



## Audit Report – VET Quality Framework

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

### ORGANISATION DETAILS

Organisation's legal name	<b>Infraworks Training and Assessment Pty Ltd</b>
Trading name/s	
RTO number	70228
CRICOS number	

### AUDIT TEAM

Lead auditor	<b>Anna Babatzanis</b>
Auditor/s	
Technical adviser/s	

### AUDIT DETAILS

Application number/s	<b>N/A</b>
Audit number/s	1001378
Audit reason 1	Post initial
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	26 Bosci Road, Ingleburn, NSW 2565
Date/s of audit	28 June 2013
Organisation's contact for audit	Garry Pepper RTO Manager garry@infraworksrail.com.au 9672 3422
NVR standards audited	All Standards for Continuing Registration 

## BACKGROUND

- **Infracore Training and Assessment Pty Ltd is an enterprise registered training organisation providing training and assessment services for the employees of its parent company, Stirling Infrastructure Group, which includes Infracore Rail, Infracore Construction and Infracore Safe Working Pty Ltd**
- **The majority of the training is delivered to employees and contractors who undertake work for the rail industry**
- **Training provided to date has been in rail infrastructure and related units**
- **The RTO has recently added the BSB40812 Certificate IV in Frontline Management to its scope of registration which it plans to deliver to its internal staff**
- **The RTO currently delivers mostly in NSW but plans to deliver throughout Australia with the introduction of the new Rail Safety Act**
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**Total number of current enrolments in RTO as at audit date:**

235

## AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
<b>TLI21310</b>	Certificate II in Rail Infrastructure	Workplace	x
<b>BSB40812</b>	Certificate IV in Frontline Management	Workplace	x
<b>RIICCM202A</b>	Identify, locate and protect underground services	Workplace	x
<b>TLIF2080B</b>	Safely access the rail corridor	Workplace	x
<b>TLILIC0012A</b>	Licence to operate a vehicle loading crane (capacity 10 meter tonnes and above)	Workplace	x

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

## INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
<b>Scott McKinna</b>	Trainer/assessor	TLI21310, RIICCM202A, TLIF2080B, TLILIC0012A

## AUDIT FINDING AT TIME OF AUDIT

### Audit finding as at 12/07/2013: 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 dd/mm/yyyy: n/a

## AUDIT FINDING BY STANDARD

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

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

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

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

**15.3 Staff, facilities and 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.**

**Audit finding for this element at time of audit:** Not compliant

Reasons for finding of non-compliance:

- While the RTO has staff, facilities, equipment and training materials which meet the

requirements of the training package, not all assessment materials meet the requirements of the training package (see details under SNR 15.5)

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

- provide evidence of revised assessment tools that meet the requirements of SNR 15.5

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

#### **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 Quality 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.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.**

**Audit finding for this element at time of audit:** Not compliant

Reasons for finding of non-compliance:

- Assessment tools provided for BSBRK401A Identify risk and apply risk management processes: evidence criteria to guide candidates and assessors were not provided; decision making rules to guide assessors for the 2 projects to be undertaken by

candidates were not available; while model answers were provided for the written questions in assessment 1 the depth and breadth of response was not clearly identified to either candidates or assessors

- Assessment tools were not provided for BSBINN301A Promote innovation in a team environment. While the RTO had purchased SmallPRINT learning and assessment materials, these had not been through a quality assurance process to validate and contextualise the assessment tasks to the proposed target groups nor had assessment materials been developed by the RTO at the time of audit
- Assessment tools provided for RIICCM202A Identify, locate and protect underground services: no assessor guidance or guidance to candidates was provided on the evidence criteria to be used to judge performance in practical assessment; the task is not clearly identified
- Assessment tools provided for RIIMPO318B Conduct civil construction skid steer loader operations: practical assessment does not include minimum two different soil types as required in critical aspects for assessment and evidence or mandatory tasks of stripping/spreading topsoil and materials, excavations and mixing materials; it is not clear how the assessment task enables the candidate to work with others and ensures demonstration of consistent timely completion of operations; no marking guide or guidance to assessors on evidence criteria and decision making rules were available
- Assessment tools provided for TLILIC0012A Licence to operate a vehicle loading crane (capacity 10 metre tonnes and above): no instructions for candidates were provided as to the key requirements to demonstrate competence; no practical assessment task was sighted; no assessor guidance including decision making rules for a practical assessment was available.

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

- provide evidence of assessment tools for the unit BSBINN301A Promote innovation in a team environment that meet the training package requirements, rules of evidence, principles of assessment and workplace requirements
- provide revised assessment tools for the units listed above which address the non-compliances identified

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence: n/a**

Reasons for finding of non-compliance:

- n/a

**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.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

**16.2 The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.

**Audit finding for this element at time of audit:** Not audited

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

## 16.5 Learners receive training, assessment and support services that meet their individual needs.

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

## 16.6 Learners have timely access to current and accurate records of their participation and progress.



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**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

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**16.7 The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

**SNR 17 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.**

**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.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

**17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.**

**Audit finding for this element at time of audit:** Not audited

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

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## 17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.**

**Audit finding for this element at time of audit:** Not compliant

Reasons for finding of non-compliance:

- The CEO has not ensured compliance with the VET Quality Framework as evidenced by the non-compliances identified in this audit report

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

- address the non-compliances identified in this audit report

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

**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.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

## SNR 21 Insurance

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

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.**

**Audit finding for this element at time of audit:** Not compliant

Reasons for finding of non-compliance:

- While the RTO advised that it didn't charge fees, it has commenced delivering training to RailCorp employees and contractors who they do charge. No evidence of providing information on the total amount of fees was sighted at audit

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

- provide evidence that it advises all students prior to enrolment the total amount of fees payable, and payment terms

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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**
  - (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]~~**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

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

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence: n/a**

Reasons for finding of non-compliance:

- n/a

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**23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competence and 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**

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**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.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a

**24.2 The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.**

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- 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.

**Audit finding for this element at time of audit:** Compliant

Reasons for finding of non-compliance:

- n/a

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

- n/a

Analysis of rectification evidence:

- n/a

**Audit finding for this element following review of rectification evidence:** n/a

Reasons for finding of non-compliance:

- n/a