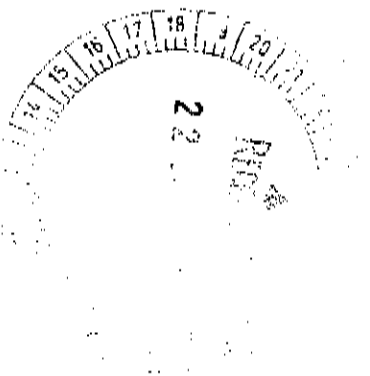


VRQA2012-222
RTO 22504

Ms Jacquie O'Brien
Chief Executive Officer
Solutions Plus Training Ltd
293 Royal Parade
PARKVILLE VIC 3052



Victorian Registration &
Qualifications Authority

Level 6 35 Spring St
Melbourne VIC 3000
GPO Box 2317
Melbourne VIC 3001
T 61 3 9637 2806
F 61 3 9651 3266
vrqa@edumail.vic.gov.au

Dear Ms O'Brien

Post Initial Audit (12 month): compliance matters

I am writing in relation to the registration of Solutions Plus Training Ltd as a registered training organisation (RTO) under Part 4.3 of the *Education and Training Reform Act 2006*.

It is a condition of the *Education and Training Reform Act 2006* that a RTO must comply with the minimum conditions and standards and any guidelines for registration including the *Australian Quality Training Framework Essential Conditions and Standards for Continuing Registration (AQTF)* and the *VRQA Guidelines for VET Providers (VRQA Guidelines)*.

An independent audit held on 30 May 2012 assessed the compliance of Solutions Plus Training Ltd against the *AQTF* and *VRQA Guidelines*. I note that you accepted the findings of the *AQTF* audit report and the *VET Guidelines* audit report in full, and that you have not commented on the draft audit report which was provided to you by the auditor.

I now enclose the final audit reports for your attention which indicate significant non-compliance with the *AQTF* and non-compliance with elements of the *VRQA Guidelines*.

Given the extent of non-compliance of Solutions Plus Training Ltd as a RTO, you are required under Part 4.3.17 of the *Education and Training Reform Act 2006* to provide within **28 days** of receiving this correspondence documented evidence of how non-compliance has been rectified.

Please forward your submission of evidence to Ms Julie Florence, VET Quality Assurance, VRQA, GPO Box 2317, Melbourne, 3001.

Should you have concerns about the conduct of the registration/audit process please address these in writing to the Complaints Manager, VRQA, GPO Box 2317, Melbourne, 3001.

If you have any further questions, please contact Ms Julie Florence on (03) 9651 3229 or email julie.e@edumail.vic.gov.au.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Lynn Glover'.

LYNN GLOVER
Director, VRQA
19 June 2012



VRQA Guidelines for VET Providers AUDIT REPORT

RTO: Solutions Plus

Audit Date: 30/5/12

RTO DETAILS							
RTO Name	Solutions Plus	TGA Number	22504				
Address	293 Royal Parade, Parkville			Website	www.solutionsplustraining.com.au/		
Registration Contact	Ms Jacquie O'Brien						
Phone Number	9347 3373	Email	jacquieo@amvic.com.au				
Student Numbers	5						
AUDIT TEAM							
Lead Auditor	Chloe Dyson	Auditor/s	Sue Foster				
Technical Advisor/s							
REGISTERING BODY DETAILS							
Contact Person	Katherine Papastathopoulos						
Phone Number	9651 3225	Email	vet.audit@edumail.vic.gov.au				
AUDIT DETAILS							
Type of Audit	Post-Initial/Extension to scope/Renewal/Monitoring/Complaint/Strategic						
Guidelines audited	1.2.3, 1.3.3, 1.3.4, 1.4.1, 1.5	2.1.2, 2.2, 2.3	3.4	4.1, 4.2, 4.4	5.1		
	Audit Dates: 30/5/12						
Other audit notes							
ACCOMPANYING REPORTS							
Continuing Registration – Standards & Conditions						Yes	No
VRQA Guidelines – Re-registration Checklist						✓	



VRQA Guidelines for VET Providers AUDIT REPORT

RTO: Solutions Plus

Audit Date: 30/5/12

FOCUS OF AUDIT		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
NTIS Code	Qualification/Unit of Competence/Accredited Course (as per NTS)	Delivery Site
HLT52007	Diploma of Health Practice Management	Workplace

INTERVIEWEES: Staff name and position; employer name and position; students by program (do not list by name)	
Ms Mary Spaul Practice Development Consultant	Ms Jacque O'Brien – Director Training and Practice Support

**VRQA Guidelines for VET Providers
AUDIT REPORT**

RTO: Solutions Plus

Audit Date: 30/5/12

AUDIT SUMMARY

Guideline 1: Governance, Probity and Compliance with Statutory Requirements	Result	✓
	Compliant	
	Non-compliant	✓
	Not audited	
Audit conclusion:		
<p>Guideline 1.3.3. The RTO is non compliant with Guideline 1.3.3. The RTO's records management procedures do not include the requirements that:</p> <ul style="list-style-type: none"> • copies of student records are not able to be withheld by the provider; and • copies of student records able to be provided in electronic and print versions, at no cost to the VRQA in the event that the provider ceases operations <p>Rectification required The RTO is required to ensure that its records management procedures are complete.</p> <p>Guideline 1.3.4 The RTO is non compliant with Guideline 1.3.4. Refer AQTF 1.4. Mapping documents were not in place; CVs were not all current; contracts and position descriptions were not in place for all trainers. One file did not hold the either the TAE40110 or equivalent or vocational qualifications.</p> <p>Rectification required The RTO is required to ensure that staff records are kept according to VRQA requirements.</p> <p>Guideline 1.4 The applicant is compliant with Guideline 1.4</p> <p>Guideline 1.5. The applicant is compliant with Guideline 1.5.</p>		

VRQA Guidelines for VET Providers
AUDIT REPORT

RTO: Solutions Plus

Audit Date: 30/5/12

Strengths
Opportunities for Improvement

**VRQA Guidelines for VET Providers
AUDIT REPORT**

RTO: Solutions Plus

Audit Date: 30/5/12

Guideline 2: Quality Assurance, Review and Evaluation Processes	Result	✓
	Compliant	
	Non-compliant	✓
	Not audited	
Audit conclusion		
<p>Guideline 2.1.2 The applicant is non compliant with Guideline 2.1.2. The assessment validation and moderation procedure does not make reference to external parties.</p> <p>Rectification required The RTO is required to adjust its assessment validation processes so that external input is included in assessment validation processes.</p> <p>Guideline 2.2 The applicant is compliant with Guideline 2.2.</p>		
Strengths		
Opportunities for improvement		

**VRQA Guidelines for VET Providers
AUDIT REPORT**

RTO: Solutions Plus

Audit Date: 30/5/12

Guideline 3: Student Enrolment Records and Certification	Result	✓
	Compliant	✓
	Non-compliant	
	Not audited	
Audit conclusion		
The applicant is compliant with Guideline 3.		
Strengths		
Opportunities for Improvement		

**VRQA Guidelines for VET Providers
AUDIT REPORT**

RTO: Solutions Plus

Audit Date: 30/5/12

Guideline 4: Student Learning Outcomes and Welfare Services	Result	✓
	Compliant	
	Non-compliant	
	Not audited	✓
Audit conclusion		
NA – workplace based training		
Strengths		
Opportunities for Improvement		

VRQA Guidelines for VET Providers
AUDIT REPORT

RTO: Solutions Plus

Audit Date: 30/5/12

Guideline 5: Teaching, Learning and Assessment	Result	
Audit conclusion	Compliant	
	Non-compliant	✓
	Not audited	
<p>Training and assessment materials did not meet the requirements of Guideline 5. Issues included:</p> <ul style="list-style-type: none"> • Assessment tools not fully developed • Inadequate planning in place <p>Rectification required</p> <p>The RTO is required to implement the requirements of Guideline 5 when revising its strategy for training and assessment and its training and assessment materials.</p>		
Strengths		
Opportunities for improvement		

AQTF Essential Conditions and Standards for Continuing Registration AUDIT REPORT

RTO: Solutions Plus

Audit Date: 30/5/12

RTO DETAILS						
RTO Name	Solutions Plus	NTIS Number	22504			
Address	293 Royal Parade, Parkville		Website	www.solutionsplustraining.com.au/		
Registration Contact	Ms Jacquie O'Brien					
Phone Number	9347 3373	Email	jacquieo@amavic.com.au			
Student Numbers	5					
AUDIT TEAM						
Lead Auditor	Chloe Dyson	Auditor/s	Sue Foster			
Technical Advisor/s	Observer/s					
REGISTERING BODY DETAILS						
Contact Person	Katherine Papastathopoulos					
Phone Number	9651 3225	Email	vet.audit@edumail.vic.gov.au			
AUDIT DETAILS						
Type of Audit	Post-initial					
Conditions audited	1, 3, 4, 6, 7, 8, 9. (Conditions 2 & 5 are not required to be audited; see page 3 below)					
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			
Audit Dates	30/5/12					
Other audit notes						
ACCOMPANYING REPORTS						
VRQA Guidelines Audit Report					Yes	No
VRQA Guidelines – Re-registration Checklist					✓	

AQTF Essential Conditions and Standards for Continuing Registration AUDIT REPORT

RTO: Solutions Plus

Audit Date: 30/5/12

FOCUS OF AUDIT		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
NTIS Code	Qualification/Unit of Competence/Accredited Course (as per NTIS)	Delivery Site
HL T52007	Diploma of Health Practice Management	Workplace

INTERVIEWEES: Staff name and position; employer name and position; students by program (do not list by name)

Ms Mary Spaul Practice Development Consultant	Ms Jacquie O'Brien – Director Training and Practice Support
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AQTF Essential Conditions and Standards for Continuing Registration AUDIT REPORT

RTO: Solutions Plus

Audit Date: 30/5/12

AUDIT SUMMARY

Conditions of Registration	Compliant	Non-compliant	Not audited
1 Governance 1.1 CEO must ensure the RTO complies with relevant conditions, standards and guidelines 1.2 Fit & Proper Persons Tests 1.3 Input of Trainers and Assessors in senior management decision making	✓		✓
2 Interactions with the Registering Body			✓
3 Compliance with Legislation		✓	
4 Insurance		✓	
5 Financial Management			✓
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	✓		

AOTF Essential Conditions and Standards for Continuing Registration

AUDIT REPORT

RTO: Solutions Plus

Audit Date: 30/5/12

<p>Summary of non-compliances – Conditions of Registration</p> <p>The RTO was non compliant with three of the Conditions.</p> <p>Condition 3: Compliance with legislation</p> <p>The procedure relating to adhering with legislation states that staff are inducted into the RTO's processes. However, there was no evidence that trainers had been inducted.</p> <p>Condition 4: Insurance</p> <p>The RTO provided an invoice for public liability but the certificate of currency was not available.</p> <p>Condition 8: Marketing</p> <p>There is a one page flyer, with similar information as that on the website. There is also a link to fees and charges information, which provides the government funded and the fee for service fees. It states that a materials fee may (workbooks) be payable. These costs and the conditions for paying fees are not provided, nor is the refund policy described.</p> <p>Both the website and the flyer describe a training program, not the recognition of prior learning approach described in the opening meeting. Only one of the current five students is taking a training and assessment pathway – the others are being assessed through RPL and the Director, Jacque O'Brien stated that the RPL pathway would be the common training and delivery approach. Given this, the marketing materials do not accurately describe the services provided by the RTO.</p>
<p>Recommendations</p> <p>Condition 3: Compliance with legislation</p> <p>The RTO is required to revise its processes so that staff are provided with information about legislation that affects their participation in education and training.</p> <p>Condition 4: Insurance</p> <p>The RTO is required to provide evidence that it has sufficient insurance in place.</p> <p>Condition 8: Marketing</p> <p>The RTO is required to ensure that its marketing is accurate.</p>
<p>Strengths</p>
<p>Opportunities for improvement</p>

AQTF Essential Conditions and Standards for Continuing Registration

RTO: Solutions Plus

Audit Date: 30/5/12

AUDIT REPORT

Standard 1: The RTO provides quality training and assessment across all of its operations	Result	✓
	Compliant	
	Non-compliant	✓
	Not audited	
Audit conclusion		
<p>The RTO is non compliant with Standard 1.</p> <p>Element 1.1 The continuous improvement procedure refers to the Continuous improvement committee throughout. This committee is not in place, so the procedure does not provide sufficient guidance on continuous improvement processes, given that the committee is of central importance in the procedure.</p> <p>Rectification required The RTO is required to develop processes to ensure that continuous improvement of training and assessment will be systematically implemented.</p> <p>Element 1.2 The strategy for training and assessment does not provide sufficient information about how the program will be conducted. The strategy provides just a general outline of training and assessment for each unit – for example, ‘Case studies’. Given this, it is difficult to determine in some units, what the proposed training and assessment will be. Strategy provides nominal hours for each unit but does not give timeframe for delivery or desired timeframe for RPL process. It does not note training resources to be used for each unit. The strategy does not clearly explain the emphasis that the RTO will place on RPL and gap training and how this will be achieved.</p> <p>Rectification required</p>		

AQTF Essential Conditions and Standards for Continuing Registration

RTO: Solutions Plus

Audit Date: 30/5/12

The RTO is required to revise its strategy for training and assessment so that it is accurate and complete.

Element 1.3 Resources

The RTO Practice Management Consultant, Mary Spaul stated that trainers would use the assessment in the Small Print resources and the Sea Eagle Publications for students who do not go through the RPL process. These resources have not been contextualised to the RTO's operations, nor to the way in which the RTO intends to use the resources, which will be for gap training and 1:1 delivery. There was also a folder of resources to be used to supplement the commercial learner guides. These materials include case studies and handouts, but there is no plan/guidance provided about their use. Please refer also to Elements 1.4 and 1.5.

Rectification required

The RTO is required to ensure that there are sufficient resources in place. Please refer also to Elements 1.4 and 1.5.

Element 1.4 Staffing

Regarding maintenance of vocational competency, currency of VET skills and knowledge and trainer/assessor competence, a written statement was provided at audit to the effect that the RTO subscribes to a range of newsletters and that these newsletters will be forwarded to trainers. However, no evidence of this happening was provided at audit. There was not a plan in place or a requirement specified in the one contract provided at audit that trainers were required to maintain vocational competency, currency of VET skills and knowledge and trainer/assessor competence.

Staff files were incomplete: equivalence was not established where trainers did not hold the units they were training in. One file did not hold the either the TAE40110 or equivalent or vocational qualifications.

Rectification required

The RTO is required to revise its staffing processes and evidence of staff qualifications and experience so that the requirements of AQTF Element 1.4 are met.

Strengths

Opportunities for Improvement

Element 1.5: It is suggested that the RTO consider using a form that will elicit more useful information for validation purposes.

AQTF Essential Conditions and Standards for Continuing Registration

RTO: Solutions Plus

Audit Date: 30/5/12

Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients	Result	✓
	Compliant	
	Non-compliant	✓
	Not audited	
Audit conclusion		
<p>The RTO is non compliant with Standard 2. The RTO is compliant with Elements 2.1 and 2.7.</p> <p>Element 2.2</p> <p>The RTO is non compliant with Element 2.2. The Continuous Improvement procedure refers to the Continuous improvement committee throughout. This committee is not in place, so the procedure does not provide sufficient guidance on continuous improvement processes, given that the committee is of central importance in the procedure.</p> <p>Rectification required</p> <p>The RTO is required to develop processes to ensure that continuous improvement of student services will be systematically implemented.</p> <p>Element 2.3</p> <p>The Student Handbook refers to:</p> <ul style="list-style-type: none"> • Course coordinators but there is no such role on the organisation chart • Course commencement, where the majority of activity is through RPL • Refunds – provides conditions for short courses but not for qualifications that are not government funded • Course orientation for students – this information is geared toward the classroom delivery of the qualification (eg refers to attendance, emergency procedures, RTO premises). It does not describe the workplace based delivery approach used by the RTO. • Complaints and appeals procedures – refers to the Director of Training – this role is not on the organisation chart • A re-assessment fee of \$45 per hour relating to workplace assessment – this information is not included in the fees and charges information on the website 		

AQTF Essential Conditions and Standards for Continuing Registration

RTO: Solutions Plus

Audit Date: 30/5/12

Rectification required

The RTO is required to revise its pre-engagement materials so that they are complete and accurate.

Element 2.4

There is no information documented about employers' responsibilities regarding supporting students during their programs.

Rectification required

The RTO is required to develop processes so that employers are engaged in the development, delivery and monitoring of training and assessment.

Element 2.5

The Language, literacy and numeracy (LLN) policy stated that the RTO would assess students' language, literacy and numeracy skills during their enrolment. However, the practice outlined in the delivery and assessment strategy is different. The strategy stated that it is assumed that, given the nature of the position and prior education of their clients, they would expect that students held adequate language and literacy levels and they would not require a LLN assessment. The policy and practice are inconsistent. Student files contained LLN assessments, which contradicted the information in the strategy for training and assessment.

Rectification required

The RTO is required to ensure that processes for identifying students' support needs are clearly described.

Element 2.6

Access to records information is included in the Student Handbook – students must write to the CEO if still training with the RTO and additionally, provide two forms of identification if no longer with the RTO. There is no procedure/process described that explains how the RTO manages this requirement.

Rectification required

The RTO is required to ensure that processes are in place so that students can gain access to records of their participation and progress.

Strengths

Opportunities for Improvement

AQTF Essential Conditions and Standards for Continuing Registration

RTO: Solutions Plus

Audit Date: 30/5/12

Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates	Result	✓
	Compliant	
	Non-compliant	✓
	Not audited	
Audit conclusion		
<p>The RTO is non compliant with Standard 3. The RTO was compliant in Element 3.4.</p> <p>Element 3.1 There is no agreement in place. The enrolment form is signed by students but it does not constitute an agreement because the services being provided and agreed to are not described.</p> <p>Rectification required The RTO is required to ensure that an agreement is in place and that there is a process in place to ensure that clients receive the services outlined in their agreements.</p> <p>Element 3.2 The Continuous improvement procedure refers to the Continuous improvement committee. This committee, which is central to the implementation of the procedure, is not in place.</p> <p>Rectification required The RTO is required to ensure that continuous improvement of the RTO's management system is systematically implemented.</p>		
Strengths		
Opportunities for Improvement		

AQTF

AQTF Essential Conditions and Standards for Continuing Registration

RTO: Solutions Plus

Audit Date: 30/5/12