

PQS Compliance Audit

Audit Report (VET Investment Programs)

SUPPLIER		ATTACHMENT 1	
Registration Code	60072		
RTO Legal Name	Orange Vocational Education and Training		
RTO Trading Names	<ul style="list-style-type: none"> Orange Vocational Education and Training Opportune Professional Development 		
Address	104 Invermay Road Invermay TAS 7248		
PARTICIPANTS			
Lead Auditor	Dr K K Navaratnam	Auditor(s)	Ms Robyn Gray
Auditor Phone	07 3034 4885		
Supplier	Mr Andrew Mitchell, Chief Executive Officer Ms. Rachele Matousek, Operations Manager		
AUDIT DETAILS			
Date(s)	29-08-2017 to 31-08-2017		
Location	199 Grey Street, South Brisbane		
PQS Agreement(s)	QS101504		
Type	Monitoring <input checked="" type="checkbox"/>	Re-audit <input type="checkbox"/>	Expansion of scope <input type="checkbox"/>
Outcome	Compliant <input checked="" type="checkbox"/>	Not Compliant <input type="checkbox"/>	
Funding Program(s)	Certificate 3 Guarantee <input checked="" type="checkbox"/>	Higher Level Skills	<input checked="" type="checkbox"/>
Policy(-ies)	2017-18 <input type="checkbox"/>	2017-18	<input type="checkbox"/>
	2016-17 <input checked="" type="checkbox"/>	2016-17	<input checked="" type="checkbox"/>
Notes	Orange Vocational Education and Training is a Registered Training Organisation with a Delegation. The PQS's current revenue sources consist of 33% Tasmanian Government funding, 33% Queensland Government funding and 33% Fee For Service.		
Qualification Code	Qualification	Number of Students Sampled	Number of Units Sampled
SIT30713	Certificate III in Hospitality	12	8
SIT40313	Certificate IV in Hospitality	13	9
SIR40212	Certificate IV in Retail Management	1	1
SIT50313	Diploma of Hospitality	18	13

ASSESSMENT

 Compliant
 Not Compliant
 Not Examined

C NC n/a

For each competency for each student the supplier has retained evidence:

- to support competency had been achieved (AVETMISS Outcome identifier 20). *(PQS Agreement, Clause 9) (PQS Policy 16-17 Appendix 6, Table 4), (PQS Policy 17-18 Appendix 5 - Table 4)*
- to support that students have attempted all assessments and failed in at least one method (AVETMISS Outcome identifier 30). *(PQS Agreement, Clause 9) (PQS Policy 16-17 Appendix 6, Table 4), (PQS Policy 17-18 Appendix 5 - Table 4)*
- to support recognition of prior learning (AVETMISS Outcome identifier 51). *(PQS Agreement, Clause 9) (PQS Policy 16-17 Appendix 6 - Table 4), (PQS Policy 16-17 Performance standard 5, B.), (PQS Policy 17-18 Appendix 5 - Table 4), (PQS Policy 17-18 Performance standard 5, B.)*
- to support gap training for non-equivalent units within a transition from a superseded qualification where a unit of competency had been successfully completed under the old qualification, but the superseded competency does not map directly into the new competency, therefore requiring additional training delivery (department Outcome identifier 65). *(PQS Agreement, Clause 9), (PQS Policy 16-17 Appendix 6, Table - 4), (PQS Policy 17-18 Appendix 5, Table - 4)*

Opportunity for Improvement

The audit identified three opportunities for improvement in the supplier's Recognition of Prior Learning (RPL) process.

a. Use and documentation of Resume/consecutive list of employment history

The information required for resume/consecutive list of previous employment, although able to be extracted from competency conversation notes, lacked the capacity to provide a clear picture of the work experience path of the candidates. It is recommended the supplier review the current RPL assessment process and procedure to strengthen evidence for this requirement.

b. Student Self-assessment

The competency conversation undertaken by the supplier encompassed student self-assessment in conversation with the assessor. However, this method was not completely successful in differentiating between the student's assessment of self and the observation of the assessor. This weakness had been identified by the supplier in its preparation prior to audit, and the lead auditor was advised appropriate changes had been implemented.

c. Generic statements in Competency Conversation

The RPL assessment tool template for observation had necessary components for evidence gathering. However, it is recommended the supplier introduces a stronger link between the recorded conversation and listed tick box options against essential requirements by including more specific notes on the key words or activity in the conversation which lead to the assessor's judgement regarding the tick box options. .

ADMINISTRATIVE

 Compliant
 Not Compliant
 Not Examined

C NC n/a

Records

The supplier retained information and material necessary to provide a complete record of training and assessment, including:

- a copy of the qualification(s) and statement(s) of attainment issued to each student. *(PQS Agreement, Clause 9)*

The supplier provided:

- a completed and accurate assessor's marking guide, criteria and observation checklists for each unit of competency. *(PQS Agreement, Clause 9)*
- evidence to support credit transfers (AVETMISS Outcome identifier 60). *(PQS Policy 16-17 Appendix 4 E – Credit Transfer, Appendix 6 - Table 4), (PQS Policy 17-18 Appendix 3 E – Credit Transfer, Appendix 5 - Table 4)*

PQS Obligations

The supplier has:

- retained evidence it has referred each funded student to any applicable fact sheet for the relevant Program published on the department's training website *(PQS Policy 16-17 Performance Standard 1F), (PQS Policy 17-18 Performance Standard 1E)*

The supplier has retained evidence it provided information up front regarding:

- a breakdown of all costs for both concessional and non-concessional students including how and when fees will be charged and collected at the unit of competency level *(Certificate 3 Guarantee Program Policy 2016-17 & 17-18), (Certificate 3 Guarantee Policy 2016-16 & 2017-18 Performance Standard 1), (Higher Level Skills Program Policy 16-17 & 17-18)*
- training timelines, delivery mode and delivery location *(Certificate 3 Guarantee Program Policy 2016-17 & 17-18), (Certificate 3 Guarantee Policy 2016-16 & 2017-18 Performance Standard 1), (Higher Level Skills Program Policy 16-17 & 17-18)*

- vocational/work placement when this is a mandatory component of the qualification *(Certificate 3 Guarantee Program Policy 2016-17 & 17-18), (Certificate 3 Guarantee Policy 2016-16 & 2017-18 Performance Standard 1), (Higher Level Skills Program Policy 16-17 & 17-18)*
- support services available to assist students to complete training *(Certificate 3 Guarantee Program Policy 2016-17 & 17-18), (Certificate 3 Guarantee Policy 2016-16 & 2017-18 Performance Standard 1), (Higher Level Skills Program Policy 16-17 & 17-18)*
- a requirement to complete a student employment survey within three months of completing or discontinuing the qualification or skill set *(Certificate 3 Guarantee Program Policy 2016-17 & 17-18), (Certificate 3 Guarantee Policy 2016-16 & 2017-18 Performance Standard 1), (Higher Level Skills Program Policy 16-17 & 17-18)*

The supplier has:

- retained evidence it informed prospective students they will no longer be eligible for a government subsidised training place under the Certificate 3 Guarantee once they complete a certificate level III qualification *(PQS Policy 16-17 Performance Standard 1E), (PQS Policy 17-18 Performance Standard 1D), (Certificate 3 Guarantee Program Policy 16-17 & 17-18)* **CERTIFICATE 3 GUARANTEE ONLY**
- retained evidence it informed prospective students they would no longer be eligible for a government subsidised training place under the Higher Level Skills program once they complete a certificate level IV or higher qualification *(PQS Policy 16-17 Performance Standard 1E), (PQS Policy 17-18 Performance Standard 1D), (Higher Level Skills Program Policy 16-17 & 17-18)* **HIGHER LEVEL SKILLS ONLY**

Refunds

The supplier has:

- a refund policy. *(PQS Policy 16-17 Performance Standard 1C Appendix 1F), (PQS Policy 17-18 Performance Standard 1C & Appendix 1F)*
- provided each prospective student a copy of, or provided access to, its refund policy *(PQS Policy 16-17 Performance Standard 1C & Appendix 1, F), (PQS Policy 17-18 Performance Standard 1C & Appendix 1, F)*
- issued refunds as per its refund policy and retained supporting evidence.

Demonstrate professional and ethical standards of behaviour

The supplier has:

- ensured that appropriate avenues exist for students (and/or employers where applicable) to make complaints and that business processes are in place to resolve any complaints in a timely and fair manner *(PQS Policy 16-17 & 17-18 Performance Standard 2G)*

ELIGIBILITY

Compliant Not Compliant Not Examined

C NC n/a

The supplier has retained evidence it has:

- implemented and used other supporting processes of integrity to verify eligibility for each student. *(Evidence Guide for Pre-qualified Suppliers 2016-17), (PQS Audit Evidence Requirements (VET Investment Programs))*

The supplier has assessed prospective student's eligibility and retained evidence each student:

- met specific restrictions for enrolment in a qualification and/or skill set outlined in the Queensland Training Subsidies List. *(PQS Policy 16-17 Performance Standard 3C), (PQS Policy 17-18 Performance Standard 3C)*
- was aged 15 years or above and no longer at school (with the exception of VET in School students). *(PQS Policy 16-17 & 17-18 Performance Standard 3C), (Certificate 3 Guarantee Program Policy 16-17& 17-18), (Higher Level Skills Program Policy 16-17 & 17-18)*
- permanently resided in Queensland. *(PQS Policy 16-17 & 17-18 Performance Standard 3C), (Certificate 3 Guarantee Program Policy 16-17& 17-18), (Higher Level Skills Program Policy 16-17 & 17-18)*
- was an Australian citizen, an Australian permanent resident (including humanitarian entrants), a temporary resident with the necessary visa and work permits on the pathway to permanent residency, or a New Zealand citizen. *(PQS Policy 16-17 & 17-18 Performance Standard 3C), (Certificate 3 Guarantee Program Policy 16-17& 17-18), (Higher Level Skills Program Policy 16-17 & 17-18)*
- did not already hold a certificate level III or higher level qualification, nor be enrolled in a certificate level III or higher level qualification not including qualifications completed at school and foundation skills training. *(Certificate 3 Guarantee Program Policy 16-17 & 17-18)* **CERTIFICATE 3 GUARANTEE ONLY**
- did not already hold a certificate level IV or higher level qualification, nor be enrolled in a certificate level IV or higher level qualification; not including qualifications completed at school and foundation skills training (other exceptions applicable). *(Higher Level Skills Program Policy 16-17 & 17-18)* **HIGHER LEVEL SKILLS ONLY**

Subsidy Availability

The supplier has retained:

- evidence each student, who at the time of enrolment, claimed concessional student status: *(PQS Policy 16-17 & 17-18 Performance Standard 3C), (Certificate 3 Guarantee Program Policy 16-17 & 17-18), (Higher Level Skills Program Policy 16-17 & 17-18)*
- evidence each student completed Year 12 in Queensland and have commenced training within 12 months of graduating Year 12 (i.e. by the end of the calendar year after completing Year 12). *(Certificate 3 Guarantee Program Policy 16-17 & 17-18), (Higher Level Skills Program Policy 16-17 & 17-18)* **QUEENSLAND YEAR 12 GRADUATES ONLY**

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FEES			<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant	<input type="checkbox"/> Not Examined
C	NC	n/a			
The supplier has:					
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	published its concessional and non-concessional fees schedule to its website, labelled as the co-contribution fee <i>(PQS Policy 16-17 Performance Standard 1A, Appendix 1F) (PQS Policy 17-18 Performance Standard 1A, Appendix 1F)</i>		
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	charged and collected a co-contribution fee for each student, and the fee was paid by the student, employer or a third party and was not paid or waived by the supplier. <i>(PQS Policy 16-17 Appendix 1H - I), (PQS Policy 17-18 Appendix 1G-I)</i>		
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	charged and collected Student Contribution Fees at the unit of competency level. <i>(PQS Policy 16-17 Appendix 1H), (PQS Policy 17-18 Appendix 1H)</i>		
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	not advertised fee free training. <i>(PQS Policy 16-17 & 17-18 Performance standard 2D, 3B)</i>		
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	not charged for a qualification or offering in addition to the co-contribution fee. <i>(PQS Policy 16-17 & 17-18 Appendix 1E, 1H)</i>		
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	not charged co-contribution fees for units with an AVETMISS Outcome identifier of 60 or for (department Outcome identifier 65). <i>(PQS Policy 16-17 & 17-18 Appendix 1L)</i>		

LOWER LEVEL / FOUNDATION SKILLS			<input type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant	<input checked="" type="checkbox"/> Not Examined
C	NC	n/a			
Foundation Skills					
The supplier retained evidence:					
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	to support the delivery of foundation skills training (i.e. language, literacy and numeracy). <i>(PQS Policy 16-17 & 17-18 Performance Standard 4B)</i>		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	it considered documented evidence of the student's history (i.e. previous education and training, work history, impairments, disabilities). <i>(PQS Policy 16-17 & 17-18 Performance Standard 4B)</i>		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	it ensured foundation skills training delivered to a student was preceded by effective assessment of the student's LLN proficiency skills (against the Australian Core Skills Framework (ACSF)) as outlined in Performance standard 4. <i>(PQS Policy 16-17 & 17-18 Performance Standard 4B)</i>		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	it undertook, prior to the commencement of training, an informed analysis of each student's capabilities against recognised foundation skills benchmarks and the judgement was made against the skills required for entry to and completion of the vocational qualification. <i>(PQS Policy 16-17 & 17-18 Performance Standard 4B)</i>		
The supplier has retained evidence it developed a training and support plan:					
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	that outlined how the foundation skills training that were to be delivered and the foundation skills outcomes that were to be achieved through to completion of the vocational qualification. <i>(PQS Policy 16-17 & 17-18 Performance Standard 4B), (PQS Compliance Audit Evidence Guide), (PQS Compliance Audit Evidence Requirements (VET Investment Programs))</i>		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	including customised competencies required for the desired vocational qualification. <i>(PQS Policy 16-17 & 17-18 Performance Standard 4B), (PQS Compliance Audit Evidence Guide), (PQS Compliance Audit Evidence Requirements (VET Investment Programs))</i>		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	tailored to the individual's circumstances and abilities. <i>(PQS Policy 16-17 & 17-18 Performance Standard 4B), (PQS Compliance Audit Evidence Guide), (PQS Compliance Audit Evidence Requirements (VET Investment Programs))</i>		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	that included learning support strategies. <i>(PQS Policy 16-17 & 17-18 Performance Standard 4B), (PQS Compliance Audit Evidence Guide), (PQS Compliance Audit Evidence Requirements (VET Investment Programs))</i>		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	the student supported his/her training and support plan and learning pathway. <i>(PQS Policy 16-17 & 17-18 Performance Standard 4B), (PQS Compliance Audit Evidence Guide), (PQS Compliance Audit Evidence Requirements (VET Investment Programs))</i>		
Lower Level Qualification – Individual Pathway					
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Where the supplier has provided subsidised lower-level qualifications (excluding delivery to VETiS students) it has adequately assessed that the student requires this pathway by conducting an upfront skills assessment that identified the learner as disadvantaged and requiring lower-level vocational training prior to certificate III enrolment. <i>(PQS Policy 16-17 & Performance Standard 4), (Certificate 3 Guarantee Program Policy 16-17), (PQS Audit Evidence Requirements (VET Investment Programs))</i>		

The supplier has retained evidence it developed a training and support plan:

- tailored to the individual's circumstances and abilities. *(PQS Policy 16-17 Performance Standard 4)*
- that included learning support strategies. *(PQS Policy 16-17 & Performance Standard 4), (Certificate 3 Guarantee Program Policy 16-17), (PQS Audit Evidence Requirements (VET Investment Programs))*
- that includes review at key milestones. *(PQS Policy 16-17 & Performance Standard 4), (Certificate 3 Guarantee Program Policy 16-17), (PQS Audit Evidence Requirements (VET Investment Programs))*
- the student supported his/her training and support plan and learning pathway. *(PQS Policy 16-17 & Performance Standard 4), (Certificate 3 Guarantee Program Policy 16-17), (PQS Audit Evidence Requirements (VET Investment Programs))*

Lower Level Qualification – Pre-apprenticeship pathway

- The supplier has ensured the qualification is mandated as a prerequisite for the certificate III level qualification under training package rules. *(Certificate 3 Guarantee Program Policy 16-17 & 17-18), (Evidence Guide for Pre-qualified Suppliers 2016-17), (PQS Compliance Audit Evidence Requirements (VET Investment Programs))*

AVETMISS DATA

Compliant Not Compliant Not Examined

C NC n/a

The supplier retained information and material necessary to provide a complete record of training and assessment, including:

- accurate AVETMISS activity start and activity end dates for each student for each unit of competency. *(PQS Agreement, Clause 5, Clause 9)*

The supplier has:

- reported the Delivery mode identifier specified in AVETMISS for the relevant delivery mode. *(PQS Policy 16-17 Appendix 4D), (PQS Policy Appendix 3D)*
- reported the Outcome code identifier specified in AVETMISS for the relevant outcome. *(PQS Policy 16-17 Appendix 4D and Appendix 6, Table 4), (PQS Policy Appendix 3D, Appendix 5 Table 4)*
- reported the student's eligibility for concession. *(PQS Policy 16-17 Appendix 4D and Appendix 6, Table 3), (PQS Policy Appendix 3D, Appendix 5 Table 3)*
- reported the correct amount of co-contribution fees collected per unit of competency (rounded to the nearest dollar). *(PQS Policy 16-17 Appendix 1i, Appendix 4D, Appendix 8 – Table 6) (PQS Policy Appendix 1i, Appendix 3D)*
- reported AVETMISS postcodes that accurately reflect the location in which the majority of training has been undertaken. *(PQS Policy 16-17 Appendix 4D, 4E), (PQS Policy Appendix 3D, 3E)*
- reported the postcode and location where the training was coordinated for online delivery *(PQS Policy 16-17 Appendix 4D and 4E), (PQS Policy 17-18 Appendix 3D and 3E)*
- not submitted claims for payment for units in excess of the competency count for the qualification. *(PQS Policy 16-17 Appendix 5B and Appendix 7 – Table 5), (PQS Policy 17-18 Appendix 4B, Appendix 6 – Table 5)*
- not submitted claims for payment for units of competency previously assessed as competent. *(PQS Policy 16-17 Appendix 4E and Appendix 7 – Table 5), (PQS Policy 17-18 Appendix 3E, Appendix 6 – Table 5)*
- It correctly granted and reported any unit of competency available for credit transfer. *(PQS Policy 16-17 Appendix 4E, Appendix 6 – Table 4), (PQS Policy 17-18 Appendix 3E, Appendix 5 – Table 4)*
- reported the correct fund source code for the student and Program *(PQS Policy 16-17 Appendix 4D, Appendix 6 Tables 1-3), (PQS Policy 17-18 Appendix 3D, Appendix 5 – Tables 1 – 2)*
- reported the student's highest level of school and year completed *(PQS Policy 16-17 Appendix 4D), (PQS Policy 17-18 Appendix 3D)*
- reported, within 30 days, the qualification issued flag when the student had successfully completed all requirements of a recognised qualification and the supplier has issued the qualification *(PQS Policy 16-17 Appendix 4D, Appendix 8 Table 6), (PQS Policy 17-18 Appendix 3D)*

All documents are available online at: www.training.qld.gov.au.