

17 December 2012



Australian Government
Australian Skills Quality Authority

Mr Douglas Ivins
HGT Australia Ltd
PO Box 328
NEW LAMBTON NSW 2305

RTO No: 6996
Application No: 1026986

Also by email to: doug.ivans@novaskills.com.au

Dear Mr Ivins

Notice of audit non-compliance


I refer to the VET Quality Framework Renewal Audit of HGT Australia Ltd conducted on 20 & 23 November 2012.

While the audit identified evidence of compliance with some requirements of the VET Quality Framework, some areas of non-compliance were also identified, which indicate that your organisation is not fully compliant with all compliance requirements. I have attached an audit report which outlines the audit findings (including each area of non-compliance).

You have an opportunity to address the identified areas of non-compliance by providing rectification evidence which must be forwarded to me at the address below on (or before) 31 January 2013. Please note that rectification evidence **must** be sent as a single response, be logically organised and referenced to the relevant component/standard.

Cilla Barrand
Panel Auditor
Australian Skills Quality Authority
GPO Box 9928
Sydney NSW 2001

ASQA will consider the rectification evidence that you submit. If your organisation demonstrates compliance, you will be notified of this outcome accordingly.



However, if non-compliance is still identified, the audit report will be finalised and action may commence in accordance with ASQA's powers as prescribed under the *National Vocational Education and Training Regulator Act 2011* (the Act). Briefly, these actions may include:

- Refusal of the registration application—refer to the Act, ss. 17, 31 or 33 (as applicable)
- Notification of intent to impose one or more administration sanctions across all or part of your existing scope of registration—refer to the Act, s. 36
- Imposition of additional conditions of registration across all or part of your existing scope of registration—refer to the Act, s. 29
- Other enforcement action as considered appropriate—refer to the Act, s. 40.

If determined non-compliant, your organisation will be advised in writing of the actions to be taken.

Please note that the audit report only references non-compliance identified within the scope of the audit. It is expected that your organisation will review all related materials and processes following the audit to determine whether similar rectification effort is needed in other areas not included in the audit scope. Future audits may examine the extent of improvements that have been made across your scope of registration as a result of the issues identified in this audit.

Should you wish to discuss any of the issues raised above, please contact ASQA on 1300 701 801 or by email at Audit-Sydney@asqa.gov.au.

Yours sincerely



Margaret Foran
A/Regional Manager Compliance, Sydney



VET Quality Framework audit report

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

Legal name of organisation	HGT Australia Ltd
Application Number	1026986
Dates of site audit	20 and 23 November 2012

ORGANISATION DETAILS			
RTO legal name	HGT Australia Ltd	RTO ID number	6996
Registered business trading name	Novaskill	ABN	25001868542
Address	148 Lambton Rd Broadmeadow NSW		Postcode 2292
Phone	0249066709	Fax	02949528070
E-mail	rtoc@novaskill.com.au	Website	www.novaskill.com.au
Registration contact	Name Ms Christiana Mergan	Position	RTO Coordinator

AUDIT TEAM			
Lead auditor	Cilla Barrand	Technical adviser/s	Julie Cunningham North Coast State Training Services
Audit team members	Matthew Brash Sally Tansley		

ASQA CONTACT DETAILS			
Phone	1300 701801 (ASQA Info line)	E-mail	audit-sydney@asqa.gov.au

AUDIT DETAILS	
Audit type	<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:
Scope of audit	<input checked="" type="checkbox"/> Standards for NVR Registered Training Organisations <input checked="" type="checkbox"/> Australian Qualifications Framework (AQF) <input checked="" type="checkbox"/> Data Provision Requirements <input checked="" type="checkbox"/> Fit and Proper Person Requirements <input checked="" type="checkbox"/> Financial Viability Risk Assessment Requirements
Date/s of site visit/s	20 and 23 November 2012
Site/s visited	20 November 2012 - 148 Lambton Rd Broadmeadow NSW 23 November 2012 - 58 Tamar St Ballina NSW
Standards audited	Essential Standards for Continuing Registration 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25

ORGANISATION
<p>HGT Australia Ltd (HGT) was initially registered as an RTO in NSW in August 1995 and in Queensland in 2009. HGT is also a Group Training Organisation and conducts the Australian Apprentice Mentoring program and Indigenous employment program.</p> <p>The company is governed by a voluntary Board of Directors who are elected annually, and meet on a monthly basis. The CEO of the RTO reports to the General Manager who in turn reports directly to the Board of Directors. The RTO's CEO is a member of the senior executive of the organisation. Doug Ivins the current CEO has been in the position for 13 months and has over 20 years' experience with TAFE Victoria.</p> <p>HGT provides trainings services in regional NSW and in Queensland with branches in the following areas; Tuggerah, Broadmeadow, Singleton, Port Macquarie, Coffs Harbour, Nambucca Heads, Ballina, Tweed Heads, Brisbane and Mackay.</p> <p>HGT delivers both accredited and non accredited training. It primarily offers a range of funded training programs including New Traineeships, Access, Strategic Skills Programs the Advance Skills Program. Employment based trainees are the major target client group. HGT has an NSW APL contract and a QLD DETA contract. Short commercial courses for fee for service students, include RSA, RSG and White card are also conducted and these make up about 5 % of the RTO's total revenue. Currently HGT has 1452 trainees and 387 course based students.</p>

HGT has 49 qualifications on its scope in the following sectors:

- Small Business Management
- Business Management
- Hospitality
- Business Administration
- Retail
- Aged Care
- Training and Assessment
- General Construction
- Horticulture
- Transport and Distribution

The qualifications with the most enrolments are:

BSB51107 Diploma of Management – 234 students

BSB40807 Certificate IV in Frontline Management – 165 students

TAE40110 Certificate IV in Training and Assessment – 135 students

SIT30707 Certificate III in Hospitality – 117 students

BSB30407 Certificate III in Business Administration – 100 students

FOCUS OF AUDIT		
Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment
BSB40807	Certificate IV in Frontline Management	Traineeship- workplace
BSB51107	Diploma of Management	Traineeship- workplace
SIT30707	Certificate III in Hospitality	Traineeship- workplace
SIR30207	Certificate III in Retail	Traineeship- workplace
CHC40108	Certificate IV in Aged Care	Traineeship- workplace
CHC40308	Certificate IV in Disability	Traineeship- workplace
TAE40110	Certificate IV in Training and Assessment	Face to face
SITHFAB009A	Provide responsible service of alcohol	Face to face
SITHGAM006A	Provide responsible gambling services	Face to face
CPCCOHS1001A	Work safety in the construction industry	Face to face

INTERVIEWEES		
Staff (name and position)		
Name	Position	Program (qualification, course, etc)
Doug Ivins	CEO/RTO Manager	
Christiana Megan	RTO Coordinator	
Scott Northey	Internal Process Auditor	
Jan Brown	CFO	

Gail Baker	Executive Assistant to GM	
Brett Morris	Branch Manager	Ballina
Rex Andersen	Trainer	Ballina- TAE
Sarah Walkley	Administration - records	Ballina

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 10/12/12

- 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.

Auditor's Name	Cilla Barrant	Signature		Date of Report	10/12/12
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AUDIT SUMMARY OF VET QUALITY FRAMEWORK REQUIREMENTS

VET QUALITY FRAMEWORK COMPONENT		STATUS [†]
Financial Viability Risk Assessment Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Fit and Proper Person Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Data Provision Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Australian Qualifications Framework (AQF) Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Standards for NVR Registered Training Organisations 2011 - Essential Standards for Continuing Registration		
15	The NVR registered training organisation provides quality training and assessment across all of its operations	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients	<input type="checkbox"/> C <input checked="" 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 type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
18	The NVR registered training organisation has governance arrangements in place	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
19	Interactions with the National VET Regulator	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
20	Compliance with legislation	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
21	Insurance	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
22	Financial management	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
23	Certification, issuing and recognition of qualifications and statements of attainment	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
24	Accuracy and integrity of marketing	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
25	Transition to training packages/expiry of VET accredited courses	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
*STATUS: Status of audit findings when audit was conducted C = Compliant NC = Not Compliant NA = Not audited		

Audit Findings

HGT Australia Ltd has demonstrated compliance with the Standards 15.1, 16.2, 18.2, 19.1, 21, 22.1, 22.3, 23, 24 and 25.

HGT Australia Ltd has not demonstrated compliance with the following standards:

Standard 15.2

The RTO is not compliant with SNR 15.2 in regard to all of its Training and Assessment Strategies because:

- The RTO does not have a systematic process for gaining industry input into the development of its Training and Assessment strategies. No industry consultation has been conducted for any of the qualifications sampled in this audit.
- The Training and Assessment strategies do not include a description of the validation process and the RTO advised at audit that no validation has been conducted on the assessment tools for any of the qualifications sampled in this audit.
- There is no moderation process included in the Training and Assessment strategies for qualifications that are delivered across a range of geographic areas and by different trainers. RTO advised at audit that no moderation has been conducted.
- The Training and Assessment strategies do not provide sufficiently detailed information on the delivery methods offered for traineeships.

A range of non-compliances were also identified in regard to the Training and Assessment Strategies for the qualifications as indicated below:

TAE40110 Certificate IV in Training and Assessment :

- The packaging rules included in the strategy are unclear in that the rules are quoted directly from the Training

Package and it is not clear whether the “elective unit that may be selected from another Training Package” is from the list included in the strategy or whether other electives can be selected.

- The strategy did not include sufficiently detailed information on the range of delivery approaches indicated. Insufficient information was provided on how the RTO will deliver and assess the qualification in the classroom, work-based and self-paced learning including assessment methods to be used depending on the mode of delivery, roles and responsibilities of RTO staff and workplace supervisors and release from work-based duties for work-based students and resources and requirements for self-paced study.
- The strategy did not include sufficient information on the training and assessment to be conducted including entry requirements and options for recognition, credit transfer and RPL.
- The arrangements in the strategy in regard to the inclusion of staff by program areas such as ‘assessment’ and ‘delivery and facilitation’ did not reflect the actual practice of the RTO where units are delivered individually and not in clusters.
- It did not demonstrate that the strategy is reviewed and updated as there is a reference to the Queensland Department of Education that is now known as the Queensland Department of Education, Training and Employment.
- It did not provide evidence that it had developed the TAE40110 Training and Assessment Strategy through effective consultation with industry.

CHC40108 Certificate IV in Aged Care and CHC40308 Certificate IV in Disability

- The strategies state the selection of units is customised according to the place of employment and needs of the participant. The RTO has students working with culturally diverse and Aboriginal clients but does not offer the electives which are recommended for culturally aware and respectful practice.
- CHC40108 Certificate IV in Aged Care strategy identifies the entry requirements as stated in the Training Package are required for NSW trainees only.
- At audit it was noted that students who do not have the required entry units of competency were enrolled into CHC40108 Certificate IV in Aged Care and that these units were embedded into the qualification.

Standard 15.3

The RTO is not compliant with SNR 15.3 because:

- It does not have sufficient qualified staff to train and assess trainees in the workplace. For example: A trainer who did not have the required Aged care qualifications or background conducted the initial/orientation meeting for an Aged Care trainee. A casual trainer working an average of 25 hours per fortnight has 70 trainees to train and assess. Another trainer working full time has over 120 trainees to train and assess which is well over the full time expectation of 100 trainees per trainee as sighted in the Trainer/assessor Position description.
- It was unable to demonstrate that it has reviewed and customised the commercial resources that it is using to deliver and assess each qualification.
- It does not have any resources to assist the workplace trainer in how to train and coach trainees.
- There is no RTO handbook for employers/supervisors.
- No session plans were provided at audit to support the delivery of quality classroom training.

The RTO is also not compliant with regard to SNR 15.3 in relation to the TAE40110 Certificate IV in Training and Assessment because:

- It was unable to demonstrate that it has all the resources in place to offer the electives included in its Training and Assessment Strategy.
- It was unable to demonstrate that its approach to classroom based delivery of TAE40110 whereby students work individually in front of computer is an approach that is supported by industry feedback

Standard 15.4

The RTO is not compliant with 15.4 because it could not demonstrate that:

- Rex Anderson has the vocational competencies or equivalent to deliver and assess the unit BSBCMM401A Make a presentation.
- Sharon Brown has current industry experience in Aged Care and Disability.
- Christine McGuirk has continued to develop her vocational education and training (VET) knowledge and skills as well as her industry currency and trainer/assessor competence

Standard 15.5

The RTO is not compliant with 15.5 because:

- It did not provide evidence to demonstrate that it systematically validates its assessment tools or processes.
- Commercial assessment tools used in the qualifications sampled have not been customised for the RTO's delivery methods and target learner groups. No evidence of customised instructions to the candidates on the assessment tasks or the assessors on making the competency decision.
- While some of the theoretical knowledge is assessed there is insufficient evidence that the skill components and critical aspects of each unit are being assessed. Third party reports comprise of a checklist of the elements and performance criteria, of which some are not always observable, and the reports do not include any instructions on the task/s that need to be observed. No guidance is provided for the workplace supervisor on what they are required to do and how to complete third party reports.
- Completed student assessments sampled at the audit indicated the RTO does not have a process for checking that completed assessments are meeting the rules of evidence and assessments are being conducted according to the principles of assessment

For example:

- Student answers match word for word the answers in the Marking guide.
- The Training Plan indicated three assessments, written questions, structured activities and third party report and student deemed competent based on written questions and third party report - no structured activities submitted.
- A 'third party report' completed by the RTO's trainer/assessor, Vivian Hanrahan, signed off a student as competent against the critical aspects of assessment of the unit that required 'facilitating group-based learning by preparing and delivering a series of training sessions, including at least two consecutive sessions, of a duration commensurate with a substantive training session (e.g. 40-60 minutes) and that includes at least one session delivered to a different learner group, with evidence of how the characteristics and needs of this group were addressed". The third party report provided a brief comment to the effect that the candidate was competent but no evidence of what was observed or documentation provided was recorded.
- The Student Handbook advises students that the assessor will provide the student with written feedback on their completed assessment - no evidence of written feedback sighted in student files or on completed assessments.
- There is no moderation process to ensure performance standards are consistent with the requirements of each Training Package and that assessment is conducted consistently across a range of assessors.

RPL - it did not demonstrate that it uses valid RPL processes as follows:

- a mapping document provided by the RTO in its TAE40110 Upgrade assessor guide indicates how units in the TAA40104 are equivalent to current units in the TAE40110. For example, the assessor guide indicates that TAEASS401A Plan assessment activities and processes is addressed by the units TAAASS401C Plan and organise assessment and TAAASS403B Develop assessment tools. However, the mapping in the TAE10 Training Package (Release1) indicates that TAAASS401C Plan and organise assessment is not equivalent to TAEASS401A Plan assessment activities and processes and that the unit TAAASS403B Develop assessment tools has been enhanced to make the distinction between tools and instrument clearer and is a Diploma unit TAEASS502A Design and develop assessment tools. Therefore the RTO's mapping document is not correct in its assertion that the two TAA units address TAEASS401A.
- the inclusion of questions in the RTO's participant application guide for RPL appear to indicate the need for further evidence and therefore gaps between TAA40104 and TAE40110. However, the questions included in the participant applicant guide require the participants to answer questions about classroom delivery, accessing www.training.gov.au, etc but do not require documented evidence of such to be provided. Gaps indicated are therefore not addressed with valid evidence.
- a student RPL record indicated that a range of evidence was provided such as student's resume, etc but then indicated that units were awarded by credit transfer (CT). Similarly another student's RPL assessment record indicated that the evidence provided was a "portfolio" but the evidence attached was the student's TAA40104 Certificate IV in Training and Assessment and answers to a number of questions.

Standard 16.1

The RTO is not compliant with 16.1 because:

- The current enrolment form is used for all prospective students (funded and fee for service) and does not reflect both State and federal government requirements.
- Visits by the RTO to students in the workplace are sporadic and there is no regular schedule of visits/contact points to provide support. The RTO is not meeting its stated service level of 11 hours of site visits and 4 contact hours for each trainee.

For example:

- Student file shows 1 contact visit had been conducted with the trainee approximately 8 months after the induction– contact visit form had notation indicating trainee was absent at the time of visit. No other evidence of contact was present.
- Evidence on file and electronic record that the trainee had not successfully completed any units. There was no evidence of any assessments or any direct contact with the trainee with the exception of the initial induction visit.
- Unqualified staff assessing client needs and negotiating Training Plans. Rex Anderson (trainer) negotiated a Training Plan and conducted Induction visit for an Aged Care trainee. Trainer/Assessor profile indicated Rex Anderson does not hold the relevant qualifications or have relevant industry experience in the Community Services – Aged Care Industry as per Training Package requirements.

Standard 16.3

The RTO is not compliant with 16.3 because :

The same Student handbook is issued to all Novaskill customers – trainees, apprentices, Govt funded including SSP, fee-for service students and contains information that is not relevant to all students and has information that is incorrect or missing:

- Handbook notes all students will receive a 'Students Kit' (DEEWR document) - a copy of this kit could not be produced.
- NSW DEC was not noted in the section 'How will Student Information be used' – reference to various Commonwealth Departments was present.
- Due to the wide variety of training programs covered by the handbook the Fees, Concession Tuition and Refund sections do not clearly align with TAFE NSW policy as required by the APL Contract.
- Completed LLN Support assessment referred to in the handbook was sighted in one trainee file - the handbook states the LLN assessment is 'basic'. The completed assessment tool viewed was deemed unsuitable and not valid
- The Handbook contains general information regarding methods of assessments.
- Handbook does not describe traineeship/apprenticeship pathway and contains no reference to NSW DEC or NSW State Training Services.

Standard 16.4

The RTO is not compliant with 16.4 because :

- When an employer is responsible for the formal training the RTO has no mechanism in place to assess the qualifications and suitability of the nominated workplace trainer to deliver the nominated units.
- No evidence of the RTO consulting with the workplace trainer and providing the trainer with information and guidance on the training requirements including contextualisation for the specific workplace, or supplying training support resources other than the commercial learner guide for the unit being delivered.
- No evidence that the RTO systemically monitors the on job training provided by the workplace trainer and the support provided by the trainee's supervisor.
- No evidence that the RTO is providing ongoing support to the workplace trainer.
- No evidence that the RTO provides the trainee's supervisor with documented information on the traineeship requirements, their role and responsibilities and support/services the RTO can provide.
- Student files sighted at audit indicate the RTO does not have a systematic process for monitoring student progress.

Standard 16.5

The RTO is not compliant with 16.5 because:

- It did not provide any evidence to show the LLN self-evaluation questionnaire students complete prior to course commencement has been validated and that trainers have the required skills and knowledge to determine a student's LLN requirements based on this questionnaire.
- There was no evidence of a systematic process for monitoring trainee progress including workplace training that has been undertaken and implementing appropriate support services for the trainee or workplace trainer.

Standard 16.6

The RTO is not compliant with 16.6 because:

Student records contain inaccurate and incomplete data. Refer to 17.4

Standard 17.1

The RTO is not compliant with 17.1 because:

Training Plans sighted in student files were not completed as required by the APL contract.

Examples sighted:

- Person responsible for formal training not identified
- Training Plan Part 3 contained generic statements in all sections not related to the specific workplace, trainee or vocation.
- No evidence of certified trainee identification.
- Section 3 of the Training Plan stated the trainee would need to use her own computer at home to complete assessment tasks – this is not mentioned in the Student handbook.

Standard 17.2

The RTO is not compliant with 17.2 because:

- While the RTO has an internal audit process and provided evidence of internal audits conducted, the processes have not identified the significant level of non-compliance identified in this report.

Standard 17.4

The RTO is not compliant with 17.4 because:

- No evidence that the effectiveness of the records management is systematically monitored and reviewed to ensure the accuracy and integrity of the record keeping system.

Trainer records:

- Trainer profiles are not kept up to date.
- Not all trainer qualifications have been verified.
- Trainer, Rex Andersen's electronic file included an unverified TAE40110 Certificate IV in Training and Assessment issued by Novaskill on 25/10/10. Transcript lists TAADEL301B and TAADEL301C and includes a total of 11 units. Sighted another version of the certificate issued on the same date (25/10/10) which was correctly issued and includes the following electives: BSBCMN401A Develop teams and individuals, TAEDEL301A Provide work skill instruction, TAEASS401B Contribute to assessment – no explanation provided on how this occurred.

A school based trainee training plan was reviewed - the training plan was incomplete:

- SBAT addendum was incomplete – section 4.2 & 4.3
- RTO completion date is required to be before 31 October of the HSC year – RTO training completion date on Training Plan was after this date.

Student Files

- Duplication of documents
- No Quality Assurance check on file
- Loose documents
- Contents are variable and do not meet APL Contract requirements
- Incorrect documentation

Jayminia Prasser - new entrant trainee - registered status at time of audit.

File contained:

- RTO cancellation form on file- trainee went on maternity leave on 5/9/12. Checkbox on Novaskill form "employer advised to contact STS" had been ticked. No evidence on file that Novaskill had contacted STS (RTO notification process)
- No Evidence of successful completion of pre-requisite units for Certificate IV in Aged Care qualification (as per TP requirements). Pre-requisite units had been embedded in the Certificate IV in Aged Care Training Plan for delivery and assessment which does not meet the VTO qualification requirements.
- 1 contact visit had been conducted with the trainee approximately 8 months after the induction– contact visit form had notation indicating trainee was absent at the time of visit. No other evidence of contact was present.
- Evidence on file and electronic record that trainee had not successfully completed any units. There was no evidence of any assessments or any direct contact with the trainee with the exception of the initial induction visit. Initial claim paid to Novaskill for this trainee on 30/11/11.
- No evidence of certified trainee identification.
- No evidence of record of release from work for training/assessment purposes.
- No evidence of learning materials/resources supplied to the trainee or employer.

Allan Jamieson - new entrant trainee - registered status at time of audit

File contained:

- RTO cancellation form on file – trainee no longer employed as at 24/7/12. Checkbox on Novaskill form "employer advised to contact STS" had NOT been ticked. No evidence on file that Novaskill had contacted STS (RTO notification process).

Standard 18.1

The RTO is not compliant with 18.1 because:

- The CEO has not ensured that the RTO complies with the VET Quality Framework as evidenced by the non-compliances identified in this report.

Standard 20

The RTO is not compliant with 20 because:

The RTO Staff Handbook contains incorrect information relating to traineeships as follows:

- Information on p 20 regarding new entrant traineeships is incorrect (minimum age for Certificate II & progression rule)
- Concession information p 21 is incorrect as per TAFE NSW policy
- Handbook does not describe traineeship/apprenticeship pathway and contains no reference to NSW DEC or NSW State Training Services
- Handbook does not refer to NSW Vocational Training Orders

Student files sighted at audit indicate the RTO does not comply with the APL Contract requirements.

Standard 22.2

The RTO is not compliant with 22.2 because:

- Concession information on p 21 of Student Handbook is incorrect as per TAFE NSW policy.

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

HGT Australia Ltd is required to provide the following evidence:

Standard 15.2

Revised training and assessment strategies for the following qualifications:

- BSB40807 Certificate IV in Frontline Management
- BSB51107 Diploma of Management
- SIT30707 Certificate III in Hospitality
- SIR30207 Certificate III in Retail
- CHC40108 Certificate IV in Aged Care
- CHC40308 Certificate IV in Disability
- TAE40110 Certificate IV in Training and Assessment

A systematic process for gaining industry input into the development of its Training and Assessment strategies and evidence of industry input into the revised training and assessment strategies.

Standard 15.3

Evidence that demonstrates:

- it has a process for reviewing and customising the commercial resources that it uses to deliver and assess each qualification.
- It has resources to assist the workplace trainer in how to train and coach trainees
- it has all the resources in place to offer the electives included in the TAE40110 Training and Assessment Strategy.
- its approach to classroom based delivery of TAE40110 whereby students work individually in front of computer is an approach that is supported by industry feedback

Standard 15.4

Evidence that demonstrates:

- Rex Anderson has the vocational competencies or equivalent to deliver and assess the unit BSBCMM401A Make a presentation.
- Sharon Brown has current industry experience in Aged Care and Disability which has been verified

- Christine McGuirk has continued to develop her vocational education and training (VET) knowledge and skills as well as her industry currency and trainer/assessor competence

Standard 15.5

Customised assessment tools for the following units of competency and target learner group:

Diploma of Management – class based students

- BSBPMG510 Manage projects
- BSBHRM402A Recruit, select and induct staff

Certificate IV in Aged Care – traineeship work based students

- CHCAC412B Provide services to older people
- CHCCS426B Provide support and care relating to grief and loss

Certificate III in Hospitality – traineeships work based students

- SITHFAB021A Provide and coordinate food and beverage service
- SITHFAB008A Provide room service

Certificate IV Training and Assessment – class based students

- TAEDEL401A Plan organise and deliver group based learning
- TAEASS402B Assess competence

Documented valid RPL process for Certificate IV Training and Assessment that includes processes for upgrades from BSZ and TAA.

Submit the RPL Assessment tool for Certificate IV Training and Assessment.

Evidence that demonstrates:

- A systematic Validation process is implemented for all qualifications on the RTO's scope.
- Industry consultation has been undertaken to ensure the customised assessment tools meet workplace and, where relevant, regulatory requirements.
- A process for checking that completed assessments are meeting the rules of evidence and assessments are being conducted according to the principles of assessment is implemented
- A moderation process is implemented to ensure performance standards are consistent with the requirements of each Training Package and that assessment is conducted consistently across a range of assessors.

Standard 16.1

- Customised enrolment forms for each type of funding that meet the relevant State and/or federal government requirements.
- Evidence that demonstrates the RTO has regular schedule of trainee site visits that comply with the RTO's stated service level of 11 hours of site visits and 4 contact hours for each trainee and that only qualified trainers conduct trainee site visits.

Standard 16.3

- Customised Student Handbooks for each different client group e.g. fee for service, traineeships.

Standard 16.4

Evidence that demonstrates:

- The RTO has a mechanism in place to assess the qualifications and suitability of the nominated workplace trainer to deliver the nominated units.
- The RTO consults with the workplace trainer and provides the trainer with information and guidance on the training requirements including contextualisation for the specific workplace and the training support resources other than the commercial learner guide the RTO can provide.
- The RTO systemically monitors the on job training provided by the workplace trainer and the support provided by the trainee's supervisor.
- The RTO provides ongoing support to the workplace trainer.
- The RTO provides the trainee's supervisor with documented information on the traineeship requirements, their role and responsibilities and support/services the RTO can provide.
- The RTO has a systematic process for monitoring student progress.

Standard 16.5

Evidence that demonstrate the RTO has :

- A valid LLN test and trainers have the required skills and knowledge to determine a student's LLN requirements based on this test.
- A systematic process for monitoring trainee progress.

Standard 16.6

Refer to Standard 17.4

Standard 17.1

- Evidence that demonstrates Training plans are completed in accordance with the APL contract requirements.

Standard 17.2

- Evidence that demonstrates the RTO has conducted a review of the internal audit process to increase its effectiveness.

Standard 17.4

Evidence that demonstrates:

- The records management system is systematically monitored and reviewed to ensure the accuracy and integrity of the record keeping system.
- Record keeping staff are trained in the records management requirements of the funding bodies e.g. APL contract requirements and NVR standards.
- Action the RTO will take to ensure current records are accurate and comply with any contractual arrangements such as the APL contract.

Standard 18.1

Evidence that demonstrates:

- The actions the CEO plans to take to ensure the RTO meets the VET Quality Framework.

Standard 20

- Submit a revised Staff Handbook that contains correct information relating to traineeships.

Standard 22.2

Evidence that demonstrates :

- The Concession information in the Student Handbook is in line with the TAFE NSW policy.