



Australian Government

Australian Skills Quality Authority

# REPORT

## Audit report: Malcolm Sell as trustee for the Sell family Trust

RTO number:	31957
CRICOS number:	N/A
Date/s of audit:	19 & 20 Feb 2020
Date report created:	25 February 2020

## Organisation details

Organisation's legal name:	Malcolm Sell as trustee for the Sell family Trust
Trading name/s:	Simple Solutions Training and Consulting
RTO number:	31957
CRICOS number:	N/A

## Audit team

Lead auditor:	Shane Wright
Auditor/s:	N/A

## Audit details

Application number/s:	ADDVET0032318
Audit number/s:	AUDREC0010174, AUDREC0010346
Audit reason/s:	Compliance Monitoring
Address of site/s visited:	78 Torquay Rd 55 Main Street PIALBA QLD 4655 Australia
Date/s of audit:	19 Feb 2020 - 20 Feb 2020
Organisation's contact for audit:	Natalie Gaye Sell Chief Executive Officer natalie@simplesolution.com.au 0743254455

## Original finding at time of audit

### Audit finding: Concerning non-compliance

Report completed by: Shane Wright

Practice	Standards for RTOs	Finding
Training and Assessment	1.1, 1.2, 1.3, 1.8*, 1.13, 1.14, 1.15, 1.16, 1.17, 1.18	Not compliant
Marketing/Recruitment Practices	4.1	Compliant
Enrolment	5.1, 5.2, 7.3	Compliant
Support and Progression	1.7	Compliant
Completion	3.1*	Not compliant
Regulatory Compliance / Governance	2.3, 2.4	Compliant

\*Indicates a non-compliant clause

## Background

Summary of organisation and management structure:

- The organisation was first registered 23<sup>rd</sup> July 2009, and has a strong focus on Communities Services education. The organisation is overseen by the CEO - Mrs Natalie Gaye Sell whom is very passionate and experienced within the community services industry.

The organisation has several trainer and assessors, a business development Manager and a newly appointed compliance officer.

The RTO offers both accredited and non-accredited training. The non-accredited training focuses on dementia, manual handling, medication and technical skills in short workshops varying between 2 hours to 1 day.

The organisation has no business partnerships or outsourcing arrangements.

Core clients include independent students usually referred from employment, disability and job active agencies.

Online delivery is the main mode of delivery, Face to face delivery is also offered at the permanent location in Pialba which also has Learning Lounge with computers and tablets available for use and resources available for training and simulated assessment (where applicable),.

Vocational Placement is used for workplace training and assessment.

Revenue sources include fee for service, Certificate 3 Guarantee and User Choice funding.

Currently the organisation delivers education from within four (4) training packages; CHC, HLT, BSB & FSK.

Scope of organisation's registration:

- CHC22015 - Certificate II in Community Services
  - CHC32015 - Certificate III in Community Services
  - CHC33015 - Certificate III in Individual Support
  - CHC40313 - Certificate IV in Child, Youth and Family Intervention
  - CHC43115 - Certificate IV in Disability
  - CHC43315 - Certificate IV in Mental Health
  - CHC43415 - Certificate IV in Leisure and Health
  - CHC43515 - Certificate IV in Mental Health Peer Work
  - FSK20113 - Certificate II in Skills for Work and Vocational Pathways
- and several stand-alone first aid units.

Suburb and state of all delivery sites:

- Currently approved to deliver Australia wide, but focuses in Pialba, Qld.

Third party usage:

- NA

Core clients/target groups:

- Staff currently working within the industry requiring professional development
- People wishing to enter the community services industry

Training Revenue (Funded or fee for service):

- 90% Funded
- 10% Fee for service

Total number of current enrolments in the organisation as at audit date:

- 332

In preparing the audit report, consideration has been given and reference made, where relevant, to:

- Information provided by students as part of a student survey or interview.
- Information provided directly by Malcolm Sell as trustee for the Sell family Trust to ASQA.
- Existing information and records held by ASQA concerning Malcolm Sell as trustee for the Sell family Trust.
- Information provided to ASQA's auditors and documentation reviewed during the site audit of Malcolm Sell as trustee for the Sell family Trust conducted on 19 Feb 2020 - 20 Feb 2020.
- Other publicly available information - including but not limited to, information published on the organisations and third-party websites.

## Audit Sample

<b>Training Products</b>	<b>Mode/s of delivery/assessment*</b>	<b>Current enrolments</b>
<i>CHC33015 Certificate III in Individual Support</i>	Blended (f2f – online)	266
<i>FSK20113 Certificate II in Skills for Work and Vocational Pathways</i>	Blended (f2f – online)	1
<i>CHC43415 Certificate IV in Leisure and Health</i>	Blended (f2f – online)	6
<i>HLTAID001 Provide cardiopulmonary resuscitation</i>	Blended (f2f – online)	0
<i>HLTAID003 Provide first aid</i>	Blended (f2f – online)	0
<i>HLTAID004 Provide an emergency first aid response in an education and care setting</i>	Blended (f2f – online)	0
<i>CHC40313 Certificate IV in Child, Youth and Family Intervention</i>	Blended (f2f – online)	46
<i>CHC43115 Certificate IV in Disability</i>	Blended (f2f – online)	22.
<i>FSK20119 Certificate II in Skills for Work and Vocational Pathways</i>	Face to face	0

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

## Interviewees

<b>Name</b>	<b>Position</b>	<b>Training products</b>
Mrs Natalie Gaye Sell	CEO	All
Glenn Bishell	BRM	All
Amanda Rieck	Quality Support Officer	All
Debra O'Brien	Senior Trainer	CHC Quals
Natasha Schofield	FSK Trainer	FSK Quals

## About this Report

This report details findings against the *Standards for Registered Training Organisations (RTOs) 2015* (Standards for RTOs). If non-compliance has been identified, this report describes evidence of the non-compliance.

Where non-compliance has been identified, the Registered Training Organisation is accountable for identifying and correcting non-compliant practices and behaviours, particularly those that have had a negative impact on learners.

Correcting a non-compliance may require:

- correcting a process or system that has led to the non-compliance, and implementing a revised process or system
- identifying the impact on learners and carrying out remedial action for current and past learners

## Original action required by Organisation

Malcolm Sell as trustee for the Sell family Trust did not meet all requirements for clauses:  
1.8 & 3.1

Remedial action is required for the following training products:

- CHC33015 Certificate III in Individual Support
- FSK20113 Certificate II in Skills for Work and Vocational Pathways
- CHC43415 Certificate IV in Leisure and Health
- CHC40313 Certificate IV in Child, Youth and Family Intervention
- CHC43115 Certificate IV in Disability
- HLTAID001 Provide cardiopulmonary resuscitation
- HLTAID003 Provide first aid
- HLTAID004 Provide an emergency first aid response in an education and care setting

*The organisation is required to provide evidence that demonstrates:*

### Training and assessment

*Standards for RTOs Clause 1.8*

- the organisation has corrected its assessment system (to comply with Clause 1.8) for future students and has systems in place to ensure it is this system that is applied. The evidence to be provided must:
  - include the full suite of assessment tools (including RPL) for each unit of competency identified as non-compliant
  - demonstrate the organisation will implement an assessment system that ensures assessment:
    - complies with the assessment requirements of the relevant training product(s)
    - will be conducted in accordance with the Principles of Assessment and Rules of evidence.
- the organisation has carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were assessed in a manner that did not meet the requirements of Clause 1.8. Remedial action needs to cover current students and students who were assessed by your organisation in the past three months.

### Completion

Standards for RTOs Clause 3.1

- the organisation now has appropriate systems that are followed to ensure AQF certification documentation is only issued to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training or VET accredited course
- the organisation has carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were issued with AQF certification documentation and were not assessed as meeting the requirements of the training product as specified in the relevant training or VET accredited course. Remedial action needs to cover students issued with AQF certification in the past three months.

## Areas of non-compliance

### Training and Assessment

#### Training Delivery and Assessment

##### Standards for RTOs Clause 1.8

*Original Finding: Not compliant*

The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):

- a) complies with the assessment requirements of the relevant training package or VET accredited course; and
- b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.

Table 1.8.1 Principles of Assessment

Fairness	The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.
Flexibility	Assessment is flexible to the individual learner by: <ul style="list-style-type: none"><li>• reflecting the learner's needs;</li><li>• assessing competencies held by the learner no matter how or where they have been acquired; and</li><li>• drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.</li></ul>
Validity	Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires: <ul style="list-style-type: none"><li>• assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;</li></ul>

	<ul style="list-style-type: none"> <li>assessment of knowledge and skills is integrated with their practical application;</li> <li>assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and</li> <li>judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul>
Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.
Table 1.8.2 Rules of Evidence	
Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

CHC43115 Certificate IV in Disability

CHC33015 Certificate III in Individual Support

CHC40313 Certificate IV in Child, Youth and Family Intervention

CHC43415 Certificate IV in Leisure and Health

FSK20113 Certificate II in Skills for Work and Vocational Pathways

- The following evidence was reviewed for all qualifications:
  - Qualification's Industry Logbook (Workplace Observation Record and Reflective Journal) (Used for all CHC Qualifications mentioned/audited above)
  - Online questions and activities (qualification's individual units within all CHC qualifications)
  - Practical demonstration within class-room and/or a simulated environment (NDIS)
- The following analysis provides guidance on the areas of non-compliance. Examples of non-compliances are provided however, this is not an exhaustive list. It is the organisation's responsibility to review the assessment system and/or implementation of the assessment system for each unit of competency for all non-compliances identified below and provide evidence:
  - of a revised assessment system for each unit of competency listed above that addresses all requirements of Clause 1.8.
  - that confirms students were assessed as meeting all the requirements of the training product(s) in which they were enrolled.

The following findings are for all 'CHC' qualifications and the FSK qualification that have been audited (see qualification list below), as it was identified as a systemic issue by the organisation's CEO and lead trainer/assessor.

- CHC43115 Certificate IV in Disability
  - CHCDIS005 - Develop and provide person-centred service responses*
- CHC33015 Certificate III in Individual Support
  - CHCCCS023 - Support independence and wellbeing*
- CHC40313 Certificate IV in Child, Youth and Family Intervention
  - CHCPRT003 - Work collaboratively to maintain an environment safe for children and young people*
- CHC43415 Certificate IV in Leisure and Health
  - CHCLAH002 - Contribute to leisure and health programming*

- FSK20113 Certificate II in Skills for Work and Vocational Pathways
  - FSKOCM07 - Interact effectively with others at work
- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:
  - Performance Evidence:
    - All Industry Logbooks/Reflective Journals and observational checklist, do not allow for the 'Context' of what was observed by and signed off on by the assessor.
    - Correct completion of the student's Industry Logbooks/Reflective Journals prior to sign-off
      - Front page: Supervisor's qualifications – most student's log book did not have this section completed by an approved supervisor
      - Page 4: Supervisor Comments - most student logbooks had no comments made by their industry supervisor.
      - Page 5: Workplace Observation Time Sheet – Many students had not completed this section in full, and some books also required lunch breaks to be identified of which many were not completed.
      - Page 6: Client Profiles – Many of the students had not filled out the 'Notes' section detailing what they had done when dealing with clients in the workplace – this is the main portion of why the logbook had been completed yet still signed-off on by the assessor.
- The assessment practices for the following students do not confirm the organisation conducted adequate assessment of the students that ensured they were competent against all requirements of the training product and that the assessment was conducted in accordance with the Principles of Assessment and the Rules of Evidence. For example, but not limited to:
  - Student initials by qualification:
    - CHC33015 Certificate III in Individual Support
      - A B. A, C. McB, F.T, H. B, K. S, P
    - CHC43115 Certificate IV in Disability
      - B. P, C. G, J. O'C
    - CHC40313 Certificate IV in Child, Youth and Family Intervention
      - A. G, B. F, E.H, K. D, H. J, T.
    - CHC43415 Certificate IV in Leisure and Health
      - B. W, I. B, J. R, P, P
    - FSK20113 Certificate II in Skills for Work and Vocational Pathways
      - H, J. W, O. B, J. V, J. B, D. C.

## Completion

### Standards for RTOs Clause 3.1

**Original Finding: *Not compliant***

**The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.**

CHC43115 Certificate IV in Disability

CHC33015 Certificate III in Individual Support

CHC40313 Certificate IV in Child, Youth and Family Intervention

CHC43415 Certificate IV in Leisure and Health

FSK20113 Certificate II in Skills for Work and Vocational Pathways

- The following evidence was reviewed:
  - ASQA's 'Delivery data and Student data Template' completed and supplied by the organisation
  - Individual Student files (Online)
  - Parchment/Issuance register - Credential Register.CVS (Read Only) - Excel
  
- The organisation has not demonstrated that its assessment system complies with the Principles of Assessment and Rules of Evidence (refer to non-compliance identified with Clause 1.8) with respect to students who were assessed as meeting the requirements of the training product and were issued with AQF certification documentation.
  
- The organisation has issued AQF certification documentation to students who have not met all requirements as specified in the relevant training package. For example, but not limited to:
  - CHC33015 Certificate III in Individual Support
    - A B. A, C. McB, F.T, H. B, K. S, P
  - CHC43115 Certificate IV in Disability
    - B. P, C. G, J. O'C
  - CHC40313 Certificate IV in Child, Youth and Family Intervention
    - A. G, B. F, E.H, K. D, H. J, T.
  - CHC43415 Certificate IV in Leisure and Health
    - B. W, I. B, J. R, P, P
  - FSK20113 Certificate II in Skills for Work and Vocational Pathways
    - A. H, J. W, O. B, J. V, J. B, D. C.