

AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 6/07/2016 and 7/07/2016

Applicant: NECA Education and Careers Ltd

RTO Details			
RTO Name	NECA Education and Careers Ltd	TOID	21098
Address	1024 Lygon Street, Carlton North, VIC 3054		
		Website	
Registration Contact	Angela Gaylard		
Phone Number	03 9381 1922	Email	angela.gaylard@necaeducation.com.au
Audit Team			
Audit Firm	RTO Advice Group	Auditor/s	Jacqui Hodge
Auditor/s		Other Attendees	
Registering Body Details			
Contact Person	Simon Thorn		
Phone Number	9032 1562	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Continuing Registration Audit		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.3, 3.4
2016 VRQA Guidelines Audited	1.3	2.1, 2.2, 2.3, 2.4, 2.5, 2.5, 2.6, 2.7, 2.8 (If applicable)	
	3.1, 3.2, 3.3, 3.4, 3.5	4.1,4.2, 4.3, 4.4, 4.5, 4.6	5
Audit Date/s	6/07/2016 and 7/07/2016		
RTO Background			
NECA advised the following student numbers applied in 2015 and 2016			
		2015	2016
BSB42015	Certificate IV in Leadership and Management	0	0
UEE22011	Certificate II in Electrotechnology (Career Start)	195	76
UEE30807	Certificate III in Electrotechnology Electrician	188	64
UEE30811	Certificate III in Electrotechnology Electrician	490	621

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UEE42011	Certificate IV in Electrical - Photovoltaic systems	0	0
CPCCOHS1001A	Work safely in the construction industry	0	6
UETTDRRF06B	Perform rescue from a live LV panel	0	4
22267VIC	Diploma of Electrical Project Management Diploma of Electrical Project Management	0	17

NECA Education and Careers Limited is both a Group Training Organisations (GTO) in Victoria and Tasmania and trade based Registered Training Organisations (RTO) based in Melbourne.

NECA Education and Careers was established in 1992 and provides employment and training opportunities for many individuals. It provides employment opportunities through traineeships and apprenticeships. It works with employers to host apprentices. For some qualifications and places of employment it will engage other RTO 's to conduct the training for its apprentices.

NECA Education and Careers offers Electrical industry training that is both accredited and non-accredited. It has an excellent industry standard training facility.

The organisation predicts stable growth over the next 3 years.

The organisational chart shows some staff are shared across the both the group training company and the RTO.

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Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
UEE30811	Certificate III in Electrotechnology Electrician	College Campus
UEENEEG104A	Install appliances, switchgear and associated accessories for low voltage electrical installations	
HLTAID003	Apply First Aid	
UEENEEF102A	Fabricate, Assemble and Dismantle Utilities Industry Components	
UEE22011	Certificate II in Electrotechnology (Career Start)	College Campus
UEENEEE104A	Solve problems in d.c. circuits	
CPCCOHS1001A	Work Safely in the Construction Industry	
22267VIC	Diploma of Electrical Project Management	College Campus
UEENEEG169A	Manage large electrical projects	
PSPGOV511A	Provide Leadership	
BSB42015	Certificate IV in Leadership and Management	College Campus
BSBMGT402	Implement Operational Plan	
MGT403	Implement Continuous Improvement	

Interviewee(s) – Staff name and position; employer name and position	
Debbie Mutton	Training Operations Manager
Linda Nguyen	App and Pre App Coordinator
Angela Abreu	Chief Financial Officer
Phillip Green	CEO
Angela Gaylard	Business Compliance

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	

Third party Arrangements –	Yes	No
Do the RTO's third party arrangements match the information provided by the VRQA?	X	

None – Partnership being developed to market Accredited training short courses for another RTO – NA – programs not offered by this RTO

¹ Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

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Audit Summary - AQTF Conditions of Registration

AQTF Conditions		Compliant	Non - Compliant	Not audited
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation	✓		
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	✓		
7	Recognition of Qualifications Issued by other RTOs	✓		
8	Accuracy and Integrity of Marketing	✓		
9	Transition to Training Packages/Expiry of Accredited Courses	✓		
Summary of Non-Compliance²				
<p>None Outstanding</p> <p>Some changes were made during the audit process to meet requirements. No Non Compliances remained at the end of the audit in relation to the AQTF Conditions of Registration.</p>				

² CF = Condition Finding. Finding references are aligned to the Detailed Findings section of this report.

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Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1			
1.1 – Continuous Improvement Strategy	✓		
1.2 – Training and Assessment Strategies		X	
1.3 – Training and Assessment Resources		X	
1.4 – Trainer and Assessor Competency		X	
1.5 – Assessment Strategies		X	
Standard 2			
2.1 – Meeting the Needs of Clients		X	
2.2 – Continuous Improvement of Client Services	✓		
2.3 – Provision of Information to Clients	✓		
2.4 – Third-Party Engagement in Training and Assessment	✓		
2.5 – Provision of Support Services to Clients	✓		
2.6 – Learner Access to Records of Participation	✓		
2.7 – Complaints and Appeals Strategy	✓		
Standard 3			
3.1 – Operations Management	✓		
3.2 – Continuous Improvement of Operations	✓		
3.3 – Third-Party Training and/ or Assessment Services	✓		
3.4 – Records Management	✓		
Summary of Non-Compliance³			
<p>SF 1.2.1 The training and assessment strategy for <u>22267VIC - Diploma of Electrical Project Management</u> did not meet requirements.</p> <p>SF 1.2.1 The training and assessment strategy for <u>BSB42015 - Certificate IV in Leadership and Management</u> did not meet requirements.</p> <p>SF 1.2.3 The training and assessment strategy listed only one trainer for <u>22267VIC - Diploma of Electrical Project Management</u> for <u>BSB42015 - Certificate IV in Leadership and Management</u> and his vocational experience was not shown to be as described- refer to SF.1.4.1</p>			

³ SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.

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SF 1.3.1

NECA Education and Careers has not shown how the workshops it offers will provide the training and skills development required by the units in the:

- 22267VIC Diploma of Electrical Project Management
- BSB42015 - Certificate IV in Leadership and Management

SF 1.3.2

NECA Education and Careers has not shown that students enrolled in 22267VIC Diploma of Electrical Project Management will have access to electrical projects in the workplace as is required by the accredited course document.

SF 1.4.1

Evidence presented by NECA did not show that the trainer /assessor 22267VIC Diploma of Electrical Project Management

- Holds the relevant vocational competencies at least to the level being delivered or assessed
- Can demonstrate current industry skills directly relevant to the training/assessment
- Is continuing to develop his industry currency relevant to this qualification

SF 1.4.2

NECA does not have a process that demonstrates all trainer and assessor qualifications have been verified.

SF1.5.1

Assessments for both units audited in the 22267VIC - Diploma of Electrical Project Management not meet the rules of evidence and principles of assessment.

SF1.5.2

Assessments for both units audited in the BSB42015 - Certificate IV in Leadership and Management do not meet the rules of evidence and principles of assessment.

SF1.5.3

RPL tools do not meet the rules of evidence and principles for assessment.

SF1.5.4

The assessments for HLTAID003 Apply First Aid are not valid or sufficient.

SF1.5.5

There has been no validation prior to use of the assessment tools for the. 22267VIC - Diploma of Electrical Project Management and BSB42015 - Certificate IV in Leadership and Management

SF2.1.1

The Language Literacy and Numeracy tool used to assess students' needs does meet requirements.

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Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
1. Governance, Financial viability and Management systems			
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems		X	
1.4 – Governance			X
2. Transparency and oversight of third parties			
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)			
3.1 – Vocational & Industry skill requirements			X
3.2 – Training and Assessment (TAE) skill requirements			X
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
4. Delivery of training and assessment services			
4.1 – Training and assessment practices		X	
4.2 – Amount of training		X	
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
5. Annual Declaration of Compliance			
5.1 – Annual Declaration of Compliance			X

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Summary of Non-Compliance⁴

Guideline 1.3 Management Systems

The staff records management system does not ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills.

Guideline 4- Delivery of training and assessment services

GF.4.1.1

Insufficient evidence was provided to support the amount of training being provided for 22267VIC - Diploma of Electrical Project Management so that it is consistent with requirements of the training packages and VET accredited courses.

GF.4.1.2

Insufficient evidence as provided to support the amount of training being provided for the BSB42015 - Certificate IV in Leadership and Management that it is consistent with requirements of the training package.

GF.4.2.1

NECA has not provided evidence to support its approach to the amount of training for 22267VIC Diploma of Electrical Project Management.

GF.4.2.1

NECA has not provided evidence to support its approach to the amount of training BSB42015 - Certificate IV in Leadership and Management.

⁴ GF = Guideline Finding. Finding references are aligned to the Detailed Findings section of this report.