters from industry to make a short presentation during the delivery of Certificate IV in Frontline Management courses.
- An email dated 25 June 2012 to Trainwest from Stephen Wragg, Managing Director, Professional Pharmacy Services, confirming his attendance at a BSB40807 course on 23/08/12.
- Delivery and Assessment Strategy for RII20409 Certificate II in Underground Metalliferous Mining and RII30311 Certificate III in Underground Metalliferous Mining noting training and assessment staff as Alan Mansson, John Harris and Michael Bennett.
- Staff Qualification Matrix for Alan Mansson showing:
  - TAE40110 Certificate IV in Training and Assessment, Trainwest, 9/12/2011

- TAA40104 Certificate IV in Training and Assessment, Institute of TAFE Tasmania, 6/12/2007
- MNM30206 Certificate III in Metalliferous Mining Operations (Underground), The Tasmanian Skills Institute, 1/06/2010
- BSB41604 Certificate IV in Occupational Health and Safety, The Tasmanian Skills Institute, 18/03/2009
- Staff Qualification Matrix for John Harris showing:
  - TAE40110 Certificate IV in Training and Assessment, Trainwest, 6/07/2011
  - MNM20299 Certificate III in Metalliferous Mining Operations (Underground), TAFE Queensland, 20/12/2002
  - MNM30206 Certificate III in Metalliferous Mining Operations (Underground), TAFE Queensland, 22/04/2004
  - BSB41604 Certificate IV in Occupational Health and Safety, The Tasmanian Skills Institute, 18/03/2009
- Staff Qualification Matrix for Michael Bennett showing:
  - TAE40110 Certificate IV in Training and Assessment, Trainwest, 5/08/2011
  - MNM30206 Certificate III in Metalliferous Mining Operations (Underground), The Tasmanian Skills Institute, 27/04/2010
  - BSB51604 Diploma of Occupational Health and Safety, Parasol EMT, 26/05/2008
- A copy of the Trainwest Revocation Register noting the revocation of RII20409 and RII30311 for Peter Nicholls, Scott Miller, John Grant, Michael Bennett, Neil Williams, John Harris, Alan Mansson and Wallace Wheatley.
- A copy of a letter to each of the individuals named above, informing them of the action taken.
- A copy of the Trainwest National Recognition Issuance and Revocation Policy.

**Result:** Compliant

### **SNR 15.5**

#### **Evidence received:**

- Excerpts from Assignment Workbook for TAE40110 Certificate IV in Training and Assessment V1.1.
- Assessment mapping document for TAEDEL402A & TAEASS402B.
- Training and Assessment Environment Access Form.
- Excerpts from Assignment Workbook for BSB40807 Certificate IV in Frontline Management V1.1.
- Assessment Plan for BSB40807 Certificate IV in Frontline Management.
- Mapping Guides for BSBLED401A & BSBMGT401A.
- Trainwest Validation Policy.
- Trainwest Annual Validation Schedule.
- RPL Assessment Tool Kits for TAE40110, BSB40807 & BSB41407.
- Delivery and Assessment Strategy for RIIOHS204A Work safely at heights noting training and assessment staff as Graeme Hunter Robinson and Steve Motion.
- Staff Qualification Matrix for Graeme Hunter Robinson with the following attachments:
  - Statement of Attainment for RIIOHS204A Work safely at heights, Krause Health & Safety Pty Ltd, 01/06/2010
  - MNM30605 Certificate III in Mine Emergency Response and Rescue, Krause Health & Safety Pty Ltd, 10/05/2008
  - Statement of Attainment for: TAAASS401A, TAAASS402A, TAAASS404A & TAADEL301A, Corelink, 18/05/2007
- Staff Qualification Matrix for Steve Motion with the following attachments:
  - Statement of Attainment for RIIOHS204A Work safely at heights, SETS Enterprises Pty Ltd, 08/02/2011
  - TAA40101 Certificate IV in Training and Assessment, AIM, 28/06/2010
  - TAE40110 Certificate IV in Training and Assessment, Trainwest, 11/01/2012

#### **Additional evidence received on 19 July 2012:**

- Assignment Workbook for TAE40110 Certificate IV in Training and Assessment V1.2.
- The following excerpts from the Assignment Workbook for BSB40807 Certificate IV in Frontline Management:
  - General information at the course level, including Instructions to the candidate and assessor.
  - Assessment instructions for BSBLED401A, BSBMGT402A & BSBWOR402A identifying the shared assessment tasks across these three units.
- Mapping Guides for BSBLED401A & BSBMGT402A.

**Result:** Compliant

### **SNR 16.3**

#### **Evidence received:**

- Student Information Handbook.
- Trainwest Client Information.
- Confirmation of proof-reading conducted by Pro News.

**Result:** Compliant

**SNR 16.4**

**Evidence received:**

- Refer to the rectification evidence submitted for SNR 15.5. The amended assessment approach for TAE40110 does not require a workplace supervisor to conduct an 'assessment' of the candidate in the workplace. Feedback from a workplace supervisor is still requested for some units of competency regarding the application of skills in the workplace context. This is used as supplementary evidence to support the direct evidence collected by the assessor in the classroom.

**Result:** Compliant

**SNR 17.4**

**Evidence received:**

- Records Management Policy.
- Digital Archiving Procedure.
- Assignment Workbooks for TAE40110 and BSB40807 (see evidence under SNR 15.5) showing a section headed Administration Process. This section includes an Assessor Checklist and an Administrator Checklist requiring the two parties to verify the completeness of the student's assessment records.

**Result:** Compliant

**SNR 18.1**

**Evidence received:**

- Refer to the rectification evidence submitted for SNR 15.4, 15.5, 16.3, 16.4 and 17.4.

**Result:** Compliant

## Rectification requirements – fulfilled by evidence submitted

### SNR 15: The NVR registered training organisation provides quality training and assessment across all of its operations.

#### SNR 15.4:

Trainwest did not provide sufficient evidence to demonstrate that:

- Trainer/assessors identified as delivering BSB40807 Certificate IV in Frontline Management will continue to maintain and develop current industry skills relevant to this qualification.
- Trainer/assessors identified as delivering RII20409 and RII30311 have the required training and assessment vocational competencies and current industry skills to deliver the specified qualifications. It was noted that:
  - Some information provided in the Assessor Qualification Matrix could not be verified from the trainer/assessor's file. For example, no evidence of current or past work history was available on file for Wallace Wheatley or John Harris. Also there was no evidence of qualifications issued by Trainwest on the files.
  - The Assessor Registration Checklist process was either not evident or incomplete for Neil Williams, Wallace Wheatley and John Harris.
  - Qualifications for RII20409 and RII30311 were issued by Trainwest to trainer/assessors and no evidence was provided that demonstrated that an assessment of competency was undertaken.
- An appropriately qualified assessor made the assessment judgement that led to the awarding of RII20409 & RII30311 qualifications for five Barmenco trainer/assessors. It was noted that:
  - The assessor, Michelle Munrowd-Harris, cannot demonstrate vocational competence or industry currency in relation to these qualifications, as required by RII09 Resources and Infrastructure Industry Training Package. No evidence has been provided that demonstrates an assessment partnership arrangement was used.
  - Michelle stated that after seeking advice from Skills DMC, the qualifications were issued on the basis that the Barmenco employees hold a qualification that is equivalent to RII30311, i.e. MNM30206 Certificate III in Metalliferous Mining Operations (Underground). The RII training package confirms this equivalence. Evidence of the existing qualification (MNM30206) was not found on the Trainwest files for all the relevant Barmenco trainer/assessors.
  - When this issue was raised at audit, Michelle Munrowd-Harris acknowledged that this was an error of judgement and explained that it was done expediently due to the Training Accreditation Council's insistence that Trainwest have qualified trainer/assessors in place before they would approve the extension to scope for RII20409 & RII30311. Michelle indicated that it was now her intention to revoke these qualifications. Trainwest has a policy that allows this action.
  - Whilst this could be considered a serious issue, in terms of the potential impact on students and industry, this is likely to be minor for the following reasons:
    - The Barmenco partnership arrangement is in its early stages with a small number of students whose course progress is limited to only two units of competency. No qualifications have yet been issued.
    - The impact is limited to Barmenco employees only.
    - The Barmenco trainer/assessors are experienced Barmenco employees who train staff as part of their enterprise roles.
    - It is likely that the Barmenco trainer/assessors would meet the vocational and industry competency requirements without a need to have the RII20409 & RII30311 qualifications.

#### Rectification required for SNR 15.4

Trainwest is required to provide evidence of:

- Planned professional development for all trainer/assessors of BSB40807 that will ensure industry currency is maintained.
- Detailed mapping and supporting documentary evidence for all trainer/assessors of RII20409 and RII30311, demonstrating the required training and assessment and vocational competencies and current industry skills.
- The revocation of RII20409 & RII30311 qualifications incorrectly issued to the Barmenco employees or evidence of revised assessment processes for these individuals that supports the awarding of the qualifications.

#### SNR 15.5

Trainwest did not provide sufficient evidence to demonstrate that:

- Assessment of TAEASS402B will meet the critical aspects of assessment defined in the training package.
- Assessment of BSBMGT402A is valid or sufficient to determine the coaching and mentoring skills of the candidate, as required by the training package.
- Assessment of BSBLED401A is valid or sufficient to determine the required skills in the training package.
  - The assessments for this unit comprise written activities only and there is no observed demonstration of

skill. It is unclear how competency will be determined for communication skills to manage relationships and conflict, negotiation skills and leadership skills to gain trust and confidence.

- Assessment of TAEDEL402A is valid or sufficient to determine the required skills in the training package.
  - The assessment of this unit does not include an observed demonstration of skill. It is unclear how competency will be determined for oral communication and language skills, interpersonal skills and other specified communication skills.
- Suitable arrangements are made for TAE40110 students to access an 'operating training and assessment environment' (or simulated environment) as stipulated in the training package.
  - Students are required to make their own workplace arrangements and there was no evidence that Trainwest engages with the student's employer to ensure that the operating environment is suitable for the required skills practice and the conduct of assessments. Also, where a student does not have access to a workplace, the Delivery and Assessment Strategy notes that 'Trainwest will endeavour to assist the participant in sourcing an environment'. There is no indication of how Trainwest will do this.
- Assessors consider all assessment evidence when making a decision.
  - Michelle Munrowd-Harris stated at audit that all units of competency were assessed individually. This was not supported by Mapping Guides for TAE40110 and BSB41407 units of competency which showed a reliance on assessment instruments from other units.
  - No evidence was presented of assessor instructions or tools (other than the Mapping Guides) to support an assessor considering ALL assessment outcomes that contribute to each unit of competency.
- Sufficient evidence of a candidate's competency is gathered.
  - Mapping Guides showed 'in class' assessments mapped to the performance benchmarks for each unit of competency. Michelle Munrowd-Harris and David Hughes confirmed at audit that in class assessments were formative in nature and did not contribute to an assessment outcome.
- Assessment instructions to assessors and candidates will support the validity and reliability of assessments.
  - There is a one-sentence instruction for candidates in TAE40110 Assessment 6 (TAEASS402B) and Assessment 5 (TAEDEL402A). No guidance is given to candidates regarding the criteria upon which their competency will be judged.
- Valid and reliable assessment evidence is gathered for TAE40110 units of competency that rely on workplace assessment. There are three aspects to this non-compliance.
  - Firstly, there is an issue regarding the competency requirements for the workplace supervisor who will be required to observe workplace assessments.
    - There are contradictory instructions regarding the competency requirements. Pages 2-3 of the Assignment Workbook set out the role to be played by a workplace supervisor and specify knowledge requirements and that the supervisor must hold TAE40110, TAA40104 or BSB40198. The Supervisor Checklist on page 5 of the Assignment Workbook contradicts the qualification requirement in that it notes no training qualifications are required. Further Supervisor Checklists are provided on pages 11 & 18 and these note that the supervisor must hold BSB40198 or TAA40101.
  - Secondly, there is an issue regarding the verification of a workplace supervisor's credentials. Instructions in the Assignment Workbook note that a copy of the workplace supervisor's qualifications must be submitted with the completed assessments. There was no evidence on the sighted student files to show that this had occurred.
  - Thirdly, apart from the assessments observed by a workplace supervisor, there are no summative assessments where the assessor directly gathers evidence by observing the candidate's demonstration of skill.
- Effective validation of assessments is undertaken.
  - An Assessment Evidence Checklist is used at a qualification level to determine if assessments meet the Principles of Assessment and the Rules of Evidence. It is difficult to determine the value of this document in validating assessment instruments as the Assessment Evidence Checklists reviewed at audit, all have identical comments, apart from changing the training package reference.
  - The two examples presented as evidence of assessment validation meetings were insufficient to demonstrate that a detailed analysis of assessment instruments was undertaken as part of the validation process.
- Candidates are provided with feedback on progress and assessment outcomes.
  - A statement in the Assessment Evidence Checklists in support of assessment fairness refers to 'extensive feedback' provided to candidates. In a review of six student files, there was no evidence of any feedback to candidates.
- RPL assessments will be conducted in accordance with the principles of assessment and rules of evidence.
  - The RPL assessment instruments reviewed at audit did not cater for all units of competency outlined in Trainwest's delivery and assessment strategies.
  - A student file was reviewed where a qualification was issued for Certificate IV in Frontline Management



based on an RPL assessment (Andrew Rogers). There was no evidence that an RPL assessment tool was used and it was unclear how competency had been demonstrated. On the file there was a copy of a certificate for BSB50402 Diploma of Business Management but there was no evidence that an original certificate had been sighted.

- Assessments are conducted by authorised assessors.
  - The two students files reviewed for RIIOHS204A were assessed by people not listed as an assessor in the Delivery and Assessment Strategy for RII20409 Certificate II in Underground Metalliferous Mining and were not detailed in the Assessor Qualification Matrix or any other evidence supplied regarding Trainwest assessors.
  - A student file reviewed for TAE40110 (Tom Morris) was missing an assessor signature identifying the post course assignment as complete.

#### Rectification required for SNR 15.5

Trainwest is required to provide evidence of:

- Assessment instruments that meet all requirements of the relevant Training Package for:
  - TAEASS402B Assess competence
  - TAEDL402A Plan, organise and facilitate learning in the workplace
  - BSBMGT402A Implement operational plan
  - BSBLED401A Develop teams and individuals
- Arrangements that ensure TAE40110 students (whether working or not) have access to an 'operating training and assessment environment' (or simulated environment) for practicing the application of skills and knowledge and for undertaking assessments.
- Assessment instructions and tools that will ensure clear guidance for assessors when a unit of competency relies on assessment outcomes from other units of competency. This should be supported by the relevant Mapping Guides.
- Assessment instructions for candidates that provide detailed guidance on the assessment task as well as the assessment criteria/ benchmarks that will be used to determine competency.
- Assessment processes and instruments for TAE40110 that:
  - Provide for the collection of direct evidence of candidates skills; and
  - Ensure evidence collected from third parties plays a supporting role to the direct evidence collected.
- Processes and tools that support the provision of feedback to candidates on assessment progress and outcomes.
- RPL assessment processes and instruments that:
  - Address all units of competency being delivered; and
  - Ensure that the principles of assessment and rules of evidence will be applied to this assessment method.
- Credentials for Graeme Hunter Robinson and Steve Motion that support their assessment of RIIOHS204A.
- Assessment Mapping Guides that validate the summative assessment evidence collected for each unit of competency.
- Plans to implement a detailed assessment validation process across Trainwest's full scope of registration.

#### **SNR 16: The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients.**

##### SNR 16.3

Trainwest did not provide sufficient evidence to demonstrate that the information provided to clients prior to enrolment was accurate and free of misleading statements. In particular:

- The Student Information Handbook was inaccurate and potentially misleading.
  - Poor formatting on page 6 could mislead prospective students into thinking they will receive a full refund if they cancel their enrolment or do not attend class.
  - The Legislation section notes that: "All legislation relevant to vocational education and training as listed below:" This statement is inaccurate. For example, it does not include the *National Vocational Education and Training Regulator Act 2011*. It also includes the statement that "all employees and contract trainers will familiarise themselves with the Acts and abide by them..." This seems out of place given the audience for this document is students.
  - There are a number of typographical errors throughout the document.
  - The Complaints Procedure notes that complaints, appeals or grievances will not be considered if "not received within 14 days of the alleged incident". A separate section under the heading of Appeals contains contradictory information.
  - There are a number of invalid uses of regulatory terminology.
- The Client Information Sheet provided to students under a partnership arrangement, has similar issues to the Student Information Handbook in terms of the legislation information and the typographical errors.

#### Rectification required for SNR 16.3

Trainwest is required to provide evidence of:

- Pre-enrolment information for clients that is accurate and free of any real or perceived misleading statements.

#### SNR 16.4

Trainwest did not provide sufficient evidence to demonstrate that employers who complete assessments on its behalf for the TAE40110 qualification, are engaged in the development, delivery and monitoring of training and assessment. It was noted that:

- An entry requirement for TAE40110 is that the individual has access to a workplace where there is an 'operating training and assessment environment.' Students are individual, public enrolments and Trainwest does not establish a relationship with the student's employer. It does however rely on assessment evidence from a workplace supervisor but takes no role in liaising with or advising this person. It is the student's responsibility (as noted in the Assignment Workbook) to identify that the supervisor has appropriate qualifications and competencies to undertake a workplace observation assessment. Trainwest stipulates that the supervisor must hold a Certificate IV qualification in training and assessment and have industry knowledge in the areas in which the candidate intends to deliver and assess the learning programs that will be produced as assessment tasks.

#### Rectification required for SNR 16.4

Trainwest is required to provide evidence of:

- Processes to ensure that workplace supervisors who provide assessment evidence are engaged by Trainwest in the development, delivery and monitoring of the assessment.
- The communication and collection of evidence in relation to the specified competencies and qualifications required of workplace supervisors, is undertaken by Trainwest.

#### **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.**

#### SNR 17.4

Trainwest did not provide sufficient evidence to demonstrate that it manages records to ensure their accuracy and integrity. It was noted that:

- During the course of the site audit difficulty was evident in finding some files and others could not be found. Additionally, inconsistencies were identified across student records. Some were signed, some were not. On files where there was a requirement for a workplace supervisor to submit evidence of their qualifications, no such documentation was found on the file.
- In an interview with Administration Assistant Bronwyn Walker, she described the end-to-end process from receipt of a student assessment record to the final scanned file. There did not appear to be a quality assurance process in relation to documentation *content* but a check was made to ensure the correct document had been submitted. There was a further check to ensure that all documents were scanned.
- Michelle Munrowd-Harris stated that there was a quality assurance process to ensure the validity of the document/s being submitted. A review of student files did not demonstrate the effectiveness of this process.

#### Rectification required for SNR 17.4

Trainwest is required to provide evidence of:

- Record management processes that will ensure:
  - The completeness of student files. This includes, but is not limited to, ensuring that all areas of documents requiring a signature have been duly signed.
  - The reliable retrieval of RTO records.

#### **SNR 18: The NVR registered training organisation has governance arrangements in place.**

#### SNR 18.1

Trainwest was found to be non-compliant against SNR 18.1 as a consequence of the non-compliances found SNR 15.4, 15.5, 16.3, 16.4 and 17.4.

#### Rectification required for SNR 18.1

Trainwest is required to provide evidence of:

- Rectification requirements noted in this report for SNR 15.4, 15.5, 16.3, 16.4 and 17.4.