

Audit report – VET Quality Framework

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

ORGANISATION DETAILS	
Organisation's legal name	Karingal Inc
Trading name/s	Karingal Inc, Karingal Training
RTO number	5553
CRICOS number	n/a

AUDIT TEAM	
Lead auditor	Mrs Karen Noble
Auditor/s	Mrs Jane Connellan, Ms Sonja Anders
Technical adviser/s	n/a

AUDIT DETAILS	
Application number/s	1043670
Audit number/s	1003989
Audit reason 1	Application - renewal
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	57-63 Spring St, Geelong West VIC 3218
Date/s of audit	24 September 2013
Organisation's contact for audit	Mr Daryl Starkey CEO dstarkey@karingal.org.au 03 5249 8996
NVR standards audited	Selected Standards for Continuing Registration: SNR 15, 16, 17, 18, 20, 22.2



BACKGROUND

- The organisation is the training arm of a group incorporating disability support services, assisted living services, disability employment services, and support groups for vulnerable persons.
- The organisation employs fifty staff and targets workers in the community or disability sectors.
- Following a merger with another RTO, Create, the organisation applied to incorporate its scope.
- The organisation accesses funding through the Victorian Training Guarantee.
- The organisation does not offer the full qualification *SIR20212 Certificate II in Retail Operations* qualification, but has designed a program of partial delivery to meet the Victorian Certificate of Applied Learning (VCAL) program.
- The organisation offers its *CHC42012 Certificate IV in Employment Services* packaged with *CHC40512 Certificate IV in Mental Health*. The cohort for this program is its internal MatchWorks employees who are entered into the program upon completion of 12 months employment. In this way they are able to offer Recognition of Prior Learning (RPL) for some of the units of competency in the qualification.
- The organisation's main client base is disadvantaged workers in the community sector and its own internal staff.

Total number of current enrolments in RTO as at audit date:

- 864

AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
21890VIC	Certificate I in Initial Adult Literacy and Numeracy (Entry)	Face to face	44
22128VIC	Certificate I in Work Education	Face to face	195
CHC30212	Certificate III in Aged Care	Face to face	51
CHC30312	Certificate III in Home and Community Care	Face to face	52
CHC40312	Certificate IV in Disability Work	Face to face	123
CHC42012	Certificate IV in Employment Services	Face to face	35
SIR20212	Certificate II in Retail Services	Face to face, workplace	1
SIT20307/	Certificate II in Hospitality (Kitchen Operations)/	Face to face, workplace	0
SIT20312	Certificate II in Kitchen Operations		

*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)



INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Mr Daryl Starkey	CEO	n/a
Mr Brett Cassar	Training Manager	n/a
Ms Julie Graham	General Manager	n/a
Ms Melane Karlsson	Quality & Compliance Manager	n/a
Ms Andrea Entwistle	Quality & Compliance Manager (Matchworks)	n/a

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 24/09/2013: Significant non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 04/11/2013: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Compliant	n/a
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Not audited	n/a
SNR 20	Compliant	n/a
SNR 21	Not audited	n/a
SNR 22	Compliant	n/a
SNR 23/AQF	Not audited	n/a
SNR 24	Not audited	n/a
SNR 25	Not audited	n/a



SNR 15 The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:

15.1 The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.

Original finding: Compliant

Following rectification: n/a

15.2 Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry.

Original finding: Compliant

Following rectification: n/a

15.3 Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

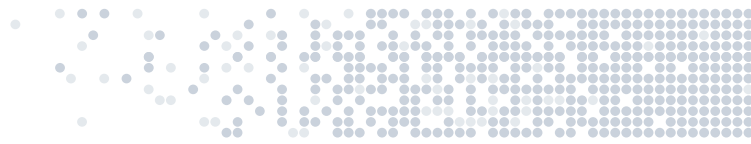
- **CHC30212 Certificate III in Aged Care**
- **CHC30312 Certificate III in Home and Community Care**
- **CHC40312 Certificate IV in Disability Work**
- **SIR20212 Certificate II in Retail Operations**
- **SIT20312 Certificate II in Kitchen Operations**
- *CPCCOHS1001A Work safely in the construction industry*
- For the above qualifications and unit of competency, the non-compliances identified in SNR 15.5 confirm assessment materials used by the organisation are not consistent with the requirements of the Training Package.

In order to become compliant, the organisation is required to:

- **CHC30212 Certificate III in Aged Care**
- **CHC30312 Certificate III in Home and Community Care**
- **CHC40312 Certificate IV in Disability Work**
- **SIR20212 Certificate II in Retail Operations**
- **SIT20312 Certificate II in Kitchen Operations**
- *CPCCOHS1001A Work safely in the construction industry*
- Successfully addressing the non-compliances identified in SNR 15.5 for the above qualifications and unit of competency will confirm assessment materials used by the organisation are consistent with the requirements of the Training Package.

Analysis of rectification evidence:

- **CHC30212 Certificate III in Aged Care**
- **CHC30312 Certificate III in Home and Community Care**
- **CHC40312 Certificate IV in Disability Work**
- **SIR20212 Certificate II in Retail Operations**
- **SIT20312 Certificate II in Kitchen Operations**
- *CPCCOHS1001A Work safely in the construction industry*



- The organisation provided evidence to successfully address the non-compliances identified in SNR 15.5 for the above qualifications and unit of competency which confirms assessment materials used by the organisation are consistent with the requirements of the Training Package.

15.4 Training and assessment is delivered by trainers and assessors who:

- (a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and**
- (b) have the relevant vocational competencies at least to the level being delivered or assessed; and**
- (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and**
- (d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.**

Original finding: Compliant

Following rectification: n/a

15.5 Assessment including Recognition of Prior Learning (RPL):

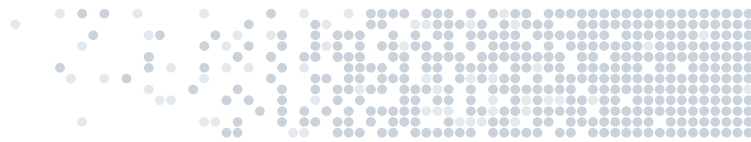
- (a) meets the requirements of the relevant Training Package or VET accredited course; and**
- (b) is conducted in accordance with the principles of assessment and the rules of evidence; and**
- (c) meets workplace and, where relevant, regulatory requirements; and**
- (d) is systematically validated.**

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- **CHC30212 Certificate III in Aged Care**
- *CHCAC319A Provide support to people living with dementia*
- *HLTHIR403C Work effectively with culturally diverse clients and co-workers*
- **CHC30312 Certificate III in Home and Community Care**
- *HLTHIR403C Work effectively with culturally diverse clients and co-workers*
- **CHC40312 Certificate IV in Disability Work**
- *CHCDIS411A Communicate using augmentative and alternative communication strategies*
- *CHCDIS408D Support people with disabilities as workers*
- For the above units of competency, the assessment was not supported by criteria defining acceptable performance for assessors and included minimal detail in the assessment instructions for students. As a result, it could not be confirmed that assessment would ensure all the requirements of the unit of competency would be addressed specifically, the required knowledge and skills and the critical aspects of evidence.
- *CPCCOHS1001A Work safely in the construction industry*
- The assessment tool does not address all the essential skills of the unit of competency. Although the assessment tool raises questions regarding the types of hazards that could be found on a construction site, it does not require students to demonstrate their comprehension skills regarding actually identifying construction hazards. Additionally, the assessment tools do not require students to demonstrate their communication skills regarding:
 - Clarify OHS legislative requirements
 - Verbally report construction hazards and risks
 - Ask effective questions
 - Relay information to others
 - Discuss OHS issues and information.
- **SIR20212 Certificate II in Retail Operations**
- *SIRXIND101 Work effectively in a customer service environment*
- The assessment tools on the completed student files did not demonstrate the students had

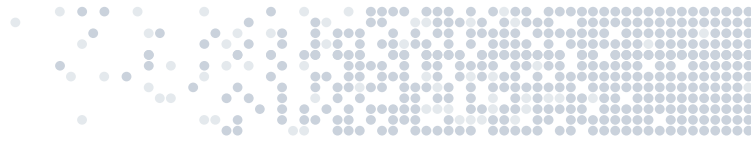


been assessed against the required skills and the practical aspects of the elements, performance criteria, and critical aspects of evidence. It was noted, the new assessment tools that have been developed by the organisation include instructions to guide the assessor in conducting practical assessment activities and recording their judgement regarding the skills demonstrated. No further evidence is required.

- **SIT20312 Certificate II in Kitchen Operations**
- *SITHCCC201 produce dishes using basic methods of cookery*
- The assessment tools on the completed student files did not demonstrate the students had been assessed against the identified pre-requisite unit, *SITXFSA101 Use hygienic practices for food safety* prior to completion of assessment for the above unit of competency. It was noted, the new assessment tools that have been developed by the organisation for future implementation include instructions to the student and the assessor to ensure the pre-requisite unit is completed prior to commencement of assessment in this unit. No further evidence is required.
- *SITXFSA101 Use hygienic practices for food safety*
- Assessment did not ensure that the critical aspect of assessment 'Evidence of the ability to integrate, into daily work activities, knowledge of the basic aspects of food safety standards' would be addressed. Although a detailed case study was provided, this did not ensure that knowledge would be integrated into daily work activities.
- Additionally, evidence provided did not ensure that assessment would address the context of assessment, in particular that 'assessment must ensure use of an operational commercial food preparation area... this can be a real industry workplace or simulated industry environment'

In order to become compliant, the organisation is required to:

- **CHC30212 Certificate III in Aged Care**
- *CHCAC319A Provide support to people living with dementia*
- *HLTHIR403C Work effectively with culturally diverse clients and co-workers*
- **CHC30312 Certificate III in Home and Community Care**
- *HLTHIR403C Work effectively with culturally diverse clients and co-workers*
- **CHC40312 Certificate IV in Disability Work**
- *CHCDIS411A Communicate using augmentative and alternative communication strategies*
- *CHCDIS408D Support people with disabilities as workers*
- For the above units of competency, provide evidence assessment is supported by criteria defining acceptable performance for assessors and includes sufficient detail in the assessment instructions for students to ensure assessment will meet all the requirements of the unit of competency specifically, the required knowledge and skills and the critical aspects of evidence.
- *CPCCOHS1001A Work safely in the construction industry*
- Provide evidence the assessment tool addresses all the essential skills of the unit of competency, including comprehension skills regarding actually identifying construction hazards and communication skills regarding:
 - Clarify OHS legislative requirements
 - Verbally report construction hazards and risks
 - Ask effective questions
 - Relay information to others
 - Discuss OHS issues and information.
- **SIT20312 Certificate II in Kitchen Operations**
- *SITXFSA101 Use hygienic practices for food safety*
- Provide evidence its assessment tools will ensure that the critical aspect of assessment, 'Evidence of the ability to integrate, into daily work activities, knowledge of the basic aspects



- of food safety standards' will be addressed.
- Provide evidence its assessment will be conducted in the appropriate context of assessment.

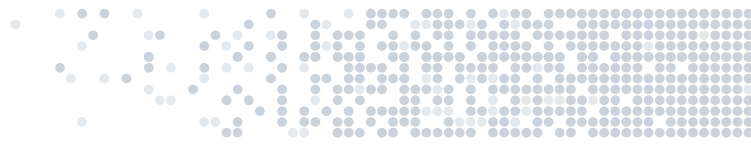
Analysis of rectification evidence:

- **CHC30212 Certificate III in Aged Care**
- *CHCAC319A Provide support to people living with dementia*
- *HLTHIR403C Work effectively with culturally diverse clients and co-workers*
- **CHC30312 Certificate III in Home and Community Care**
- *HLTHIR403C Work effectively with culturally diverse clients and co-workers*
- **CHC40312 Certificate IV in Disability Work**
- *CHCDIS411A Communicate using augmentative and alternative communication strategies*
- *CHCDIS408D Support people with disabilities as workers*
- For the above units of competency, the organisation provided its assessment tools supported by criteria defining acceptable performance for assessors which includes sufficient detail in the assessment instructions for students to ensure assessment will meet all the requirements of the unit of competency specifically, the required knowledge and skills and the critical aspects of evidence.
- *CPCCOHS1001A Work safely in the construction industry*
- The organisation provided its amended assessment tool which will address all the essential skills of the unit of competency, including comprehension skills regarding actually identifying construction hazards and communication skills regarding:
 - Clarify OHS legislative requirements
 - Verbally report construction hazards and risks
 - Ask effective questions
 - Relay information to others
 - Discuss OHS issues and information.
- **SIT20312 Certificate II in Kitchen Operations**
- *SITXFSA101 Use hygienic practices for food safety*
- The organisation provided its amended assessment tools which will ensure that the critical aspect of assessment, 'Evidence of the ability to integrate, into daily work activities, knowledge of the basic aspects of food safety standards' will be addressed, and that assessment will be conducted in the appropriate context of assessment.

SNR 16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:
16.1	The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.
	Original finding: Compliant Following rectification: n/a
16.2	The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.
	Original finding: Compliant Following rectification: n/a
16.3	Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.
	Original finding: Compliant Following rectification: n/a



16.4	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.
Original finding: Compliant	Following rectification: n/a
16.5	Learners receive training, assessment and support services that meet their individual needs.
Original finding: Compliant	Following rectification: n/a
16.6	Learners have timely access to current and accurate records of their participation and progress.
Original finding: Compliant	Following rectification: n/a
16.7	The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.
Original finding: Compliant	Following rectification: n/a
SNR 17	Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:
17.1	The NVR registered training organisation's management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.
Original finding: Compliant	Following rectification: n/a
17.2	The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.
Original finding: Compliant	Following rectification: n/a
17.3	The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.
Original finding: Not audited	Following rectification: n/a
17.4	The NVR registered training organisation manages records to ensure their accuracy and integrity.
Original finding: Compliant	Following rectification: n/a
SNR 18	The NVR registered training organisation has governance arrangements in place as follows:
18.1	The NVR registered training organisation's Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation's scope of registration,



as listed on the National Register.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The non-compliances identified at audit confirm the organisation's chief executive has not ensured that the NVR registered training organisation has complied with the VET Quality Framework across its scope of registration.

In order to become compliant, the organisation is required to:

- Successfully addressing the non-compliances identified at audit will confirm the organisation's chief executive has ensured that the NVR registered training organisation will comply with the VET quality framework across its scope of registration.

Analysis of rectification evidence:

- The organisation provided evidence to successfully address the non-compliances identified at audit, confirming the organisation's chief executive has ensured that the NVR registered training organisation will comply with the VET quality framework across its scope of registration

18.2 The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.

Original finding: Compliant

Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

19.1 The NVR registered training organisation must co-operate with the National VET Regulator:
(a) in the conduct of audits and the monitoring of its operations;
(b) by providing accurate and timely data relevant to measures of its performance;
(c) by providing information about significant changes by its operations;
(d) by providing information about significant changes to its ownership; and
(e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.

Original finding: Not audited

Following rectification: n/a

SNR 20 Compliance with legislation

20.1 The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.

Original finding: Not audited

Following rectification: n/a

20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.



Original finding: Compliant

Following rectification: n/a

SNR 21 Insurance

21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.

Original finding: Not audited

Following rectification: n/a

SNR 22 Financial management

22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.

Original finding: Not audited

Following rectification: n/a

22.2 The NVR registered training organisation must provide the following fee information to each client:

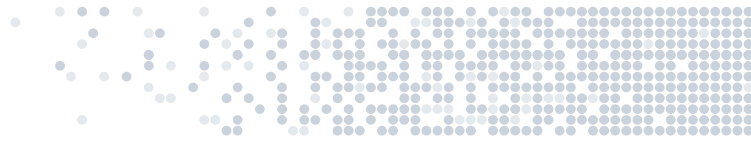
- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;**
- (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;**
- (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;**
- (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and**
- (e) the organisation's refund policy.**

Original finding: Compliant

Following rectification: n/a

22.3 Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:

- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;**
- (b) ~~(Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme; [option 2 not currently available]~~**
- (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;**
- (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or**



(e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator. [option 5 not currently available]

Original finding: Not audited

Following rectification: n/a

SNR 23 Certification, issuing and recognition of qualifications & statements of attainment

23.1 The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:
(a) meets the Australian Qualifications Framework (AQF) requirements;
(b) identifies the NVR registered training organisation by its national provider number from the National Register and
(c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Not audited

Following rectification: n/a

23.2 The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.

Original finding: Not audited

Following rectification: n/a

23.3 The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.

Original finding: Not audited

Following rectification: n/a

23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]

This element was not audited.

23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]

This element was not audited.

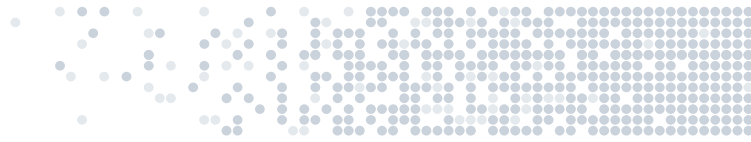
SNR 24 Accuracy and integrity of marketing

24.1 The NVR registered training organisation must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.

Original finding: Not audited

Following rectification: n/a

24.2 The NVR registered training organisation must use the NRT logo only in accordance with



its conditions of use.

Original finding: Not audited

Following rectification: n/a

SNR 25 Transition to Training Packages/expiry of VET accredited courses

25.1 The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.

Original finding: Not audited

Following rectification: n/a

25.2 The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.

Original finding: Not audited

Following rectification: n/a