

AQTF Audit Report

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Outsource Services Pty Ltd – NTIS 31560

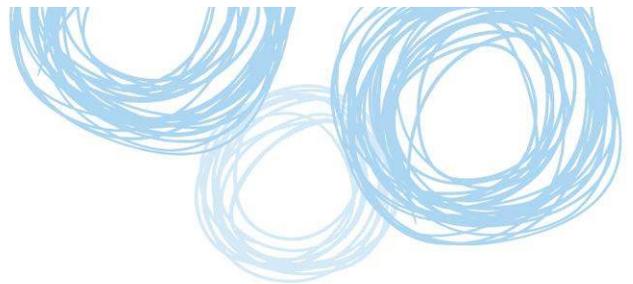
FM-PMA-34A
TRIM No: 09/182321
Version 1 - 9 October 2009
Training and International Quality

RTO details			
Registration expiry	20 November 2012		
Principal address	Fort Street, Milton, Qld, 4064		
RTO contact	Mr Carl Spruce	Phone number	3367 8993
Operations	<ul style="list-style-type: none"> The organisation's core clients include fee for service corporate clients, trainees and learners seeking RPL. Delivery is conducted via face to face and distance. The organisation has partnering agreements with various organisations. The two partnering agreements included in this audit are in regards to Upskilled Pty Ltd and Jade Corporate and Community Development. Outsource Services Pty Ltd has a 2009-10 Skilling Solutions Queensland Skills First (RPL) Program contract to the value of \$40,000. Student cohorts also include federally funded existing worker trainees and PPP funded learners. The PPP funding is paid by Manufacturing Skills Qld (MSQ). No delivery is conducted off shore or to overseas students. Completions for the previous 12 months: <ul style="list-style-type: none"> TAA40104 – Jade Corporate and Community Development 18 full delivery and 6 upgrades; Outsource 35 full delivery and 10 upgrades BSB40807 – Jade Corporate and Community Development 6; Upskilled Pty Ltd 22; Outsource 1 BSB40507 – Jade Corporate and Community Development 0; Upskilled Pty Ltd 8; Outsource 1. Current delivery: <ul style="list-style-type: none"> TAA40104 – Jade Corporate and Community Development 7 BSB40807 – Jade Corporate and Community Development 2; Upskilled Pty Ltd 630 BSB40507 – Jade Corporate and Community Development 4; Upskilled Pty Ltd 921. <p>Note: On 4 May 2010, Outsource Services advised the Department that it had terminated its partnering arrangement with Upskilled Pty Ltd. The partnering arrangement with Jade Corporate and Community Development is still active and viable.</p> <p>The Lead Auditor, Ms Kim Buchanan met with A/Senior Complaints Investigations Officer, Ms Cecilia Sorensen, to discuss the cancellation of the partnering arrangement between Outsource Services and Upskilled Pty Ltd. It was agreed that, as a result of this action, the organisation was no longer required to provide rectification evidence that related to its partnership with Upskilled Pty Ltd.</p>		
Audit team			
Lead auditor	Ms Kim Buchanan	Auditor/s	n/a
Phone	3247 5304	Adviser/s	Mr John Dwyer
E-mail	Kim.Buchanan@deta.qld.gov.au	Observer/s	Mr John Flower, Complaints Investigations Officer



Audit details			
Reasons for audit	Complaint		
Audit date/s	28 January 2010	Audit number/s	3156016895A
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.1, 2.2, 2.4, 3.1, 3.2.		
Conditions audited	5		
Audit outcome on day of audit	Compliant <input type="checkbox"/> Significant non-compliance <input checked="" type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance* <input type="checkbox"/> <small>[*Critical non-compliance cannot be determined if no delivery has occurred]</small>		
Rectification received	3, 12 and 20 May 2010		
Audit outcome following rectification	Compliant <input checked="" type="checkbox"/> Significant non-compliance <input type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>		
Other audit notes	<p>The complaint audit was scheduled in response to complaints received by the Department pertaining to:</p> <ul style="list-style-type: none"> the misuse of the NRT logo by Upskilled Pty Ltd and Jade Corporate and Community Development (<i>finalised prior to audit</i>) advertising - the organisation, in partnership with Upskilled Pty Ltd, is delivering BSB40507 and BSB40807 in eight days (<i>finalised prior to audit</i>) marketing including inaccurate qualification titles (<i>finalised prior to audit</i>) students enrolment with Upskilled Pty Ltd collection of student fees by Upskilled Pty Ltd on behalf of the RTO delivery of TAA4104 Certificate IV in Training and assessment in eight days. <p>Analysis of evidence provided to the Department prior to the conduct of the audit indicated the following additional issues regarding TAA40104, BSB40507, BSB40807:</p> <ul style="list-style-type: none"> gaps in the assessment process/tools addressing all unit requirements authentication/verification of evidence during the assessment process. <p>Element 2.3 was included in the audit as employers contribute to learner's assessment.</p>		

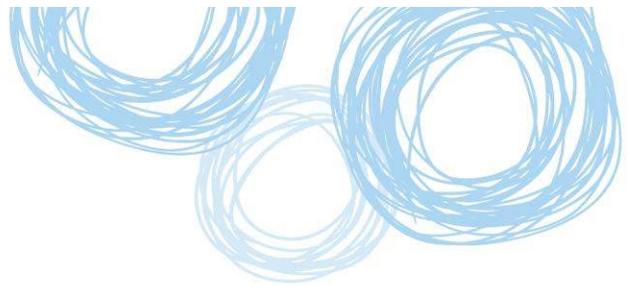
Focus of audit				
Code	Qualification/Course/Unit title	Regulated outcome	Delivery venues (list specific sites)	Govt funding (eg UC, PPP)
TAA40104	Certificate IV in Training and Assessment	<input type="checkbox"/>	Outsource Services Pty Ltd – client sites in QLD Classroom based in hired venues. Jade Corporate and Community Development – various sites	PPP from Manufacturing Skills Qld (MSQ)



BSB40807	Certificate IV in Frontline Management	<input type="checkbox"/>	Upskilled Pty Ltd – TAS, VIC, NSW, QLD, NT, SA. Outsource Services Pty Ltd – client sites in QLD	Existing worker trainees (Federal funding, \$4000)
BSB40507	Certificate IV in Business Administration	<input type="checkbox"/>	Upskilled Pty Ltd – TAS, VIC, NSW, QLD, NT, SA. Outsource Services Pty Ltd – client sites in QLD	Existing worker trainees (Federal funding, \$4000)

Interviewee/s – Staff (and position); Employers; Students

Carl Spruce, Managing Director
 Rowena Coombes, CEO
 Judy Sundin, National Training Manager
 Sandra Waugh, Office Manager/Quality Assurance
 Linda Douglas, Managing Director
 David Makin, Director of Education – Upskilled Pty Ltd Pty Ltd
 Julie Agnew, Jade Corporate and Community Development



Standard 1: The RTO provides quality training and assessment across all of its operations	
Elements	Examined at audit
1.1 The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.	<input checked="" type="checkbox"/>
1.2 Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry stakeholders.	<input checked="" type="checkbox"/>
1.3 Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.	<input checked="" type="checkbox"/>
1.4 Training and assessment are conducted by trainers and assessors who: <ol style="list-style-type: none"> a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors b) have the relevant vocational competencies at least to the level being delivered or assessed, and c) continue developing their vocational and training and assessment competencies to support continuous improvements in delivery of the RTO's services. 	<input checked="" type="checkbox"/>
1.5 Assessment, including Recognition of Prior Learning (RPL): <ol style="list-style-type: none"> a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements. 	<input checked="" type="checkbox"/>

Audit findings

At time of audit: <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant	Following rectification received 3 May 2010: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
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Technical advice has been incorporated into the findings for this standard for the following qualifications:

- TAA40104 Certificate IV in Training and Assessment.

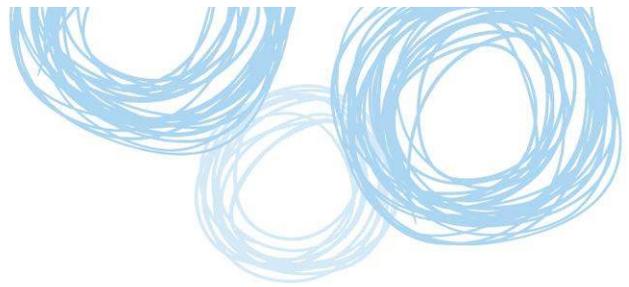
Findings:
 The organisation demonstrated that it has a systematic approach to the continuous improvement of its training and assessment services.

The organisation provided a strategy for training and assessment for BSB40807 Certificate IV in Frontline Management that sufficiently meets requirements.

Mr David Makin (Upskilled Pty Ltd)
 BSB40807 Certificate IV in Frontline Management
 BSB40507 Certificate IV in Business Administration
 Evidence provided supports that Mr Makin has the required training and assessment competencies and has participated in professional development activities relevant to training and assessment.

Delivery of TAA40104 Certificate IV in Training and Assessment is conducted by Outsource Services Pty Ltd and Jade Corporate and Community Development (partnering arrangement). All delivery by both organisations is classroom-based in hired venues. The learner cohort includes some PPP funded participants; however, most learners are funded by client organisations.

Evidence was provided to support that the primary and partner organisations have the facilities and equipment to support delivery of TAA40104. Evidence provided supports that Mr Carl Spruce and Judy Sundin (Outsource Services Pty Ltd) hold the required training, assessment and vocational competencies and have participated in relevant professional development activities. Mr Spruce also holds the unit TAATAS401A *Maintain information requirements of training and/or assessment organisations*.



Non-compliances:

The training and assessment strategy for BSB40507 Certificate IV in Business Administration lists all the units as electives and does not identify the 'administration' units within the qualification.

The organisation utilises an 'employer resource assessment' document that includes a check box against the following statement - *'does the employer have the relevant facilities and range of work that have been identified as necessary to train the apprentice or trainee in the competencies agreed in the training plan'*. The strategies for BSB40507 and BSB40807 include the following information in the 'delivery and assessment arrangements' section - *'because of the work-based focus of this program, participants need to be in a role where they can access the required resources to be competent in the units chosen'*. The strategy's 'infrastructure requirements' section states the organisation *'has reviewed the equipment and facility requirements for each unit of competency in the qualification and guarantees that it has access to the equipment and facilities needed to implement the program'*.

However, no evidence was provided to support that the organisation has conducted a review of the training package to identify specific facilities, equipment and resources that may be required by these qualifications. The organisation did not demonstrate a proactive approach to the reviewing of training packages in general for the purposes of identifying required resources. To support these findings the organisation verbally provided an example of its reactive response whereby after a learner had enrolled in and commenced a unit of competency, it had become apparent that the learner required access to 'Microsoft Access' to address all the requirements of this unit. This particular issue was resolved when the learner changed their selection of units. No evidence was provided to support that this incident has informed the organisation's continuous improvement processes to prevent a similar event occurring thereby ensuring learners have access to facilities, equipment and resources as per training package requirements.

Mr David Makin (Upskilled Pty Ltd)

BSB40507 Certificate IV in Business Administration

BSB40807 Certificate IV in Frontline Management

Insufficient evidence was provided to support that Mr Makin has the relevant vocational or demonstrated equivalent competencies to deliver the qualifications listed above. Insufficient evidence was provided to support that Mr Makin has participated in ongoing industry development to support delivery of these qualifications. Analysis of evidence determined that Mr Makin's work history incorporates some administration skills; however, the majority of his work experience is at a higher AQF level ie senior management.

Analysis of assessment tools:

BSB40507 Certificate IV in Business Administration

BSBADM407A Administer projects

The organisation provided 1 – 22 of the master assessment kit for this unit and completed student files for Kylie Burton and David Beverage. The assessment tools provided comprise:

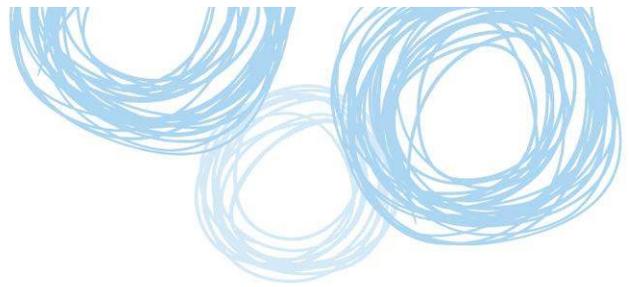
- question and answer assessment consisting of nine short answer questions
- project comprising three templates to be completed
- workplace document portfolio
- observation/demonstration checklist consisting of the performance criteria.

BSB40807 Certificate IV in Frontline Management

BSBCMM401A Make a presentation

The organisation provided master assessment tools and completed student files for Clayton Jones and Elizabeth Walter. The assessment tools provided comprise:

- question and answer assessment consisting of nine short answer questions
- observation/demonstration checklist consisting of the performance criteria
- workplace document portfolio
- presentation project



- four assessment sheets for a learner's recording of: the structure of the presentation; audience and venue profile; audience feedback (peer/s to complete) and self assessment
- supervisor assessment comprising the performance criteria.

Note: the organisation also provided a smallPRINT version VC1, January 2009 learner guide for this unit; however, no further information was provided regarding its use.

Analysis of the assessment tools determined the following:

- gaps exist in addressing all the units' requirements necessary to achieve the performance criteria, particularly the critical aspects of evidence, underpinning knowledge and underpinning skills. Specifically regarding *BSBCMM401A* the tools do not address the critical aspect for assessment requirement – *'preparation, delivery and evaluation of the effectiveness of at least two presentations related to the candidate's occupation or area of interest'*
- the tools do not ensure that sufficient evidence is gathered to determine a valid judgement of competence
- the instructions provide for an assessor to *'select the 2 most appropriate methods of assessment with the participant'*; potentially, leading to a combination of two assessments that in combination do not ensure all unit requirements are addressed
- 'Assessor comments and feedback sheet' provides for an *'assessor to record results from observation or demonstration (simulated environment) assessment'*. The feedback sheet further states that the observation/demonstration is *'based on the completion of several activities during the training session the participant was observed successfully displaying the competency requirements'*. However, no evidence was provided of the smallPRINT resource activities that contribute to this assessment task
- the assessment coversheets indicate the following methods of assessment: Q - interviewing/questioning; W – written; D – demonstration; O – observation; C – case study; P – portfolio of evidence; R – role play; T – third party report; WD – workplace documents; S – scenario. However, no evidence was provided to support that assessment/recording tools have been developed for the methods indicated as: Q; C; R; T; S for *BSBADM407A* and Q, C, P, R, WD and S for *BSBCMM401A*
- the performance criteria checklists have not been interpreted into the observable behaviours/tasks a learner must demonstrate. Discussions confirmed no benchmark criteria outlining the expected standard of performance have been developed for the observation checklist to enable assessors to determine valid and consistent judgements of competence across a range of learners. The checklist does not include sufficient instructions regarding the context and purpose of the assessment i.e. the specific tasks to be observed
- the assessment tasks outlined in the mapping document, coversheet and comment/feedback sheets do not align with the strategy for training and assessment
- some of the completed student assessments do not contain fulsome responses from the learner for the short answer questions; however, these questions have been marked correct. For example, the file for Clayton Jones (*BSBCMM401A*) includes one to three word responses to questions that require explanations or descriptions. Discussions with the representative from Mr Makin, Upskilled Pty Ltd indicated that this learner would have provided supplementary verbal responses that had not been recorded.

Discussions with Upskilled Pty Ltd indicated that its assessment processes may involve the collection of additional evidence to that required by the assessment tasks; however, this evidence is not appropriately recorded in order to defend an assessment decision. Discussions also indicated that benchmark criteria have not been developed for each assessment task. Upskilled Pty Ltd advised that an assessor interprets/unpacks a unit each time it is assessed and that Mr David Makin audits one in ten completed assessments to determine whether sufficient evidence has been gathered. This does not constitute a valid and reliable assessment process and supports that the organisation has not developed suitable benchmark criteria or provide assessors with sufficient and consistent guidance for assessment. Additionally, this process has the potential for a learner to have their assessment decision reversed by Mr Makin; potentially, leading to the learner submitting a complaint with the Department.

Analysis of the assessment tools incorporates Standard 2 as workplace supervisors are involved in the assessment process; however, no additional rectification evidence is requested for Standard 2.



Analysis of TAA40104 Certificate IV in Training and Assessment (*technical advice provided*)

Complaint regarding the delivery of TAA40104 over five days.

This complaint is **partly substantiated**. Face-to-face delivery occurs over five (5) days with the option of an additional day (Outsource Services Pty Ltd) and over six and a half (6 ½) days (Jade Corporate and Community Development - partnering arrangement). However, this is supplemented by an additional 21 days to complete final assessment tasks with the possibility of additional negotiated time, with additional time often allowed. The time allocations detailed in both sets of documentation differ and overall allocation as outlined above is inadequate. Both Outsource Services Pty Ltd and Jade Corporate and Community Development agreed on the need to amend the strategies to more accurately reflect that more flexibility is available with regard to time allocations for the completion of assessment tasks. The technical adviser recommends that the RTO attempts to extend its face-to-face delivery arrangements or spreads these delivery days over a longer period of time (ie deliver one theme and then leave time for reflection, practice and assessment activities, before delivery of the next theme).

No evidence was provided of how industry/enterprise feedback has been used to develop and/or review the training and assessment strategies.

There are differences between the strategies and documentation used by Outsource Services Pty Ltd and Jade Corporate and Community Development. Evidence supports that Outsource Services Pty Ltd does not appear to hold copies of Jade Corporate and Community Development documentation or be aware of exactly where these differences are.

Complaint regarding insufficient evidence that assessment occurred to meet unit requirements.

This complaint is **substantiated**. Summative assessment is limited to six (6) assessment tasks completed in the 'follow-up' 21 day period. Given that this qualification contains 14 units of competency and a number of these assessment tasks are restricted to a few questions about a few of these units, it is difficult to determine how the all of the unit requirements of all of the units are addressed. Assessment Tasks 5 and 6 are holistic tasks and do appear to cover significant parts of the units but this coverage is not made explicit and so cannot be confirmed.

TAADES401B Use Training Packages to meet client needs

Analysis of the assessment tools determined that the knowledge assessment does not fully address the knowledge requirements of the unit. The organisation provided evidence to support that it has conducted a documented analysis that demonstrates how the questions and practical activities align to the performance criteria (marked with an 'X'). The analysis does not include alignment of the questions to the knowledge requirements or provide information about which questions are involved. No alignment of the practical activities has been conducted to the specific evidence requirements and required skills. The 'X' does not indicate which aspect of the task is involved.

TAAASS403B Develop assessment tools

No evidence was provided of assessment tools that address the required knowledge aspect of the unit. The organisation provided evidence to support that it has conducted a documented analysis that aligns the practical activities against the performance criteria (marked with an 'X'). No alignment of the practical activities has been conducted to the specific evidence requirements and required skills. The 'X' does not indicate which aspect of the task is involved.

Overall:

There is insufficient assessment of the knowledge requirements associated with this AQF level 4 qualification. There is no knowledge assessment at all for one of the units and where knowledge assessment is undertaken, some of the questions are not written at AQF level 4. Although it should be noted that analysis of student files evidenced that some Outsource Services Pty Ltd participants answered some of these 'low level' questions in theoretical ways that demonstrated AQF level 4 knowledge requirements.

It is of concern that there appears to be differences between the assessment tools being used by Outsource Services and its partner organisation Jade Corporate and Community Development. In some cases the questions asked are different and, with regards to *TAAASS403B*, the practical tasks set by Jade Corporate and Community Development do not satisfy specific



evidence requirements whereas the tasks set by Outsource Services do. The technical adviser was advised that the discrepancy had occurred because participant's work sighted was based on different versions of the tools. Whilst this is conceivable, discussions indicated that Jade Corporate and Community Development sometimes veer from the set tasks. It is suggested that such differences are negotiated and documented with the RTO and copies held by the RTO.

Note: The participant work sighted had been marked carefully by assessors and judgements made were consistent with the tasks set and benchmark criteria provided. As indicated above there are gaps in the existing assessment tasks so that some of these 'competent' judgements are at risk. However, the technical adviser was pleased with the quality of the responses provided by Outsource Services Pty Ltd participants. It is clear that these participants have made use of the extensive resources available on the USB stick they are provided with. It was more difficult to see this coverage in the work of Jade Corporate and Community Development participants but the work sighted was adequate within the limitations of the current assessment tasks.

The organisation provided evidence of training resources that are appropriate; however, no guidance is provided to trainers as to how these are to be used. The materials have not been aligned with unit requirements to ensure that all aspects of the units are addressed. The following evidence of training materials was provided for *TAADES401B Use Training Packages to meet client needs*:

- Outsource Services Pty Ltd
 - a 17 page learner guide that provides information by elements. This guide did not include information for Element 2.
 - an incomplete session plan template
- Jade Corporate and Community Development Trainer/Assessor Resource Folder
 - an incomplete session plan template.

No session/lesson plans or other documentation indicating how resources are used or how they address the unit requirements were provided for *TAAASS403B Develop assessment tools*.

Ms Leesa Jackson (Outsource Services Pty Ltd)

Insufficient evidence was provided to demonstrate that Ms Leesa Jackson (Outsource Services Pty Ltd) has the training, assessment and vocational competencies and participated in relevant professional development activities to deliver TAA40104. For example, no transcript of units of competency or a resume was provided and limited information was available regarding professional development.

Ms Julie Agnew (Jade Corporate and Community Development)

Insufficient evidence was provided to support that Ms Agnew holds the unit *TAATAS401B Maintain information requirements of training and/or assessment organisations*.

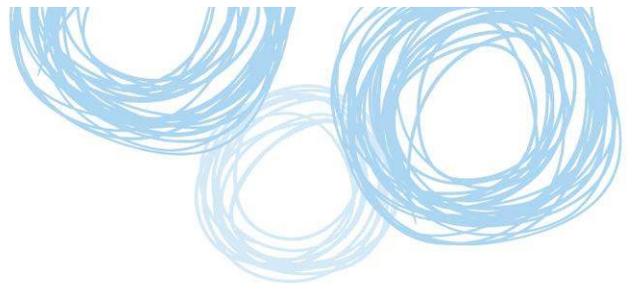
Implications for training/assessment quality:

The non-compliances identified regarding nominated trainers/assessors; strategies for training and assessment; resources and assessment tools may potentially lead to a significant adverse impact on quality training outcomes.

Rectification required:

The organisation is requested to provide:

- an updated strategy for BSB40507 Certificate IV in Business Administration that correctly lists and identifies the core and elective units within the qualification
- evidence that it has developed mechanisms to identify training package requirements to ensure learners have access to required facilities, equipment and resources
- evidence to demonstrate that Mr David Makin (Upskilled Pty Ltd) holds the vocational competencies and has participated in ongoing industry development to deliver BSB40507 Certificate IV in Business Administration and BSB40807 Certificate IV in Frontline Management. Should Mr Makin be removed as a nominated trainer/assessor for these qualifications, the organisation is to provide evidence to support the replacement trainer/assessor meets the requirements of Element 1.4 in



the delivery of these qualifications

BSB40507 Certificate IV in Business Administration

BSBADM407A Administer projects

BSB40807 Certificate IV in Frontline Management

BSBCMM401A Make a presentation

Analysis of the assessment tools incorporates Standard 2; however, no additional rectification evidence is requested for Standard 2.

The organisation is requested to provide a full range of assessment tools for the units listed above. The assessment tools are to address all unit requirements including, for example, critical aspects for assessment, required skills and knowledge. The organisation is also to provide the benchmark criteria that support these assessment tools. The assessment tools are to include sufficient information regarding the context and purpose of assessment.

Where an observation checklist and/or third party report forms part of the assessment process, the tool used is to interpret the requirements of the unit of competency into observable behaviours/workplace tasks in accordance with industry and unit requirements. The organisation must ensure it has a strong process in place for the collection of assessment evidence from the workplace. The evidence collected must clearly demonstrate that: the employer has understood their role in the evidence gathering process; the assessment tools gather sufficient evidence of the student's competence consistent with workplace tasks, workplace terminology and unit requirements; the assessor's final determination of competence will be based on evidence that is valid, reliable and sufficient. These tools are to be supported by benchmark criteria that indicate the standard of performance for competency to be achieved.

It is suggested the organisation refers to the following Departmental clarifying statement regarding employer contribution to assessment decisions <http://training.qld.gov.au/resources/training-organisations/pdf/employer-contribution.pdf>

The organisation is requested to provide evidence that the assessment tools align with the strategy for training and assessment i.e. updated and amended strategies.

Note: Should learners and/or assessors be permitted to select from a range of assessment tools when undertaking assessment of a unit, the organisation is to provide evidence of a mechanism that ensures any combination of assessment tools selected will address all the requirements of a unit.

Should any of the 'learning activities' are to form part of the assessment outcome, the organisation is required to make this clear to students, trainers and assessors. These resources are also to be included for the analysis of assessment materials in the organisation's rectification evidence submission.

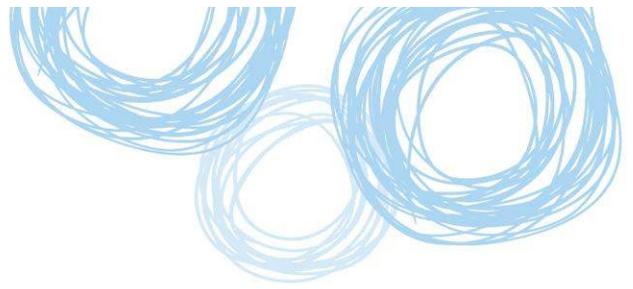
TAA40104 Certificate IV in Training and Assessment

The organisation is requested to provide:

- strategies for training and assessment that include updated time allocations and delivery and assessment arrangements
- evidence to support that the RTO and Jade Corporate and Community Development will either use strategies and support documentation that correlate or evidence of how the RTO will negotiate agreed differences in these resources and retain copies of Jade Corporate and Community Development's strategies and documentation as part of its official records
- evidence of actual consultation with client groups with regard to the development and/or review of the strategies.

The organisation is requested to submit evidence to demonstrate that it provides trainers/assessors with sufficient guidance for the use of the training materials examined for TAA40104. This could be in the way of either:

- a trainer/assessor guide for each of the units examined - *TAADES401B* and *TAAASS403B* (or for the clusters in which they are embedded). The guide should include information regarding how the resources are to be used to facilitate the delivery of each of the units and demonstrate alignment of the provided materials against unit requirements. This alignment should be specific, linking defined sections of defined resources to defined aspects of the units. The guide could



also include information about how assessment of these units is to be conducted. Alternatively, the organisation may choose to submit

- detailed session/lesson plans for each of the examined units. These plans should link time allocations and content to be covered; and delivery processes to be used (e.g. discussion, role play; lecture); and specific reference to resources to be used (e.g. Learner Guide, page 12, activity 2; PowerPoint slides 3 and 4; website x, section; etc). The plan could also link assessment activities to the training activities.

Ms Leesa Jackson (Outsource Services Pty Ltd)
TAA40104 Certificate IV in Training and Assessment

The organisation is requested to provide evidence to support that Ms Jackson has the training, assessment and vocational competencies to deliver TAA40104 Certificate IV in Training and Assessment. Evidence is to include a copy of the transcript of units completed within this qualification. In particular, evidence is required to support that Ms Jackson either formally holds the unit *TAATAS401B Maintain information requirements of training and/or assessment organisations* or can demonstrate equivalence in this unit. The organisation is also requested to provide evidence of Ms Jackson's work history (i.e. resume) and professional development activities undertaken (or planned). Relevant professional development activities includes those related to competency based training and assessment; AQTF; AQF etc.

Ms Julie Agnew (Jade Corporate and Community Development)

The organisation is requested to provide evidence to support that Ms Agnew holds the unit *TAATAS401B Maintain information requirements of training and/or assessment organisations* or can demonstrate equivalence in this unit.

TAADES401B Use Training Packages to meet client needs
TAAASS403B Develop assessment tools

The organisation is requested to provide evidence of amended assessment tools that address all the knowledge requirements of the unit and are written at AQF level 4. The organisation is also requested to provide evidence to support that it has conducted a documented analysis (alignment) that shows how the assessment activities relate to all aspects of the units, in particular the required skills, required knowledge, specific evidence requirements and performance criteria. This alignment is to align the actual question number and practical activity with the relevant aspect of the unit.

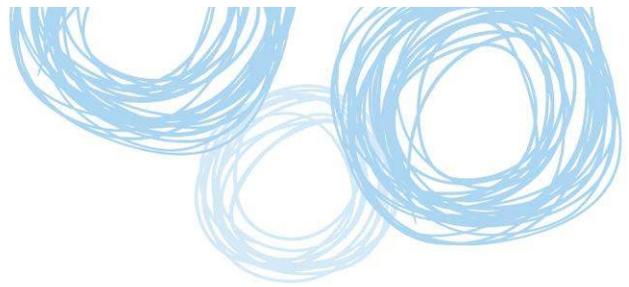
Rectification evidence received 3 March 2010:

The organisation provided:

- an updated strategy for BSB40507 Certificate IV in Business Administration that correctly lists and identifies the administrative and elective units within the qualification
- evidence that it:
 - provides online access to software including MS Excel, Access and Publisher so that students do not require copies of the software programs
 - ensures laptops are made available to Upskilled students
 - has developed an employer resource checklist to ensure learners have access in the workplace to facilities, equipment and resources.

Evidence for Mr David Makin

The organisation provided additional information regarding Mr Makin's qualifications and training and professional development activities. The information provided demonstrated Mr Makin has significant experience in the development of assessment tools for the CHC08 Community Services Training Package, Certificate I-IV in General Education for Adults and other areas within the VET sector. The evidence also indicates he has highly proficient skills in frontline management and in the use of technologies and its applications. The organisation provided a matrix that sufficiently mapped Mr Makin's vocational competence to the requirements of the units of competency he is nominated to deliver. The organisation also provided a list of planned professional development for business and frontline management related activities as well as a comprehensive list of activities to demonstrate industry currency.



Evidence for Ms Karen Gardner

The organisation provided information regarding the vocational competence for Ms Gardner, which the organisation states is 'closely aligned to the level of training that Upskilled deliver...' The information does not include any reference to Ms Gardner's role as a trainer/assessor for Upskilled and it is not clear what relevance this information has, as part of the rectification process. Although Ms Gardner has significant expertise in the areas of VET, there is no evidence to support the vocational competence for Ms Gardner for the qualifications audited.

BSB40507 Certificate IV in Business Administration

BSBADM407A Administer projects

The organisation provided the following assessment tools (including benchmark information):

- Question and answer task (either nine oral or written questions including benchmark information) regarding the administration aspects of a project. This is a well-constructed tool with clear instructions regarding the context and purpose of assessment for the student and assessor.
- Observation checklist for workplace assessment – requires the assessor to assess a participant across a range of project-based tasks completed in the workplace. The required tasks involve a significant range of integrated tasks that meet the requirements of the elements and performance criteria. This includes acknowledging the participant 'was able to develop project plans which identified activities and key milestones'; however there are no assessment activities for the participant to complete. It is unclear how the assessor would verify the authenticity of the participant's work, if the task was already completed.
- Project – 'Outlining a project' – using a workplace project the participant is about to be involved in or is currently involved in. It is unclear how the assessor would verify the authenticity of the participant's work, if the task was already underway and included more than the participant.
- Workplace document assessment – to be assessed as verification of the participant's skills. It is unclear how the assessor would verify the authenticity of the participant's work.
- Supervisor assessment – this is a third party report that includes clear instructions for the workplace supervisor. The tasks have been taken from the observation checklist.

BSB40807 Certificate IV in Frontline Management

BSBCMM401A Make a presentation

The organisation provided the following assessment tools:

- Question and answer task (either five oral or written questions including benchmark information) regarding effective communication principles. This is a well-constructed tool with clear instructions regarding the context and purpose of assessment for the student and assessor.
- Observation checklist for workplace assessment – states observation criteria "practical demonstration of skills"; however, it is not clear what the task is. The instructions request the assessor to insert examples of workplace documents; however it is not clear what documents should be collected and how it relates to a practical demonstration of communication skills.
- Project - three minute presentation, including the following templates:
 - an audience profile checklist
 - a venue reconnaissance checklist
 - an audience and assessor feedback form; and
 - a self assessment review and action plan
- Third party report that includes clear instructions for the workplace supervisor. The tasks have been taken from the observation checklist.

The assessment tools did not address:

- ***the critical aspects of evidence including at least two presentations***
- ***the required skills for culturally appropriate communication skills***
- ***the required knowledge regarding legislative provisions that may affect business operations.***

The observation checklist for workplace assessment tool did not provide for more than one demonstration of a task;



nor is there opportunity for evidence of reassessment.

The organisation did not provide sufficient evidence to align the assessment tools with the strategy for training and assessment. For example, the assessment strategy for BSB40507 Certificate IV in Business Administration provides a holistic overview of assessments primarily determined in the workplace. The strategy does not identify the specific non-workplace assessments required for BSBCMM401A Make a presentation.

TAA40104 Certificate IV in Training and Assessment

The organisation provided:

- A strategy for training and assessment that includes updated time allocations and delivery and assessment arrangements
- An email dated 11 February 2010 from Jade Corporation and Community Development to Outsource Services Pty Ltd confirming the use of strategies and support documentation provided by Outsource Services Pty Ltd
- Evidence of minutes referring to consultation with client groups with regard to the review of the strategies (including the original draft document dated 17/2/2010).
- A detailed lesson plan and matrix (A3) to provide trainers/assessors with guidance for the use of the training materials examined for TAADES401B and TAAASS403B, including time allocations and content to be covered; delivery methods and resources to be used and links assessment activities to the training activities.

Leesa Jackson (Outsource Services Pty Ltd)

Trainer/assessor of following qualifications/units/courses within scope of audit:

- TAA40104 Certificate IV in Training and Assessment

Y N

- Training and assessment competencies
- TAA40104 Certificate IV in Training and Assessment; Directions (Australia) Pty Ltd; 2509; June 2008 for the following units of competency:
- TAAASS401C; TAAASS402A; TAAASS403A; TAAASS404B; TAADEL301C; TAADEL401B; TAADEL402A; TAADEL403A; TAADEL404B; TAADES401B; TAADES402B; TAAENV401B; TAAENV402B; TAAENV403B
- ***No evidence was provided to demonstrate competence in TAATAS401B.***
- Relevant vocational qualifications
- As above
- Relevant vocational experience and ongoing development
- 2009 – current – Trainer Consultant
 - 2008 – 2009 - Contract Trainer – no details provided
 - 2007 – 2008 – Consultant/trainer in Community Services sector – Directions Australia
 - 2006 – 2007 – Industry consultant – Sarina Russo Apprenticeship Services
No further evidence was provided to support vocational experience
- Relevant professional development in training/assessment
- ***Insufficient evidence was provided of relevant professional development undertaken or planned regarding CBT, CBA, AQTF, AQF etc.***

Ms Julie Agnew (Jade Corporate and Community Development)

The organisation provided sufficient evidence to support that Ms Agnew can demonstrate equivalence for the unit TAATAS401B *Maintain information requirements of training and/or assessment organisations*. Ms Agnew is CEO for MADEC (RTO) and Jade Corporation and has extensive experience of professional performance in the vocational education and training field. The organisation provided evidence of performance in professional standards and procedures, and the processes and outcomes involved in determining professional development needs and participating in associated activities. Ms Agnew is



actively engaged in the provision of training/assessment services within a training and/or assessment organisation.

Leesa Jackson (Outsource Services)

Ms Jackson provided a copy of TAA40104 Certificate IV in Training and Assessment; Directions Australia; 2509; 26 June 2008, with its accompanying transcript. She also provided a matrix demonstrating her equivalence to TAAENV501B.

Ms Jackson provided a current resume. This provided evidence that she has been involved in a considerable amount of training and assessment since 2005 with incidental training experiences prior to that.

Ms Jackson submitted various email communications linked to her ongoing professional development. She also provided a detailed schedule of activities undertaken in 2009 and planned or undertaken in 2010. She has attended a number of ACPET and VELG workshops

Analysis of additional/amended evidence provided on 12 May 2010:

TAADES401B Use Training Packages to meet client needs

- A knowledge assessment tool was provided for this unit. This contains nine (9) questions. These questions have been aligned with performance criteria and required knowledge components of the unit. Also knowledge components of other assessment tasks have been aligned with components of this unit, and the assessment matrix provided seems to indicate adequate coverage.
- Specified practical activities within various Assessment Tasks have now been aligned with components of this unit, including performance criteria and required skills.

It is noted that the detailed assessment matrix provided does not include any references to the specific evidence requirements for this unit. No amended "marking guide" was provided for this tool. (Note the "marking guide" is part of an assessment tool. See the AQTF definition of an assessment tool that refers to the instrument and procedures that together constitute an assessment tool.) This needs to be addressed as part of the RTO's continuous improvement process.

TAAASS403B Develop assessment tools:

- No detailed knowledge assessment task was provided for this unit, although Assessment Task 8, a new assessment activity, provides a "final assessment of required knowledge". This includes questions that address some of this unit's knowledge requirements. A marking guide has been provided.
- Questions within other assessment tasks have been aligned with performance criteria and required knowledge components of the unit. Without having access to all of the Assessment Tasks there is no way of establishing whether all of the knowledge requirements of this unit have been addressed. However, the assessment matrix provided seems to indicate adequate coverage.
- Specified practical activities within various Assessment Tasks have now been aligned with components of this unit, including performance criteria and required skills.

It is noted that the detailed assessment matrix provided does not include any references to the specific evidence requirements for this unit. This is of concern, because the summary of assessment tasks provided in the "learning and assessment strategy" appears to indicate that the specific evidence requirements of this unit are NOT being met. This needs to be addressed as part of the RTO's continuous improvement process.

Note:

On 4 May 2010, Outsource Services advised the Department that it had terminated its partnering arrangement with Upskilled Pty Ltd. The partnering arrangement with Jade Corporate and Community Development is still active and viable.

The Lead Auditor, Ms Kim Buchanan met with A/Senior Complaints Investigations Officer, Ms Cecilia Sorensen, to discuss the cancellation of the partnering arrangement between Outsource Services and Upskilled Pty Ltd. It was agreed that, as a result of this action, the organisation was no longer required to provide rectification evidence that related to its partnership with Upskilled Pty Ltd including evidence relating to the qualifications BSB40807 and BSB40507.



Strengths
The technical adviser noted that there is a regular moderation process in place to ensure consistency of judgements made by assessors from each organisation delivering TAA40104 Certificate IV in Training and Assessment.
Opportunities for Improvement
The technical adviser noted: <ul style="list-style-type: none"> The learning and assessment strategy includes an “assessment strategy” that does not fully address the specific evidence requirements of some units in this qualification. This needs to be upgraded as part of the organisation’s continuous improvement process. The host organisation will need to monitor the training delivery arrangements made by its partnering organisation.

Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients

Elements	Examined at audit
2.1 The RTO continuously improves client services by collecting, analysing and acting on relevant data.	<input checked="" type="checkbox"/>
2.2 Before clients enrol or enter into a contract, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.	<input checked="" type="checkbox"/>
2.3 Employers and other parties who contribute to each learner’s training and assessment are engaged in the development, delivery and monitoring of training and assessment.	<input checked="" type="checkbox"/>
2.4 Learners receive training, assessment and support services that meet their individual needs.	<input checked="" type="checkbox"/>

Audit findings

At time of audit: <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not compliant	Following rectification received 03/05/2010: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not compliant
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Findings:

The organisation demonstrated that it has a systematic approach to the continuous improvement of its client services.

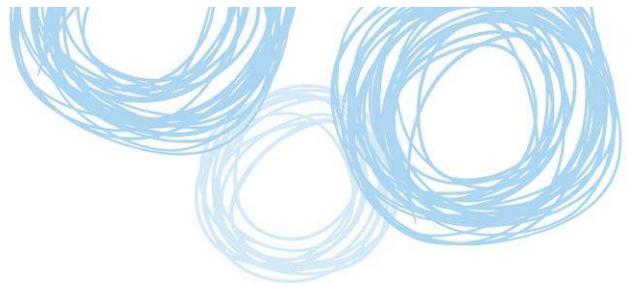
Complaint regarding student enrolment with Upskilled Pty Ltd
The enrolment forms and student information provided to learners by Jade Corporate and Community Development and Upskilled Pty Ltd prior to enrolment clearly articulate that these organisations provide training and assessment services within a partnership arrangement with Outsource Services Pty Ltd. Upskilled Pty Ltd utilises the Outsource Services Pty Ltd enrolment form. Pre-enrolment information provided to learners by the partnering organisations clearly outlines that Outsource Services Pty Ltd is the primary registered training organisation and is responsible for the issuance of qualifications/statements of attainment. Evidence sighted included a document that contained a frequently asked questions (FAQ) section which contained an ambiguous answer to the question ‘are you registered’. The organisation amended this document at audit, to clearly indicate ‘no’ followed by an explanation to ensure the response would not be misinterpreted.

The organisation provided evidence to support that learner’s needs are systematically assessed and they are informed of how to access the services they may require to complete their program.

Non-compliances:
Element 2.3 was included in the audit as employers contribute to learner’s assessment. Non-compliances identified have been recorded against Standard 1.

Rectification required and analysis of rectification evidence received:
Refer to Standard 1.

Note:
On 4 May 2010, Outsource Services advised the Department that it had terminated its partnering arrangement with Upskilled Pty Ltd. The partnering arrangement with Jade Corporate and Community Development is still active and viable.



The Lead Auditor, Ms Kim Buchanan met with A/Senior Complaints Investigations Officer, Ms Cecilia Sorensen, to discuss the cancellation of the partnering arrangement between Outsource Services and Upskilled Pty Ltd. It was agreed that, as a result of this action, the organisation was no longer required to provide rectification evidence that related to its partnership with Upskilled Pty Ltd including evidence relating to the qualifications BSB40807 and BSB40507.

Strengths

- Learners are provided with a comprehensive student handbook.

Opportunities for Improvement

- Nil identified.

Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates

Elements	Examined at audit
3.1 The RTO uses a systematic and continuous improvement approach to the management of operations.	<input checked="" type="checkbox"/>
3.2 The RTO monitors training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the <i>AQTF 2007 Essential Standards for Registration</i> .	<input checked="" type="checkbox"/>

Audit findings

At time of audit:

- Compliant
 Not Compliant

Following rectification received 03/05/2010:

- Compliant
 Not Compliant

Findings:

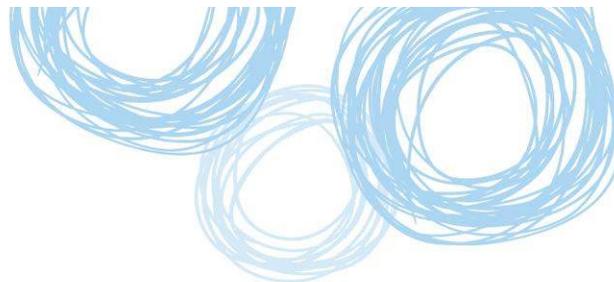
The organisation provided evidence to support that it has a systematic and continuous improvement approach to the management of its operations. The organisation also advised that it has retained the services of a consultant since November 2009. Moderation meetings with partner organisations are conducted via telephone twice a month. These meetings are minuted and improvements identified are recorded in a 'continuous improvement' folder. The organisation advised that from June 2010, all partnering organisations will be required to attend one 'best practice' in-house workshop per year.

The organisation is currently developing a web based learning management system titled 'Accelerate'. This system incorporates a learner database and when fully developed will store assessment materials and enable learners to access their information through a student portal. 'Accelerate' has the capacity to track changes made to the information contained within the system. Jade Corporate and Community Development is currently using 'Accelerate'; however, do not have full access to the system.

At audit, the organisation advised that it has recruited an 'Alliance Partner Manager' to commence employment in two weeks. It is intended that the Alliance Partner Manager will oversee the RTO's partner organisations and monitor compliance. The draft position description for this role does not include detailed information regarding the role's responsibilities.

The organisation provided evidence of a draft generic partnering agreement that it intends finalising within the next month. Whilst this document contains a greater amount of detail than the current partnering agreements in use it did not impact upon the findings of Element 3.2 as it has not yet been implemented. Analysis of the draft document determined the following for consideration by the organisation:

- the linkages between the agreement and the partnering manually could be strengthened
- the continuous improvement section (11) broadly outlines that the RTO will ensure all of its systems, qualifications, programs and policies and procedures meet legislative requirements and are compliant and that a system of continuous improvement is in place. However, it does not clearly articulate how the organisation will monitor these processes i.e. what



mechanisms it has in place

- the documentation does not include reference to the 'Alliance Partner Manager' or the role they will play in monitoring adherence to this agreement
- the draft manual is not clearly identified
- it is suggested the organisation amends information regarding enrolments to clearly articulate that the student induction kit be provided to learners prior to enrolment.

Non-compliances:

The organisation's response letter to the Department dated 12 October 2009, outlines that the RTO has self-identified that it has areas requiring improvement in education and monitoring of its 'alliance partners'. It further indicated that the RTO was reviewing all materials in relation to partnering and developing a complete quality manual. However, at audit, the organisation provided evidence of signed partnering agreements with Jade Corporate and Community Development and Upskilled Pty Ltd and a blank template that did not meet the requirements of the AQTF. The auditor sighted a signed deed of confidentiality between the RTO and Jade Corporate and Community Development dated 9 July 2007 and a 'consultancy agreement for training and assessment form 48.1' between the RTO and Upskilled Pty Ltd, dated 17 March 2009. The copy of this agreement was not dated by the RTO.

The partnering agreements (consultancy agreement – form 48.1) do not include sufficient information regarding the responsibilities of each party or the monitoring of the implementation of these agreements. In addition, these agreements do not include sufficient detail regarding how training and assessment services are monitored to ensure they are being adhered to and that improvements are made, where required. For example, the current agreement does not outline that partner organisations will utilise strategies and assessment materials that are approved by the RTO.

Implications for training/assessment quality:

Insufficient information is included in the organisation's partnering agreements to ensure the RTO's effective monitoring of the training and assessment services provided on its behalf to ensure compliance with the AQTF; potentially leading to a significant impact on quality outcomes for learners.

Rectification required:

The organisation is requested to provide evidence to support that its partnering agreements, particularly those held with Jade Corporate and Community Development and Upskilled Pty Ltd include sufficient detail outlining the responsibilities of each party and how it will monitor the arrangements and training/assessment services to ensure compliance with the requirements of the AQTF.

Rectification evidence received 3 March 2010:

The organisation provided a copy of an amended partnering arrangement with Jade Corporate and Community Development, dated 1 March 2010, that clearly outlines the roles and responsibilities of all parties, including:

- Schedule A: Outsource Services Pty Ltd – process overview with action plan and timelines for monitoring compliance with AQTF requirements
- Schedule B: Jade Corporate and Community Development timeline (created Feb 2010) – mapped to AQTF 2005 standards
- Schedule C: partnering arrangement checklist template
- Schedule D: service rates
- Schedule E: qualification register.

Note:

On 4 May 2010, Outsource Services advised the Department that it had terminated its partnering arrangement with Upskilled Pty Ltd. The partnering arrangement with Jade Corporate and Community Development is still active and viable.

The Lead Auditor, Ms Kim Buchanan met with A/Senior Complaints Investigations Officer, Ms Cecilia Sorensen, to discuss the cancellation of the partnering arrangement between Outsource Services and Upskilled Pty Ltd. It was agreed that, as a result of this action, the organisation was no longer required to provide rectification evidence that related to its partnership with



Upskilled Pty Ltd including evidence relating to the qualifications BSB40807 and BSB40507.
Strengths
<ul style="list-style-type: none"> Nil identified.
Opportunities for improvement
<ul style="list-style-type: none"> Note Schedule B: Jade Corporate and Community Development timeline (created Feb 2010) – mapped to AQTF 2005 standards.

Conditions of registration	
Conditions	Examined at audit
5 Financial management	<input checked="" type="checkbox"/>

Audit findings	
At time of audit: <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant	Following rectification received 20/05/2010 <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

The conditions of registration listed above were reviewed for this audit as:

- complaint issues investigated pertain to the acceptance of fees on behalf of the RTO.

Findings:
 The refund policy provided for Upskilled Pty Ltd met requirements.

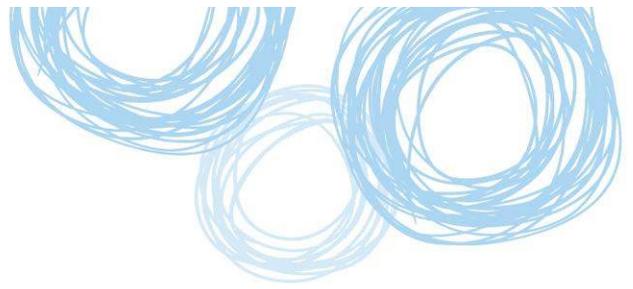
Non-compliances:
 The organisation's response letter to the Department dated 12 October 2009, outlines that: Upskilled Pty Ltd is collecting fees on its own behalf and invoices its clients; Upskilled Pty Ltd pays Outsource Services Pty Ltd a fee for providing the services of the lead RTO and these fees include regular audits. The letter further outlines that Outsource Services Pty Ltd *'is responsible and would honour any incomplete training in the unfortunate event Upskilled Pty Ltd were to become insolvent, or unable to provide and complete any training'*.

No evidence was provided to support that Outsource Services Pty Ltd or its partner organisations, Jade Corporate and Community Development and Upskilled Pty Ltd have mechanisms in place to protect fees paid in advance. In addition, the partnering agreements for these organisations do not include information regarding the protection of fees paid in advance. Outsource Services Pty Ltd advised that it intends applying to ACPET for its Australian Student Tuition Assurance Scheme for domestic students. However, it has not yet instigated this application process.

Outsource Services Pty Ltd provided its refund policy and procedure (#20) and 'training agreement' (for employers to sign). These documents do not include sufficient information regarding the parameters of the organisation's refund policy. For example, the document #20 includes brief reference to some of the processes but does not include specific information regarding how pro-rata or full refund amounts are determined or provided. The organisation's student handbook contains sufficient information regarding its refund policy; however, this information does not correlate with the 'training agreement' or document #20.

Rectification required:
 The organisation is requested to provide evidence to demonstrate that Outsource Services Pty Ltd and its partner organisations, Jade Corporate and Community Development and Upskilled Pty Ltd have developed mechanisms to protect fees paid in advance.

The organisation is requested to provide evidence that it has reviewed and amended its refund policy and procedure and 'training agreement' to ensure these documents: contain sufficient information; clearly outline the specifics of the organisation's



refund policy and correlate with all learner/client information i.e. student handbook, training agreement.

Rectification evidence received 3 March 2010:

The organisation provided:

- a copy of its ACPET membership (paid 3 Aug 2009)

Note:

On 4 May 2010, Outsource Services advised the Department that it had terminated its partnering arrangement with Upskilled Pty Ltd. The partnering arrangement with Jade Corporate and Community Development is still active and viable.

The Lead Auditor, Ms Kim Buchanan met with A/Senior Complaints Investigations Officer, Ms Cecilia Sorensen, to discuss the cancellation of the partnering arrangement between Outsource Services and Upskilled Pty Ltd. It was agreed that, as a result of this action, the organisation was no longer required to provide rectification evidence that related to its partnership with Upskilled Pty Ltd.

Rectification evidence received 20 May 2010:

The organisation provided the following information in an email:

“Students who pay upfront fees to Outsource Services will be paid into a 2nd bank account and will only be transferred into Outsource Services working account on commencement of the training”.