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Specialised Training Services, Brisbane Learning Centre

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AUDIT DETAILS			
Clauses audited	3(h), 6(a), 7(b), 18		
Audit date/s	18 and 19 March 2008		
Other audit notes	<ul style="list-style-type: none"> ▪ Percentage of annual income derived from User Choice contract is between approximately 30-40% ▪ User Choice contract value for 2007-2008 allocation = \$250,000.00 		

FOCUS OF AUDIT	
NTIS code	Qualification
ICA30105	Certificate III in Information Technology
ICA40805	Certificate IV in Information Technology (Multimedia)

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Clause 3 (h) The Supplier must comply with the User Choice Fees and Charges requirements set out in Appendix 3.	
Appendix 3: Fees and charges	At time of audit:
Part 1 – Tuition Fees	<input type="checkbox"/> Compliant
Part 2 – Partial Exemption – Tuition Fees	<input checked="" type="checkbox"/> Not Compliant
Part 3 – Student support services fees for Participants	<input type="checkbox"/> Not Audited
Part 4 – Fee exemption on grounds of extreme hardship or other special circumstances	<input type="checkbox"/> Not Applicable
Part 5 – When should tuition fees be charged?	
Part 7 – Refund policy	Following rectification:
The Supplier must have a refund policy that meets the requirements of the AQTF. This policy must also include:	<input checked="" type="checkbox"/> Compliant
(a) the provision for full refunds to Participants for tuition and student support services fees charged for training delivery that has not commenced at the time of the cancellation of enrolment; and	<input type="checkbox"/> Not Compliant
(b) the provision of proportionate refunds where the Participant has withdrawn from a Unit of Competency/Module.	
Part 8 – Additional Charges	
Part 9 – No charges	
Induction information contains User Choice specific information regarding:	
Y N NA	
<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> rate of tuition fees	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> rate of student support services fees	
<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> partial tuition fee exemption categories	
<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> full tuition and student support services fee exemption categories	
<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> rate of tuition fees for recognition of prior learning applications	
<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> reference to full or proportionate refunds for units not commenced or commenced but not completed.	
The organisation has:	
Y N NA	
<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> charged tuition and/or student services fees for all students at AQF Level II and above.	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> calculated tuition and/or student services fees based on the correct number of nominal hours.	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> calculated tuition and/or student services fees at the correct rates.	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> charged any additional fees in accordance with Schedule 1 of the <i>Vocational Education, Training and Employment Regulations 2000</i> .	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> charged tuition and/or student services fees that do not exceed the maximum amount to be charged within a 12 month period.	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> calculated partial tuition fee exemptions at the correct rate.	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support the granting of partial tuition fee exemptions.	
<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> not charged any school based student tuition or student services fees (post 1 July 2006).	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> services / facilities to substantiate the charging of student services fees.	
<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support the provision of full and partial refunds.	

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Non-compliances:

Tuition Fees - Information:

A review of Specialised Training Services, Brisbane Learning Centre's web site supports that an incorrect tuition fee rate of \$0.99 is currently quoted.

A review of the Specialised Training Services, Brisbane Learning Centre's 'Student Information Sheets' did not support that the organisation provides information on the current tuition fee rate of \$1.05 per nominal hour for RPL applications.

Tuition Fees - Implementation:

Through discussions with the RTO representative it was determined that part-time student Jeremy Coulson has not been charged tuition fees.

Partial Exemption/Full Exemption:

A review of the Specialised Training Services, Brisbane Learning Centre's 'Student Information Sheets' supports that all exemption fee categories need to be reviewed. For example, school-based is currently noted as a partial exemption instead of full, and the category relating to students being under the age of 17 at the end of February in the year in which training commences does not include the requirement to not have completed year 12.

Rectification required:

Specialised Training Services, Brisbane Learning Centre is required to provide evidence that it has:

- amended information on its website regarding the tuition fee rate
- included information on the tuition fee rate for RPL applications
- amended information in relation to the exemption fee categories.

In addition, Specialised Training Services, Brisbane Learning Centre is required to provide a written commitment that the organisation will implement fees and charges as per the requirements of the contract.

Analysis of rectification evidence received 18/04/08:

- A review of Specialised Training Services, Brisbane Learning Centre's website supports that the tuition fee information has been updated to reflect the current rate.
- A review of Specialised Training Services, Brisbane Learning Centre's 'Student Information Sheets' now contains information which clearly supports the tuition fee rate for RPL processes and that the exemption fee categories are now complete and accurate.
- Specialised Training Services, Brisbane Learning Centre provided advice that the organisation has implemented a corrective action form to ensure fees and charges are correctly implemented.
- Specialised Training Services, Brisbane Learning Centre provided a written commitment that the organisation will ensure the full implementation of User Choice fees and charges.

Opportunity for Improvement:

Information provided on the website and in the 'Student Information Sheets' indicates that an ATSI student must meet three specified criteria. It was suggested that this be removed as acceptable evidence of ATSI decent is self-identification.

Specialised Training Services, Brisbane Learning Centre is now complaint against the requirements of this clause.

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Clause 6 (a) The Supplier must fully and correctly provide to the Department the reports set out in Item 1 of Appendix 5 in accordance with the timeframes set out in Item 2 of that Appendix.

<p>Appendix 5 – Reporting requirements</p> <p>Item 1 – AVETMISS reporting requirements</p> <p>(d) Delivery Type Identifier specified in AVETMISS for the relevant mode of delivery</p> <p>(e) Outcome Identifier specified in AVETMISS and in Table 4 of Appendix 6</p> <p>(f) Training location postcode of where the Participant undertakes Training</p> <p>The organisation has: Y N NA</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> has correctly reported the delivery identifier code.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> retained sufficient evidence to support the outcome of the assessment (AVETMISS Outcome Identifier Code 20).</p> <p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support that students have attempted all assessments and failed in at least one method (AVETMISS Outcome Identifier Code 30).</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> retained sufficient evidence to support the student's participation in the learning activity prior to withdrawing (AVETMISS Outcome Identifier Code 40).</p> <p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support recognition of prior learning (AVETMISS Outcome Identifier Code 51).</p> <p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support that an application for recognition of prior learning was assessed and not approved (AVETMISS Outcome Identifier Code 52).</p> <p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support recognition of current competencies (AVETMISS Outcome Identifier Code 53).</p> <p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support that an application for recognition of current competencies was assessed and not approved (AVETMISS Outcome Identifier Code 54).</p> <p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence to support credit transfers (AVETMISS Outcome Identifier Code 60).</p> <p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> retained sufficient evidence that an induction was conducted and training plan developed prior to the student's training contract being cancelled or the student changing SRTOs (SRT0 1 Administration Payment).</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> submitted AVETMISS postcodes that accurately reflect the location in which the majority of training has been undertaken.</p> <p>Non-compliances:</p> <p>AVETMISS Outcome Identifier Code: '40' Outcome Identifier Codes – there was no evidence sighted at the time of the audit to support that training had occurred for student Raymond Harris for the units – ICAI3110A, ICAS3031A and ICAU3019A.</p> <p>Rectification required: Specialised Training Centre, Brisbane Learning Centre is required to provide evidence that student Raymond Harris has participated in training for the units listed above. If no evidence is available, Specialised Training Centre, Brisbane Learning Centre is required to remove the AVETMISS data reported for these units (note – this will have a funding implication).</p> <p>Analysis of rectification evidence received 18/04/08: Specialised Training Services, Brisbane Learning Centre provided evidence of the training undertaken by Raymond Harris. Whilst the evidence does not specifically state the unit of competency undertaken, the auditor was able to align</p>	<p>At time of audit:</p> <p><input type="checkbox"/> Compliant</p> <p><input checked="" type="checkbox"/> Not Compliant</p> <p><input type="checkbox"/> Not Audited</p> <p><input type="checkbox"/> Not Applicable</p> <p>Following rectification:</p> <p><input type="checkbox"/> Compliant</p> <p><input type="checkbox"/> Not Compliant</p>
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the units to the description of training conducted.

Specialised Training Services, Brisbane Learning Centre is now complaint against the requirements of this clause.

Clause 7 (b) Unless otherwise specified, the Department will not pay, without limitation, the Supplier for the provision of the Services set out in Item 5 of Appendix 6.

Appendix 6 – Financial Matters

Item 5 – Service provision that will not be funded

The Department will not fund/pay (ie Administration Payment or Payable Value), without limitation, for the following unless otherwise specified:

- (b) delivery of any Unit of Competency or Module through RPL where the effect would be that the participant has completed the entire Qualification by way of RPL
- (i) provision of services to a Participant in excess of the Competency Count, Module Count or Points Count specified in QTIS
- (l) services provided to a Participant who has been previously assessed as competent for the same Unit of Competency or Module
- (p) provision of the Services to apprentices or trainees who are employed in the Cape York Region.

The organisation has:

Y N

- not been funded in any instances where the entire qualification has been achieved through RPL
- not submitted claims for payment for units in excess of the competency count for that qualification
- not submitted claims for payment for units of competency previously assessed as competent
- not, unless approved by the department, provided services to apprentices/trainees employed within the Cape York Region

At time of audit:

- Compliant
- Not Compliant
- Not Audited
- Not Applicable

Clause 18: The Supplier must collect and retain documents, records and information in accordance with Appendix 2.

Appendix 2: Program specification

3. Documentation And Record Keeping.

- (1) Data recording the eligibility of Participants in Priority Population Groups
- (2) In relation to each participant:
 - (a) the assessor's completed marking guide/criteria/observation checklists for each Unit of Competency/Module; or
 - (b) the completed paper-based assessment items for each Unit of Competency/Module.
- (3) Documents, records, and all information necessary to substantiate, to the reasonable satisfaction of the Department, compliance with the terms and conditions of this Contract, including:
 - (a) full and complete records establishing, to the reasonable satisfaction of the Department, each Participant's participation (including, demonstrating the commencement of educational content and demonstrating educational progression as per AVETMISS) in each Unit of Competency/Module enrolment in accordance with the Training Plan
 - (b) evidence that the on-the-job training component has been achieved for each Unit of Competency/Module per each individual Participant prior to submission of claims for payment
 - (c) evidence to support the accuracy and validity of AVETMISS start and end dates for each Participant in relation to each Unit of Competency/Module undertaken

The organisation has:

Y N NA

At time of audit:

- Compliant
- Not Compliant
- Not Audited
- Not Applicable

Following rectification:

- Compliant
- Not Compliant

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- a process in place to determine the eligibility of trainees (priority population group 3).
 retained sufficient evidence to substantiate the eligibility of all trainees.
 implemented and retained the full range of assessment evidence as per assessment master versions.
 retained full and complete records of each participant's participation.
 a process in place to capture the employer's verification regarding the on-the-job component.
 consistently retained evidence to support that the on-the-job training component has been achieved for each Unit of Competency/Module per each individual Participant prior to submission of claims for payment.
 accurately submitted AVETMISS end dates.

Non-compliances:

Participation Evidence:

As noted above in Clause 6 (a) (re: Raymond Harris) there was insufficient evidence to substantiate the participant's participation.

On-The-Job Component:

The majority of student files sampled supported that evidence of the on-the-job component had been obtained prior to reporting a competent outcome for the unit of competency. However, there were some instances where no evidence was sighted.

Rectification required:

Specialised Training Services, Brisbane Learning Centre is required to provide a written commitment that it will ensure:

- evidence of participation is retained for all students to support the validity of AVETMISS data reported
- evidence of on-the-job verification is obtained for all students for each unit of competency prior to reporting a competent outcome for the unit.

In addition, it is suggested that the 'Competency Sheet' currently being used by Specialised Training Services, Brisbane Learning Centre for the on-the-job verification includes a statement that the supervisor is verifying the trainee's ability to perform the requirements of the unit of competency to the standard required in the workplace.

Analysis of rectification evidence received 18/04/08:

Specialised Training Services, Brisbane Learning Centre provided advice that systems have not been implemented to ensure sufficient evidence is retained to support student training participation and that evidence of the on-the-job component will be retained to substantiate future claims for payment.

Specialised Training Services, Brisbane Learning Centre is now complaint against the requirements of this clause.