

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

**Audit Date:** 7/8 Oct 2014

**Applicant:** Pro-active Training and Assessments Pty Ltd T/A HiViz Ed

Applicant Details			
Applicant Name	Pro-active Training and Assessments Pty Ltd T/A HiViz Ed	TOID	22295
Address	<b>Head Office:</b> Level 2, 7 Meaden Street, Southbank Vic 3006 <b>Training location:</b> HiViz Ed – Hallam Warehouse, 1/1-3 Westpool Drive, Hallam Vic 3803		
	Website	www.pro-activetraining.com.au	
Registration Contact	Mr Ryan Lesperance, RTO Director Ms Emma Duffy, Managing Director		
Phone Number	03 9696 3175	Email	<a href="mailto:ryan@literacteducation.com.au">ryan@literacteducation.com.au</a> <a href="mailto:emma@hivized.com.au">emma@hivized.com.au</a>
Audit Team			
Audit Firm	Moore Stephens	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Emma Duffy Ryan Lesperance
Registering Body Details			
Contact Person	Emma Hickingbotham		
Phone Number	9032 1562	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	<b>Re-registration Audit</b>		
Conditions Audited	1, 2, 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, 2.6, 2.7	3.1, 3.2, 3.3, 3.4
VRQA Guidelines Audited	1, 2, 4, 5		
Audit Date/s	7 and 8 October 2014.		
RTO Background			
<p>Pro-active Training and Assessments Pty Ltd was purchased by the two current Directors, Ryan Lesperance and Emma Duffy, in 2012.</p> <p>The organisation was subject to a NARA Re-registration audit in 2011 and also had a contract with HEGS for funding under the Victorian Training Guarantee.</p> <p>The organisation adopted the trading name of HiViz Ed and operates under this name for its training services. The organisation also developed learning and assessment resources under the Pro-active Training name.</p> <p>Currently the RTO delivers fee-for-service training and does not have a contract with HESG for supporting learners through the VTG fund. The organisation aims to achieve a contract with HESG within the next 12 months.</p> <p>HiViz Ed delivers training to individuals and companies who seek training. Individuals may be referred through Job Networks and students are able to access funding as job seekers and receive support through these government</p>			

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sources. The organisation is a preferred provider for a number of large companies including Bunnings and Dulux where training is delivered on a fee for service basis.

The organisation has developed its own training and assessment materials and also markets these resources to other RTOs.

HiViz Ed aims to achieve a contract with HESG for 2015 and increase its scope of registration to include additional qualifications for the warehousing and logistics industries. The organisation also aims to develop partnerships with businesses to access warehouse facilities for training and assessment and deliver training to larger companies.

Both directors who purchased the RTO in 2012 have previously been involved in the ownership and management of RTOs and have extensive experience in VET. Both have also been trainers and assessors delivering a diversity of industry qualifications.

HiViz Ed has developed a Quality Management System including a policy and procedure, participant handbook, trainer handbook and related documents and forms that were identified as appropriate for the scope and scale of operations. At audit these were found to be adequate for managing the operations of the organisation. The areas of non-compliance related to assessment documents that were not consistent with unit assessment requirements.

Enrolments included:

2013 - No enrolments in qualifications. 176 enrolments in individual licensing units.

2014 - 24 enrolments in qualifications (to date).

233 enrolments in Licence to operate a forklift truck.

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Qualifications/Units Audited <sup>1</sup>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
TLI21610	Certificate II in Warehousing Operations	Hallam
TLI31610	Certificate III in Warehousing Operations	Hallam
CPCCOHS1001A	Work safely in the construction industry	
TLILIC2001A	Licence to operate a forklift truck	

Interviewee(s) – Staff name and position; employer name and position	
Lidia Dadgatt	Trainer/assessor: Certificate II in Warehousing Operations Certificate III in Warehousing Operations Licence to operate a forklift truck
Sidath Edirisinghe	Trainer/assessor: Certificate II in Warehousing Operations Certificate III in Warehousing Operations
Class of 12 students	Certificate II in Warehousing Operations
Class of 8 students	Licence to operate a forklift truck

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
If 'No', please provided amended details below:		

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
Delivery site: Hallam. Only site – not identified on TGA. Sighted documentation re application for Occupancy Certificate Class 9B. Application in progress.		

<sup>1</sup> 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	X		
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	X		
7	Recognition of Qualifications Issued by other RTOs	X		
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses	X		

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### Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<b>Standard 1</b>	<b>X</b>		
1.1 – Continuous Improvement Strategy	X		
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	
<b>Standard 2</b>	<b>X</b>		
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services		X	
2.3 – Provision of Information to Clients		X	
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy	X		
<b>Standard 3</b>	<b>X</b>		
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations	X		
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management	X		
<b>Summary of Non-Compliance</b>			
<p><b>SF.1.2.1</b>  <b>TLI21610 Certificate II in Warehousing Operations</b>  <b>TLI31610 Certificate III in Warehousing Operations</b>            Industry consultation was identified as consultation with local corporate business and industry, other VET practitioners and facilitators and feedback from participants. Evidence of consultation that informed the development of the TAS was not available. Information about who was consulted, when and feedback obtained was not identified.</p> <p><b>TLI21610 Certificate II in Warehousing Operations</b>            Units identified in Training and Assessment Strategies and targeted clients were not consistent with those identified in the marketing materials on the HiViz Ed website for the Certificate II and Certificate III in Warehousing Operations.</p> <p><b>SF.1.3.1</b>  <b>TLI21610 Certificate II in Warehousing Operations</b>  <b>Unit: TLIA2012A Pick and process orders.</b>            Interact Warehousing Operations Manual was intended as a learner manual however it included instructions to the</p>			

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assessor.

The Interact Warehousing Operations Manual – Assessor Version was incomplete and did not include model answers for Section 2 – Demonstration, to ensure consistency of assessment marking and reliability of assessment marking by all assessors.

**Unit: TLIB1028A Maintain and use hand tools**

Required assessment tasks for units were not consistently identified in the student assessment agreement, unit completion record or the actual assessments completed by students.

**SF.1.5.1**

**TLI21610 Certificate II in Warehousing Operations**

Unit:

**TLIA2012A Pick and process orders**

Interact Warehousing Operations Manual was intended as a learner manual however it included instructions to the assessor.

The Interact Warehousing Operations Manual – Assessor version was incomplete and did not include model answers for Section 2 – Demonstration, to ensure consistency of assessment marking and reliability of assessment marking, by all assessors.

Unit:

**TLIB1028A Maintain and use hand tools**

A review of student completed assessments confirmed that students had been marked as competent for incomplete assessment answers and incorrect answers.

**SF.2.2.1**

HiViz Ed had not identified or implemented a strategy for the continuous improvement of client services by collecting, analysing and acting upon relevant data.

**SF.2.3.1**

**TLI21610 Certificate II in Warehousing Operations**

The TAS identified units as two core units and 19 electives. This included an additional six elective units. The marketing information on the website identified two core units and 13 elective units meeting the packaging requirements. The TAS arrangements for entry requirements identified new workers. This was not consistent with marketing information on the website which identified existing and new workers.

Units identified in Training and Assessment Strategies and targeted clients were not consistent with those identified in the marketing materials on the HiViz Ed website for the Certificate II and Certificate III in Warehousing Operations.

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### Audit Summary – VRQA Guidelines for VET Providers

VRQA Guidelines	Compliant	Non - Compliant	Not audited
<b>1. Governance, Probity and Compliance</b>	<b>X</b>		
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems	X		
1.4 – Organisational Governance			X
1.5 – Academic/Educational Governance	X		
1.6 – Change Reporting			X
<b>2. Quality Assurance, Review and Evaluation Processes</b>	<b>X</b>		
2.1 – Course Quality	X		
2.2 – Cheating and Plagiarism	X		
2.3 – Quality Education and Training	X		
<b>3. Student Enrolment Records and Certification</b>	<b>X</b>		
3.4 – Provision of Courses to Domestic Students	X		
<b>4. Student Learning Outcomes and Welfare Services</b>	<b>X</b>		
4.1 – Maximum Daily Hours of Attendance	X		
4.2 – Out of Hours Attendance	X		
4.4 – Student Safety	X		
<b>5. Teaching, Learning and Assessment</b>	<b>X</b>		
5.1 – Capacity to Deliver Scope of Registration	X		
<b>Summary of Non-Compliance</b>			
<p><b>1.5</b> HiViz is required to review assessment mapping documents and ensure that they are accurate and confirm that assessment tasks meet all the requirements of the unit assessment requirements</p>			

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### Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The Directors had ensured that HiViz Ed complied with the AQTF Essential Conditions and Standards for Continuing Registration and national guidelines.	<ul style="list-style-type: none"> <li>Sample of Quarterly Directors' Meeting Agenda and Minutes.</li> <li>Internal Audit conducted 30 September 2014, completed by Penny Green.</li> </ul>	N/A	
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Trainers were in a position to influence the management of the organisation and had satisfied Fit and Proper Person requirements through completing a Fit and Proper Person Declaration and maintaining current National Police Checks.	<ul style="list-style-type: none"> <li>National Police Checks for Directors</li> <li>Completed Fit and Proper Person Declarations for Directors</li> <li>Trainer files – National Police Check</li> <li>Sample of bi-quarterly staff meeting agendas and minutes</li> </ul>	N/A	
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The RTO had demonstrated that it ensured the decision making of senior management was informed by the experiences of its trainers and assessors.	<ul style="list-style-type: none"> <li>Sample of bi-quarterly staff meeting agendas and minutes</li> </ul>	N/A	
CONDITION 2 - Interactions with the Registering Body			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	



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<p>Management had ensured the RTO cooperated with its registering body as confirmed by submission of applications and reports.</p>	<ul style="list-style-type: none"> <li>• AVETMISS data submitted 30 June 2014.</li> <li>• QI outcomes data – 24 June 2014.</li> </ul>	<p>N/A</p>
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CONDITION 3 - Compliance with Legislation			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>HiViz Ed had demonstrated compliance with Commonwealth and State legislation and regulatory requirements that were relevant to its operations and its scope of registration and had ensured that its staff and clients were fully informed of these requirements that affected their duties or participation in vocational education and training.</p>	<ul style="list-style-type: none"> <li>• Policy and Procedures – VET Legislation</li> <li>• Trainer Handbook</li> <li>• Participant Handbook</li> </ul>	<p>N/A</p>	

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CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>HiViz Ed had issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF) TGA. The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.</p> <p>The RTO had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years.</p> <p>HiViz Ed had implemented VETrak as the student records management system with the capacity to provide the registering body with AVETMISS compliant data.</p> <p>The RTO had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2013.</p>	<ul style="list-style-type: none"> <li>• Data Management System – sample entries</li> <li>• Sample of Statement of Attainment and Certificate issued</li> <li>• Certificate for Abdul Bashardost, TLI21610, 8/8/2014</li> <li>• Records management - student work retention procedure.</li> <li>• Sample of AVETMISS entries in VETrak.</li> <li>• Latest return of student records of attainment sent to the VRQA 24/6/2014</li> </ul>	N/A	

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CONDITION 7 - Recognition of Qualifications Issued by other RTOs			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>HiViz Ed had procedures in place for the recognition of AQF Qualifications and Statements of Attainment issued by any other RTO. Students were informed in the Participant Handbook 2014 and on the enrolment form.</p>	<ul style="list-style-type: none"> <li>Policy and Procedure - Recognition of Qualifications – Credit transfer</li> <li>Trainer Handbook</li> <li>Enrolment form</li> <li>Participant Handbook</li> </ul>	<p>N/A</p>	

### Improvement Opportunities

**CI.7.1**

HiViz Ed would benefit from reviewing the information about RPL and Credit Transfer on the Enrolment Form to make it clear that students can access national recognition.

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CONDITION 8 - Accuracy and Integrity of Marketing			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed had ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration. The NRT and AQF logos were employed in accordance with conditions of use.	<ul style="list-style-type: none"> <li>• Policy and Procedures Manual – Use of logo and marketing.</li> <li>• Website course information</li> <li>• Marketing Approvals Folder</li> </ul>	N/A	

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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed had provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA.	<ul style="list-style-type: none"> <li>• Policy and Procedures Manual - Review of Scope of Registration.</li> <li>• Procedures for maintaining currency.</li> <li>• Qualifications and units on scope.</li> </ul>	N/A	

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### Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed had demonstrated that it was able to improve quality training by collecting, analysing and acting on relevant data for continuous improvement of training and assessment.	<ul style="list-style-type: none"> <li>Schedules of meetings – some related to continuous improvement.</li> <li>Management and Risk Mitigation Meeting Agenda Q2 June 2014.</li> <li>Continuous Improvement Meeting 5/2/2014.</li> <li>Register of actions implemented.</li> <li>Samples of minutes of feedback analysis and actions to be taken.</li> <li>Memos sent to staff to inform of changes.</li> </ul>	N/A	

### Improvement Opportunities

#### SI.1.1

HiViz Ed would benefit from:

- Identifying the type of information that may be of benefit to them and then identifying the strategies most relevant to obtaining this information.
- Developing a plan that identifies stakeholders, specific feedback and collection strategies.

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ELEMENT 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.			Non-Compliant
SF.1.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p><b>TLI21610 Certificate II in Warehousing Operations</b> <b>TLI31610 Certificate III in Warehousing Operations</b> Industry consultation was identified as consultation with local corporate business and industry, other VET practitioners and facilitators and feedback from participants. Evidence of consultation that informed the development of the TAS was not available. Information about who was consulted, when and feedback obtained was not identified.</p> <p><b>TLI21610 Certificate II in Warehousing Operations</b> Units identified in Training and Assessment Strategies and targeted clients were not consistent with those identified in the marketing materials on the HiViz Ed website for the Certificate II and Certificate III in Warehousing Operations.</p>	<p>Training and assessment arrangements for the qualifications:</p> <ul style="list-style-type: none"> <li>• TLI21610 Certificate II in Warehousing Operations</li> <li>• TLI31610 Certificate III in Warehousing Operations</li> <li>• CPCCOHS1001A Work safely in the construction industry</li> <li>• TLILIC2001A Licence to operate a forklift truck</li> </ul>	<p><b>TLI21610 Certificate II in Warehousing Operations</b> <b>TLI31610 Certificate III in Warehousing Operations</b> HiViz Ed is required to provide evidence of the industry consultation conducted with local corporate business and industry, other VET practitioners and facilitators and feedback from participants, used to inform the development of the TAS for each qualification and including information about who was consulted, when and feedback obtained.</p> <p><b>TLI21610 Certificate II in Warehousing Operations</b> <b>TLI31610 Certificate III in Warehousing Operations</b> HiViz Ed is required to review course information on the organisation's website and modify where required to ensure that units identified for qualification are consistent with the qualifications that students are enrolled in and are required to complete.</p>



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ELEMENT 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.		Non-Compliant	
SF.1.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p><b>TLI21610 Certificate II in Warehousing Operations</b> <b>Unit: TLIA2012A Pick and process orders.</b> Interact Warehousing Operations Manual was intended as a learner manual however it included instructions to the assessor. The Interact Warehousing Operations Manual – Assessor Version was incomplete and did not include model answers for Section 2 – Demonstration, to ensure consistency of assessment marking and reliability of assessment marking by all assessors.</p> <p><b>Unit: TLIB1028A Maintain and use hand tools</b> Required assessment tasks for units were not consistently identified in the student assessment agreement, unit completion record or the actual assessments completed by students.</p>	<p>For each qualification:</p> <ul style="list-style-type: none"> <li>• TAS identified a comprehensive listing of facility requirements, resources and equipment.</li> <li>• Trainer/assessor information for each qualification.</li> <li>• Interact Warehousing Operations Manual for each cluster of units related to units sampled.</li> </ul>	<p><b>TLI21610 Certificate II in Warehousing Operations</b> HiViz Ed is required to:</p> <ul style="list-style-type: none"> <li>• Review Interact Warehousing Operations Manual for students and modify where required to ensure it is specific to learners and does not include instructions for assessors.</li> <li>• Review and modify assessment tasks, where required for each unit, as identified in unit, student assessment agreement, unit completion record and the actual assessments completed by students, to ensure that these are consistent and that the unit completion record accurately identifies the assessment tasks satisfactorily completed by the students before the assessor signs to confirm that the student has satisfactorily completed all assessment tasks and that the student is therefore deemed competent for the unit.</li> </ul>

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ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:			Compliant
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.			
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>HiViz Ed had contracted sufficient trainers/assessors who had the necessary training and assessment and the relevant vocational competencies at least to the level being delivered or assessed and were able demonstrate current industry skills directly relevant to the training/assessment being undertaken. Evidence was provided that trainers/assessors continued to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competency.</p>	<p>Personnel files for the following trainers/assessors:</p> <ul style="list-style-type: none"> <li>• <b>TLILIC2001A Licence to operate a forklift truck</b> Trainer/Assessor: Lidia Dadgatt</li> <li>• <b>CPCCOHS1001A Work safely in the construction industry</b> Trainer/Assessor: Wayne Sugden</li> <li>• <b>TLI21610 Certificate II in Warehousing Operations</b></li> <li>• <b>TLI31610 Certificate III in Warehousing Operations</b> Trainer/Assessor: Wayne Sugden Trainer/assessor: Sidath Edirisinghe Trainer/Assessor: Lidia Dadgatt</li> </ul>	<p>N/A</p>	

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ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):			Non-Compliant
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 d) is systematically validated.			
SF.1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p><b>TLI21610 Certificate II in Warehousing Operations</b> Unit: <b>TLIA2012A Pick and process orders</b> Interact Warehousing Operations Manual was intended as a learner manual however it included instructions to the assessor. The Interact Warehousing Operations Manual – Assessor version was incomplete and did not include model answers for Section 2 – Demonstration, to ensure consistency of assessment marking and reliability of assessment marking, by all assessors.</p> <p>Unit: <b>TLIB1028A Maintain and use hand tools</b> A review of student completed assessments confirmed that students had been marked as competent for incomplete assessment answers and incorrect answers.</p>	<p><b>Learning and assessment tools for a sample of units from the</b></p> <ul style="list-style-type: none"> <li>• TLI21610 Certificate II in Warehousing Operations</li> <li>• TLI31610 Certificate III in Warehousing Operations</li> <li>• CPCCOHS1001A Work safely in the construction industry</li> <li>• TLILIC2001A Licence to operate a forklift truck</li> </ul> <p>Sample of student files and completed assessments.</p>	

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2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed had established the needs of clients and delivered services to meet these needs.	<ul style="list-style-type: none"> <li>• Policy and Procedures Manual – LLN and Counselling and Support Services, monitoring course progress.</li> <li>• Enrolment Form LLN Survey.</li> <li>• Feedback from trainers on student ability and aptitude.</li> <li>• Reasonable adjustment strategies.</li> <li>• Pre-enrolment review – pre-training review.</li> </ul>	N/A	

### Improvement Opportunities

#### SI.2.1

HiViz Ed would benefit from:

- Reviewing student AVETMISS data to identify areas that may impact on a student's learning.
- Reviewing student handbook reference to *Participant Counselling Services and Support* and only referring to counselling if staff had relevant counselling qualifications.

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2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.			<b>Non-Compliant</b>
SF.2.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	HiViz Ed had not identified or implemented a strategy for the continuous improvement of client services by collecting, analysing and acting upon relevant data.	Surveys conducted: <ul style="list-style-type: none"> <li>Quality Indicator student survey</li> <li>RTO end of course survey</li> </ul>	HiViz Ed is required to develop and implement procedures for the continuous improvement of client services by collecting, analysing and acting upon relevant data.

### Improvement Opportunities

#### SI.2.2

HiViz Ed would benefit from identifying the type of information that would be of value and then identifying strategies to obtain this feedback.

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2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.			Non-Compliant
SF.2.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p><b>TLI21610 Certificate II in Warehousing Operations</b> The TAS identified units as two core units and 19 electives. This included an additional six elective units. The marketing information on the website identified two core units and 13 elective units meeting the packaging requirements. The TAS arrangements for entry requirements identified new workers. This was not consistent with marketing information on the website which identified existing and new workers. Units identified in Training and Assessment Strategies and targeted clients were not consistent with those identified in the marketing materials on the HiViz Ed website for the Certificate II and Certificate III in Warehousing Operations.</p>	<ul style="list-style-type: none"> <li>Website information – RTO information and course information</li> </ul>	<p><b>TLI21610 Certificate II in Warehousing Operations</b> HiViz Ed is required to review course information on the organisation's website and modify where required to ensure that units identified for the qualification are consistent with the qualifications that students are enrolled in and are required to complete.</p>

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2.4 - 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.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The employer contributed significantly to each learner's training and assessment and was engaged in the development, delivery and monitoring of training and assessment.	<ul style="list-style-type: none"> <li>TAS industry consultation.</li> <li>Sample of completed employer validation forms.</li> </ul>	N/A	

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2.5 - Learners receive training, assessment and support services that meet their individual needs.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs.</p>	<ul style="list-style-type: none"> <li>• Sample of student file notes</li> <li>• Students interviewed</li> </ul>	<p>N/A</p>	



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2.6 - Learners have timely access to current and accurate records of their participation and progress.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress.	<ul style="list-style-type: none"> <li>• Policy and Procedure Manual – participant rights, records management</li> <li>• Enrolment form</li> <li>• Participant Handbook, p16, Records management.</li> </ul>	N/A	

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2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed had developed and implemented appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	<ul style="list-style-type: none"> <li>• Policy and Procedures Manual - Complaints and Appeals</li> <li>• Participant Handbook</li> <li>• Trainer Handbook</li> </ul>	N/A	

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3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.			<b>Compliant</b>
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>HiViz Ed had implemented strategies for the effective management of its operations to ensure that clients received the services detailed in their agreement with the RTO.</p>	<ul style="list-style-type: none"> <li>• Enrolment form</li> <li>• Web information</li> <li>• Participant Handbook</li> <li>• Policies and procedures manual</li> <li>• Quarterly management meetings</li> <li>• Student files</li> </ul>	<p>N/A</p>	

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3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed had implemented a systematic approach to the continuous improvement of its management operations which included the conduct of an annual internal audit of compliance with the AQTF involving an external consultant.	Internal audit report completed 30/9/2014	N/A	

### Improvement Opportunities

**SI.3.2**  
 Though HiViz Ed had implemented a systematic approach to the continuous improvement of its management operations which included the conduct of an annual internal audit of compliance with the AQTF involving an external consultant, the audit report identified no rectification or improvement requirements however a number of non-compliances were identified during the Re-registration audit. HiViz Ed would benefit from reviewing internal audit procedures to ensure that this accurately identifies non-compliances and areas for improvement.

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3.4 - The RTO manages records to ensure their accuracy and integrity.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed had developed and implemented procedures to ensure their accuracy and integrity.	<ul style="list-style-type: none"> <li>Policy and Procedures Manual - Records Management.</li> <li>Back up procedures</li> <li>Version control</li> <li>Archiving procedures</li> <li>Retention procedures</li> <li>Review of files and documentation</li> </ul>	N/A	

Improvement Opportunities
<p><b>SI.3.4</b> HiViz Ed would benefit from maintaining a Records and Documents Register.</p>

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### Detailed Findings – VRQA Guidelines for VET Providers

GUIDELINE 1.3 - The provider must provide information about its management systems.			<b>Compliant</b>
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed had provided information about its management systems.	<ul style="list-style-type: none"> <li>Fit and Proper Person Declarations</li> <li>Student Records Management – samples of VETrak entries</li> <li>Staff Records – sample of staff personnel files</li> <li>Sample of Management Records</li> </ul>	N/A	

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GUIDELINE 1.5 - Consistent with its overall governance arrangements the provider must have appropriate academic/educational governance arrangements.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The RTO had appropriate academic/educational governance arrangements in place.	<ul style="list-style-type: none"> <li>Information about industry people who provided feedback and advice.</li> <li>Records of industry feedback provided</li> <li>Sample of minutes of management meetings</li> </ul>	N/A	

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GUIDELINE 2.1 - The provider must demonstrate that it is able to monitor course quality, externally moderate student performance and drive continuous improvement in course delivery.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>HiViz Ed identified sources to monitor course quality and externally moderate student performance to drive continuous improvement in course delivery. This included feedback from other RTOs using HiViz developed assessment tools.</p>	<ul style="list-style-type: none"> <li>Feedback from recipients of materials developed</li> <li>RTOs that used the products and feedback from RTOs audited.</li> <li>Moderating student results on assessments and feedback from other RTOs.</li> </ul>	<p>N/A</p>	



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GUIDELINE 2.2 - The provider must demonstrate that it has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed had developed and implemented procedures to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices.	<ul style="list-style-type: none"> <li>• Policy and Procedures Manual – Plagiarism.</li> <li>• Trainer Handbook – minimising plagiarism</li> <li>• Participant Handbook – information.</li> </ul>	N/A	

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<b>GUIDELINE 2.3 - The provider must demonstrate that they can provide quality education and training to students</b>			<b>Compliant</b>
	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	See 1.5		

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<p><b>GUIDELINE 3.4 - For provision of courses to domestic students (students who do not hold Student Visas) a provider who is not exempt under the provisions of any Ministerial Direction, Order, Regulation or Act must:</b></p> <ul style="list-style-type: none"> <li>• be a member of a Tuition Assurance Scheme for domestic students or</li> <li>• obtain appropriate tuition fee insurance, or bank guarantee sufficient to meet refund of fees paid in advance or</li> <li>• only accept student tuition payments in arrears.</li> </ul>			<b>Compliant</b>
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed had developed and implemented procedures to only accept student tuition payments in arrears.	<ul style="list-style-type: none"> <li>• Participant Handbook – Student Fees and Refund Policy</li> <li>• Policy and Procedures Manual – Student Fees</li> </ul>	N/A	

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GUIDELINE 4.1 - A provider must not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>HiViz had identified training times and that students would not be required to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day.</p>	<ul style="list-style-type: none"> <li>• Policy and Procedures Manual – Safe and ethical practice during student learning.</li> <li>• Course scheduled program times</li> </ul>	<p>N/A</p>	

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GUIDELINE 4.2 - A provider must not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>HiViz Ed had developed and implemented procedures to ensure that full time students did not attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day.</p>	<ul style="list-style-type: none"> <li>Policy and Procedures Manual – Safe and ethical practice during student learning.</li> <li>Course scheduled program times</li> </ul>	<p>N/A</p>	

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GUIDELINE 4.4 - Providers must indicate the measures they intend to take to address matters of student safety.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
HiViz Ed was compliant with the requirements of Guideline 4.4.	<ul style="list-style-type: none"> <li>• Policy and Procedures Manual – Safe and ethical practice during student learning.</li> <li>• Information about safety gear</li> <li>• Information sheet about safety issues and arrangements</li> <li>• Enrolment communications about safety in the workshop and what to wear.</li> </ul>	N/A	

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GUIDELINE 5.1 - The provider must demonstrate that they have the capacity to deliver and assess ALL the courses requested/on the scope of registration.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Unit assessment mappings did not confirm that assessment tasks met unit requirements.	<ul style="list-style-type: none"> <li>Evidence of communication with local municipality and Application for Occupancy Certificate.</li> </ul>	HiViz is required to review assessment mapping documents and ensure that they are accurate and confirm that assessment tasks meet all the requirements of the unit assessment requirements	