



VET Quality Framework audit report

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

Legal name of organisation	Ascent Training Solutions Pty Ltd
Date of audit	25 February 2013

ORGANISATION DETAILS					
RTO legal name	Ascent Training Solutions Pty Ltd		RTO ID number	32108	
Registered business trading name	Ascent Training Solutions Pty Ltd		ABN	14 139 715 567	
Address	28 Goodman Place, Murrarie			Postcode	4172
Phone	1300 445 446	Fax	(07) 3865 4066		
E-mail	Karen@ascenttrainingsolutions.com.au		Website	www.ascenttrainingsolutions.com.au	
Registration contact	Name	Mr Grant Nicholas Mrs Karen Nicholas	Position	Managing Director Compliance Manager	

AUDIT TEAM			
Lead auditor	Ms Emma Betts	Technical adviser/s	N/A
Audit team members	Ms Debra Taylor		N/A

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

AUDIT DETAILS	
Audit type	<input type="checkbox"/> Renewal of registration <input type="checkbox"/> Extension to scope of registration <input checked="" 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 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
Date/s of site visit/s	25 February 2013
Site/s visited	28 Goodman Place, Murrarie
Standards audited	Essential Standards for Continuing Registration 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25

ORGANISATION
<p>Ascent Training Solutions Pty Ltd was registered in January 2010 to provide training in forklifts, elevated work platforms (EWP), and civil construction. In 2012 they extended their scope of registration to include business qualifications, and deliver these to their existing clientele.</p> <p>The organisation:</p> <ul style="list-style-type: none"> is owned and operated by its two directors, Mr Grant Nicholas and Mrs Karen Nicholas. The organisation has also recently appointed a compliance manager employs both full time and contract trainers and assessors. Two contract trainers and assessors, Mr Wade Ireland and Mr Kevin Hunter, are also engaged in partnering arrangements with the organisation delivers public training courses, including forklift and EWP, from its Murrarie premises. This premises is shared with HiReach Rentals, who provide boom lifts, scissor lifts and mast climbers for sale and rental delivers non-public training courses, including its business qualifications, onsite at the employer's premises currently delivers only in Queensland, however is considering expansion into Sydney. <p>Prior to the audit, the organisation submitted an application to withdraw UET20209 Certificate II in ESI – Transmission Line Assembly, MSAPMPER200B Work in accordance with an issued permit and MSAPMPER206B Enter confined space from its scope of registration.</p> <p>Total number of current enrolments in RTO as at audit date = 87.</p>

FOCUS OF AUDIT			
Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment	Current enrolments (If not yet on scope, record 'N/A')
BSB40807	Certificate IV in Frontline Management	Face to face delivery, with workshops and additional training on the job.	25
BSB51407	Diploma of Project Management		29
CPC30511	Certificate III in Dogging		5
RII30809	Certificate III in Civil Construction Plant Operations		11
CPCCLSF3001A	<i>Licence to erect, alter and dismantle scaffolding intermediate level</i>		0
CPCCOHS1001A	<i>Work safely in the construction industry</i>		0
RIIERR205A	<i>Apply initial response First Aid</i>		0
TLILIC2001A	<i>Licence to operate a forklift truck</i>		1
TLILIC2005A	<i>Licence to operate a boom-type elevating work platform (boom length 11 meters or more)</i>		1

INTERVIEWEES		
Staff (name and position)		
Name	Position	Program (qualification, course, etc)
Grant Nicholas	CEO	N/A
Karen Nicholas	Office Manager	N/A
Collette Jolin	Compliance Manager	N/A
Paul White	Manager, Business	BSB40807, BSB51407
Wade Ireland	Trainer and Assessor	RII30809, CPCCOHS1001A

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 26 February 2013

- The organisation **has not demonstrated compliance** with all compliance requirements reviewed for the audit.

The level of non-compliance is considered to be **significant** 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	Emma Betts	Date of Report	15/03/2013
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AUDIT RECTIFICATION

Audit status following additional evidence received 15/04/2013:

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

Auditor's Name	Ms Emma Betts	Date of Report	29/04/2013
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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
Standards for NVR Registered Training Organisations 2012 - 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 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 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 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 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

The organisation demonstrated compliance with the **Standards for NVR Registered Training Organisations 2011 (SNR) - Essential Standards for Continuing Registration** 16, 17, 19, 20, 21, 23, 24 and 25.

The organisation did not demonstrate compliance with SNR 15, 18 or 22. The level of non-compliance was considered to be significant as the organisation was not fully resourced across its full scope of registration. Although no enrolments had been taken in these areas, there are indications of a potentially serious adverse impact on learners.

Non-compliances:

SNR 15

BSB40807 Certificate IV in Frontline Management

- The strategy for training and assessment identified a range of units of competency that the organisation could deliver to meet the requirements of the BSB07 Training Package. In discussion with the organisation, it was identified the organisation was not fully resourced to deliver all of these units. At audit, the organisation identified it would amend its strategy for training and assessment to clearly articulate the units of competency it delivers to meet the requirements of the BSB07 Training Package.

BSBMGT402A Implement operational plan

- The assessment tools provided for the unit of competency did not address all requirements of the elements and performance criteria. In discussion with the trainer and assessor, and sighted at audit, it was identified that these requirements were assessed in other units within the qualification. The instructions provided to the student and assessor did not identify where these requirements were addressed.

BSB51407 Diploma of Project Management

BSBPMG503A Manage project time

BSBPMG504A Manage project costs

- Assessment for the qualification was clustered, with the student completing activities and projects as they

progress. Instructions for the assessor and student were not provided to give information (for example) as to when tasks are to be completed, what tasks are to be completed, or how they are to be submitted.

CPC30511 Certificate III in Dogging

CPCCM1015A Carry out measurements and calculations

- At audit, the organisation advised the training materials and assessment tools had not been developed. The tools would be developed by the trainer and assessor Wade Ireland.

CPCCLSF3001A Licence to erect, alter and dismantle scaffolding intermediate level

- The organisation confirmed it would use the mandated resources for training and assessment however, as the trainer and assessor David Sherry was still finalising the process from transitional assessor to accredited assessor, these had not yet been provided by Workplace Health and Safety Queensland.

RIIERR205A Apply initial response First Aid

- The organisation advised it had purchased Safe Work training materials and assessment tools for the above unit of competency, however they had not yet been received. The organisation confirmed it would develop additional assessment tools to supplement the assessment materials as part of the validation.

Evidence was not provided to demonstrate the following trainers and assessors had continued to develop their VET knowledge and skills, as well as their trainer and assessor competence:

- Kevin Hunter (*RIIERR205A Apply initial response First Aid*)
- Wayne Cross (**CPC30511 Certificate III in Dogging**)
- David Basel (**CPC30511 Certificate III in Dogging**)
- David Sherry (*CPCCLSF3001A Licence to erect, alter and dismantle scaffolding intermediate level*)
- Phillip Bailey (*TLILIC2001A Licence to operate a forklift truck; CPCCOHS1001A Work safely in the construction industry; TLILIC2005A Licence to operate a boom-type elevating work platform (boom length 11 meters or more)*)

SNR 18

The non-compliances identified at audit demonstrated the organisation's chief executive had not ensured the NVR registered training organisation had complied with the VET Quality Framework across all of its operations.

SNR 22

The organisation advised it complied with Option 3 for this standard, as training that it had delivered to individual students to date were valued at less than \$1,000. However, marketing information indicated that individual students could enroll in training and assessment courses where costs exceeded \$1,000; for these courses, the organisation could not demonstrate how it complied with Option 3 of the standard.

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

SNR 15

The organisation is required to provide:

- **BSB40807 Certificate IV in Frontline Management**
 - The strategy for training and assessment which clearly articulates the units of competency it is resourced to deliver to meet the requirements of the BSB07 Training Package.*BSBMGT402A Implement operational plan*
 - The instructions it will provide to the student and the assessor which identifies where assessment, for this unit of competency, is undertaken within other units of competency.
- **CPC30511 Certificate III in Dogging***CPCCM1015A Carry out measurements and calculations*
 - The training materials to be used when delivering the unit of competency which meet the requirements of the CPC08 Training Package, and the organisation's own strategies for training and assessment
 - The complete suite of assessment tools, including the context and conditions of assessment; tasks to be administered to the student; an outline of the evidence to be gathered from the candidate; and the evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules), to be used to meet the requirements of the CPC08 Training Package.
- *CPCCLSF3001A Licence to erect, alter and dismantle scaffolding intermediate level*
 - Evidence the organisation has the mandated training materials to be used when delivering the unit of competency
 - The complete suite of assessment tools; including the context and conditions of assessment; the

mandated tasks to be administered to the student; any self-developed supplementary tasks to be administered to the student; an outline of the evidence to be gathered from the candidate; and the evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules), to be used to meet the requirements of the CPC08 Training Package.

- **RIIERR205A Apply initial response First Aid**
 - Evidence the organisation has the Safe Work training materials to be used when delivering the unit of competency
 - The complete suite of assessment tools; including the context and conditions of assessment; the mandated tasks to be administered to the student; any self-developed supplementary tasks to be administered to the student; an outline of the evidence to be gathered from the candidate; and the evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules), to be used to meet the requirements of the RII09 Training Package.
- Evidence to demonstrate the following trainers and assessors have continued to develop their VET knowledge and skills, as well as their trainer and assessor competence:
 - Kevin Hunter
 - Wayne Cross
 - David Basel
 - David Sherry
 - Phillip Bailey

SNR 18

Evidence provided to satisfactorily address the non-compliances identified at audit will demonstrate the organisation's chief executive has ensured the NVR registered training organisation has complied with the VET Quality Framework across all of its operations.

SNR 22

The organisation is required to evidence to demonstrate how it complies with Option 3 of the standard when delivering qualifications or units of competency that exceed \$1,000 as the cost of the course.

Analysis of rectification received by 2 April 2013

SNR 15

Rectification received:

- **BSB40807 Certificate IV in Frontline Management**
 - Training and assessment strategy which included information on packaging rules and units offered, clustered delivery, and a schedule of learning activities.
The evidence provided met rectification requirements.
- **BSBMGT402A Implement operational plan**
 - Assessment tools – the organisation advised they had replaced the assessment tools provided at audit. Revised assessment tools included a mapping document, instructor guide (including a marking guide), learner workbook (including activities, case studies, projects, and instructions), instructions for assessors, and a third party report.
As the tools provided were different to what was sighted at audit, the tools were reviewed in full as part of rectification. The tools met the requirements of the unit of competency at a minimum. The organisation should ensure it monitors the implementation and use of the assessment tools to ensure it captures the evidence it intends to collect.
- **BSB51407 Diploma of Project Management**
 - **BSBPMPG503A Manage project time**
 - **BSBPMPG504A Manage project costs**
 - Program outline which included information on resource requirements, assessment requirements, and a schedule of learning activities.
The evidence provided met rectification requirements.
- **CPC30511 Certificate III in Dogging**
 - **CPCCM1015A Carry out measurements and calculations**
 - Lesson plan for delivery, broken into sessions and identifying all resource requirements
 - PowerPoint presentation

- Learner workbook
- Assessment tools – multiple practical observation checklists, short answer exam with knowledge and skill based questions, marking guide for assessment. The short answer exam was also supported with a mapping guide.

The evidence provided met rectification requirements.

- *CPCCLSF3001A Licence to erect, alter and dismantle scaffolding intermediate level*

- Mandated training and assessment materials, and assessor marking guide
- Learner guide
- Lesson plan
- Additional assessment tools to supplement the mandated tools – including multiple practical observations, each mapped to the unit of competency.

The evidence provided met rectification requirements.

- *RIIERR205A Apply initial response First Aid*

- Extract from the Safe Work training materials.
- Assessment tools – mapping guide, assessment templates, assessor marking guide, and an assessment tool including theory questions and practical observations.

The evidence provided met rectification requirements.

- Evidence to demonstrate trainers and assessors have continued to develop their VET knowledge and skills, as well as their trainer and assessor competence – evidence included a detailed internal newsletter with information relating to VET knowledge and skills and trainer and assessor competence; team meeting agenda for 26 April 2013 (all staff attending); evidence that industry relevant bulletin emails have been sent to all trainers and assessors.

The evidence provided met rectification requirements.

SNR 18

The organisation's rectification response demonstrates the organisation's chief executive has ensured the NVR registered training organisation now complies with the VET Quality Framework across all of its operations.

SNR 22

Rectification received:

- Student handbook extract; which identified that payment terms were 50% on enrolment and 50% on competent completion.
- Confirmation that courses were valued at less than \$2,000.

The evidence provided met rectification requirements.