

## AQTF Essential Conditions and Standards for Continuing Registration AUDIT REPORT

**RTO: Mediquest Pty Ltd**

**Audit Date: 19<sup>th</sup> – 20<sup>th</sup> August 2013**

RTO DETAILS				
RTO Name	Mediquest Pty Ltd	RTO Number	5982	
Address	1 Little David Street Yarraville VIC 3013			
	Website	www.mediquest.com.au		
Registration Contact	Denise Dawson			
Phone Number	03 – 9908 0190	Email	denise@mediquest.net.au	
Student Numbers	325 (2012) 259 (2013) as of 01/08/2013			
AUDIT TEAM				
Lead Auditor	Sandra Surguy	Auditor/s	N/A	
Technical Advisor/s	N/A	Observer/s	N/A	
REGISTERING BODY DETAILS				
Contact Person	Emma Hickingbotham			
Phone Number	9032 1562	Email	vet.audit@edumail.vic.gov.au	
AUDIT DETAILS				
Type of Audit	<b>Renewal</b>			
Conditions audited	1, 3, 4, 6, 7, 8, 9. <i>(Conditions 2 &amp; 5 are not required to be audited)</i>			
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 Date/s	19 <sup>th</sup> – 20 <sup>th</sup> August 2013			
Other audit notes	<p>The RTO provides training and assessment services to a range of individuals including those with special needs. These services are predominantly provided via government funding and to a lesser extent fee for service arrangements.</p> <p><b>Post Audit</b> Post audit, and in conjunction with the completed acceptance form, the RTO submitted a comprehensive action plan in respect of audit recommendations and opportunities for improvement.</p>			
ACCOMPANYING REPORTS			Yes	No
VRQA Guidelines Audit Report			✓	
VRQA Guidelines – Re-registration Checklist			✓	

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FOCUS OF AUDIT		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
BSB20107	Certificate II in Business	Not currently offered
CHC40312	Certificate IV in Disability	Workplace Based
BSB51107	Diploma of Management	RTO Based
22128VIC	Certificate I in Work Education	RTO and Workplace Based

INTERVIEWEE/S: Staff name and position; employer name and position; students by program (do not list by name)	
Denise Dawson	Director/Program Manager
Erin Wilson	Compliance Manager
Rima Bavishi	Administration Manager
Vijay Dasam	BSB51107 Trainer and Assessor

PERMANENT DELIVERY SITES:
<p>Do the RTO's permanent delivery sites match the information provided by the VRQA?</p> <p><input type="checkbox"/> Yes, no further information required.</p> <p><input checked="" type="checkbox"/> <b>No, please provide amended details below:</b></p> <p>Yarraville to be added as a delivery site (also RTO Head Office and administration centre)</p>

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### AUDIT SUMMARY

Conditions of Registration		Compliant	Non-compliant	Not audited
1	<b>Governance</b> 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	<b>Compliance with Legislation</b>		✓	
4	<b>Insurance</b>	✓		
5	Financial Management			✓
6	<b>Certification &amp; Issuing of Qualifications &amp; Statements of Attainment</b>	✓		
7	<b>Recognition of Qualifications Issued by other RTOs</b>		✓	
8	<b>Accuracy and Integrity of Marketing</b>	✓		
9	<b>Transition to Training Packages/Expiry of Accredited Courses</b>	✓		

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### Summary of non-compliances – Conditions of Registration

**Condition of Registration 1**

The RTO is compliant. Please note Opportunities for Improvement section.

**Condition of Registration 2**

Not Audited.

**Condition of Registration 3**

The RTO is not compliant.

Processes to guide and direct the implementation of key legislation within RTO operations, and to communicate such legislation to staff and students were not in place.

**Condition of Registration 4**

The RTO is compliant.

**Condition of Registration 5**

Not Audited

**Condition of Registration 6**

The RTO is compliant. Please note Opportunities for Improvement section.

**Condition of Registration 7**

The RTO is not compliant. Also note Opportunities for Improvement Section.

Current RTO documentation including the policy and procedure, student and staff information, and Training and Assessment Strategies confused National Recognition and Credit Transfer. National Recognition and credit transfer are two distinct processes, and this distinction needs to be reflected throughout RTO documentation and processes.

There was no communication strategy in place to inform applicants/students as to the relevant contact(s) for national recognition and/or the national recognition application process.

There was no communication strategy in place which informed staff of their roles and responsibilities re national recognition.

**Condition of Registration 8**

The RTO is compliant. Please note Opportunities for Improvement section.

**Condition of Registration 9**

The RTO is compliant.

### Recommendations

**Condition of Registration 3**

**Recommendations – It is recommended that:**

- Commonwealth and state legislation which underpins RTO operations including that pertaining to the

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Education and Training Reform Act 2006 (Victoria); AQTF Essential Standards and Conditions for Continuing Registration or VRQA Guidelines for VET Providers should be clearly articulated.

- A communication strategy which informs students of commonwealth and state legislation relevant to their participation in vocational education and training should be developed and disseminated.
- A communication strategy which informs RTO staff of legislative requirements and their role and responsibilities in relation to such legislation should be developed and disseminated.

### **Condition of Registration 7**

#### **Recommendations – It is recommended that:**

- Throughout RTO documentation and protocols, national recognition definitions and processes should be clearly delineated from that of credit transfer.
- A communication strategy which informs applicants/students of the relevant contact(s) for national recognition and/or the national recognition application process should be developed and disseminated.
- A communication strategy which informs staff about national recognition and their roles and responsibilities in the national recognition process should be developed and distributed.

#### **Strengths**

#### **Opportunities for Improvement**

- The RTO must ensure that all staff, including management and administrative staff, who have or may have contact with persons under the age of 18 have a current working with children check.
- Amend the Statement of Attainment template to ensure completed units are noted on the front of the parchment.
- Include a robust verification process within the national recognition procedure.
- Review course information on website to ensure such information is customised to Mediquest offerings.

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### AUDIT REPORT

<b>Standard 1: The RTO provides quality training and assessment across all of its operations</b>		
Audit conclusion	Result	
<b>The RTO is not compliant in the following elements of Standard 1.</b>	Compliant	
<b>Element 1.1 Continuous improvement of training and assessment – The RTO is compliant.</b>	Non-compliant	✓
<b>Element 1.2 Strategies for training and assessment – The RTO is not compliant; also note Opportunities for Improvement section.</b>	Not audited	
<p>A number of gaps were noted across sampled Training and Assessment Strategies, including:</p> <ul style="list-style-type: none"> <li>Actual course hours as noted within the Strategy being insufficient</li> <li>Number of units did not match that stated in the accredited course packaging rules</li> <li>Sample course schedule did not address the full course duration.</li> <li>Trainer and assessor information was either not included, or did not provide an overview of relevant qualifications.</li> <li>Legislation specific to the qualification/accredited course was not included.</li> <li>Specific infrastructure requirements/equipment was not noted within the Strategies.</li> <li>The RTO could not consistently demonstrate that each TAS had been developed in consultation with industry, and how such consultation had impacted on each TAS.</li> <li>Processes to monitor, review and improve the Strategies over time were not included.</li> <li>With specific reference to First Aid, completion of this unit pre course was not included within the relevant TAS as an entry requirement or notation of NR (National Recognition) identified within the unit list.</li> </ul> <p><b>Recommendations – It is recommended that:</b></p> <ul style="list-style-type: none"> <li>a full review of all Training and Assessment Strategies should be undertaken, ensuring details are current and comprehensive.</li> <li>With specific reference to First Aid, include this unit as an entry requirement within the relevant Strategy(ies), and note NR (National Recognition) within the unit list.</li> <li>industry stakeholders should be consulted in the development of training and assessment strategies and details of this consultation recorded, and where appropriate actioned.</li> </ul>		

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**Element 1.3 Staff, facilities, equipment, training and assessment materials are consistent with the requirements of the Training Package and the RTO's training and assessment strategies – The RTO is compliant**

**Element 1.4 Competence and industry currency of trainers and assessors – The RTO is not compliant.**

Across the sampled trainer and assessor files a number of gaps and anomalies were noted including:

- The RTO could not demonstrate that all trainers and assessors had current trainer and assessor competence as required by NSSC.
- The RTO could not demonstrate that all trainers and assessors had vocational competence and experience as defined by NSSC, and as this related to the target qualification/accredited course.
- Trainer/assessor resumes/cv's did not demonstrate industry skills and experience pertinent to the area of delivery and assessment.
- Records of professional development activities did not meet the breadth of activity required by NSSC.

**Recommendations – It is recommended that:**

- All trainers and assessors meet NSSC requirements for trainer and assessor competence, and vocational competence and experience to the target qualification/accredited course/unit or modules.
- CV's/resume should clearly outline industry experience relevant to the target qualification/accredited course/unit/ module.
- Trainers and assessors professional development activities meet NSSC requirements, and named, signed comprehensive records of such activities retained by the RTO.

**Element 1.5 Assessment – The RTO is not compliant, please also note Opportunities for Improvement section.**

A number of gaps and anomalies were noted within RTO assessment processes including:

- assessment processes at unit level did not align with those identified in training and assessment strategies.
- purchased assessment materials had not been customised to the RTOs assessment approach
- the assessment approach did not consistently meet the critical requirements of each unit of competency.
- the assessment approach was not consistently sufficient to confer competence.
- assessment activities unsigned and undated by the assessor.
- observation checklists completed post demonstration.

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### Recommendations – It is recommended that:

- there is consistency in assessment approach across course documentation.
- where purchased assessment materials are used these should be customised to meet the RTO's assessment approach.
- across all units of competency, the assessment approach must meet critical aspects or evidence and be sufficient to confer competency.
- completed assessment activity reports should be signed and dated by the relevant assessor.
- observation checklists should be completed as the demonstration progresses i.e. during the demonstration.

### Strengths

### Opportunities for Improvement

#### Element 1.2

##### Opportunities for Improvement

- Within each Strategy identify if units are delivered and assessed stand alone or clustered.
- Differentiate RTO entry requirements from that of the Training Package/accredited course.
- Ensure footers reflect correct qualification code.
- Distance education should only be noted as a delivery mode where learners are undertaking the course remotely.

#### Element 1.5

##### Opportunities for Improvement

- Ensure validation processes are inclusive of external, preferably industry, representation.
- Expand information provided to course applicants/students regarding RPL opportunities and the application process.



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<b>Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients</b>		
<b>Audit conclusion</b>	<b>Result</b>	<b>✓</b>
<p>The RTO is not compliant in the following elements of Standard 2.</p>	Compliant	
<p><b>Element 2.1 Establishing client needs and delivering services to meet these needs – The RTO is compliant.</b></p>	Non-compliant	✓
<p><b>Element 2.2 Improvement of client services through the collection, analysis and actioning of relevant data – The RTO is not compliant.</b>                      The RTO did not have a process in place for collecting, analysing and actioning data regarding client/support services in place.</p> <p><b>Recommendations – It is recommended that:</b></p> <ul style="list-style-type: none"> <li>• processes for the collection, analysis, actioning, recording and reporting of data related to client/support services should be developed and implemented.</li> </ul>	Not audited	
<p><b>Element 2.3 Pre-enrolment/Pre-contract Information – The RTO is not compliant; please also note Opportunities for Improvement Section.</b>                      Whilst it is acknowledged that information sessions are held prior to course commencement, it is essential that services to be provided to applicants including course details are provided in a written format. As such course information provided pre-enrolment or prior to signing a contract was inadequate in the following areas:</p> <ul style="list-style-type: none"> <li>• Pre-requisites/entry requirements, including those which were RTO specific;</li> <li>• Training and assessment approach;</li> <li>• Fees and charges, and</li> <li>• Course information links via the website merely linked to the TGA website which did not reflect the specific details of courses offered by Mediquest.</li> </ul> <p><b>Recommendations – It is recommended that:</b></p> <ul style="list-style-type: none"> <li>• a full review of pre-enrolment/pre-contract information should be undertaken to ensure clients are fully informed prior to signing any agreement or enrolling.</li> </ul>		
<p><b>Element 2.4 Employer or other party involvement in training and assessment development, delivery and monitoring – Not Applicable.</b></p>		

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Element 2.5 Meeting the needs of individual learners – The RTO is compliant.

Element 2.6 Student access to records of participation and progress – The RTO is compliant.

Element 2.7 Complaints and Appeals – The RTO is compliant; please note Opportunities for Improvement Section.

### Strengths

### Opportunities for Improvement

#### Element 2.3

- Ensure the Student Handbook website link is operational.
- Include information regarding replacement certificates and any associated costs within the student handbook.

#### Element 2.7

- Within the Complaints and Appeals policy and procedure, remove references to the Director for accessing the form and assistance with completion.

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<b>Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates</b>		
Audit conclusion	Result	✓
<b>The RTO is not compliant in the following element of Standard 3.</b>	Compliant	
<b>Element 3.1 Client pre-engagement agreements – The RTO is not compliant.</b>	Non-compliant	✓
<p>The RTO did not have a comprehensive Fee Schedule or similar in place, applicants were informed of course fees and charges at the course information session.</p> <p>Fee information was not itemised for clients or recorded as such, which did not provide clarity to the client as to what he/she was paying for and also has the potential to create ambiguity particularly in relation to refund arrangements.</p> <p>A payment plan or similar was not in place for those clients paying by instalments.</p> <p>A documented agreement was in place for each client – a section of the Enrolment Form was utilised to note fee payments, however on sighting student files this section was not consistently completed.</p> <p>The RTO had a Refund Policy in place, however the policy and refund Information provided to students via the handbook referred to an application fee which RTO representatives indicated was not in place. However the fee section of the Enrolment Form referred to an ‘Enrolment Fee’ which RTO representatives indicated was applied in some circumstances. The differing fee names and a lack of documentation as when such fees would apply had the potential to be both confusing and misconstrued by clients.</p> <p>Furthermore, refund documentation stated that ‘The application fee is non refundable in all circumstances (except provider default); however this statement was negated within the Refund Terms and Conditions and will require careful rewording.</p> <p><b>Recommendations – It is recommended that:</b></p> <ul style="list-style-type: none"> <li>• A full review of information, documentation and processes related to fees and refunds should be undertaken to ensure clarity, comprehensiveness and accuracy.</li> </ul>	Not audited	
<b>Element 3.2 Approach to Continuous Improvement – The RTO is compliant.</b>		
<b>Element 3.3 Partnership/Auspicing Arrangements – Not Applicable</b>		

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Element 3.4 Record Management – The RTO is compliant; please note Opportunities for Improvement section.

### Strengths

### Opportunities for Improvement

#### Element 3.4

- Develop and implement a communication strategy which informs RTO staff of their record management role and responsibilities.