

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

**Audit Date:** 13/15 May 2014

**RTO:** Master Plumbers and Mechanical Services Association of Australia

Applicant Details			
Applicant Name	Master Plumbers and Mechanical Services Association of Australia	TOID	3937
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Audit Team			
Audit Firm	Moore Stephens	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Alexandra Mannell, General Manager Training and Industry Development Chris Bergemann, RTO Operations Manager Ken Gardner, Chief Executive Officer (opening and closing meetings only) Bryan Smith, General Manager Corporate Services (opening and closing meetings only)
Registering Body Details			
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Audit Details			
Type of Audit	Re-registration Audit		
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			
RTO Background			
<p>The association was initially established in 1891 as the Associated Master Plumbers of Victoria and was recommending a course of lectures which included items such as plumber's work and house drainage in relation to public health, bad plumbing and its prevention, evil effects of bad plumbing and drainage work and the system of sewerage as adopted by the Metropolitan Board of Works.</p> <p>The association lobbied on behalf of members to protect and effect change to the industry and in support of various plumbing, business and environmental recommendations.</p> <p>The association has a number of business components including:</p> <ul style="list-style-type: none"> <li>• Source of information, advice and expertise for its members, the industry, government and the community.</li> </ul>			

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- Registered Training Organisation (initial registration 1992).
- Group training operations (currently 120 apprentices employed).

The RTO enrolled approximately 500 students in accredited units and 700 students in accredited courses in 2013 and at the time of audit for 2014 has enrolled about 200 students in accredited units and about 27 students in accredited courses.

The Master Plumbers and Mechanical Services Association of Australia (MPMSAA) delivers pre-apprenticeship training and in-service training through selected accredited units and courses, a number of non-accredited courses, post trade training through evening classes for plumbers providing for ongoing professional development and as pre-requisites to applying for plumbing related licenses.

The MPMSAA is co-located at the Plumber Industry Climate Change Action Centre (PICAC), which was set up to manage the facilities which are used by four other industry partners who are also Registered Training Organisations. (MPMSAA, PTEA, AMCA, NFIA, PICAC)

Additional sites for training have recently been purchased and have been developed for specialist areas of training such as the plumber pre-apprenticeship program. Two additional classrooms are to be added to the main building.

MPMSAA is co-located with the following organisations:

- Plumbing Trades Employees Union which plays an important role in the continued protection of Plumbing Trade Licensing/Registration Systems and is at the forefront of training and trade development providing industry-based training to all of its members.
- Air Conditioning and Mechanical Contractors' Association of Australia (AMCA). This is an organisation of air conditioning and mechanical service companies who have come together to represent and promote the industry along with the well-being of the companies. Its role is to promote and protect the interests and welfare of the air conditioning and mechanical services industry, its members and the public they serve.
- National Fire Industry Association (NFIA). The NFIA is industrially registered and acts for the fire protection industry with a view to improving the conditions of the industry and to deliver an environment to members which is conducive to efficient and effective operation. NFIA Victoria plays a prime role in the development of competency and technical standards for the fire protection industry as the building of skill and its people is of critical importance for the industry today and for the future.

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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
22138VIC	Certificate II in Plumbing (Pre-apprenticeship)	PICAC, Brunswick
22079VIC	Course in Green Plumbers Environmental Solutions	PICAC, Brunswick
UEENEEP015A	Disconnect-reconnect motors connected to low voltage installation wiring	PICAC, Brunswick
CPCPCM4012A	Estimate and cost work	PICAC, Brunswick

Interviewee(s) – Staff name and position; employer name and position	
Chris Bergemann	RTO Manager
Alexandra Mannell	General Manager Membership and Industry Development
Robert Davis	Trainer/assessor: Unit: Estimate and cost work
David Moyle	Trainer/assessor: Certificate II in Plumbing (Pre-apprenticeship)
Michael Caruara	Trainer/assessor: Disconnect-reconnect motors connected to low voltage installation wiring
Class of 15 students	Certificate II in Plumbing (Pre-apprenticeship)

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:		

<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		
<b>Summary of Non-Compliance</b>				
<p><b>CF.1.1</b>  MPMSAA had identified and implemented strategies to confirm that the Chief Executive, through delegation to key staff, ensured that the RTO complied with the AQTF Essential Conditions and Standards for Continuing Registration and National Guidelines.  It was noted that MPMSAA was identified as non-compliant with a number of Standards which would need to be rectified.</p>				

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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.1.5.1</b> A review of student files for each unit/course sampled confirmed that they contained the required completed assessment tasks however documentation on file had not been consistently maintained. Not all assessment records had been signed and dated by the assessor to confirm that the student had satisfactorily completed assessments and was deemed competent for the unit. Students had not signed to confirm that they had been provided with outcomes of their assessment. A quality procedure to ensure that all files were complete prior to the issue of a Certificate or Statement of Attainment had not been implemented.</p> <p><b>SF.2.7.1</b> MPMSAA had developed a Complaints and Appeals Procedure with the aim of being able to resolve complaints and appeals efficiently. The complaints procedures did not identify an informal procedure for resolving complaints and a procedure for appealing a complaints decision. Information included in the Learner Handbook and Trainer/assessor Handbook was inconsistent with the policy and procedures.</p>			

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### SF.3.1.1

MPMSAA had developed and implemented a Quality Management System to support the RTO's management of its operations to ensure that clients received the services detailed in their agreement with the RTO. Non-compliances identified at the Re-registration Audit in May 2014 identified that the Quality Management System had not been fully implemented.

### SF.3.2.1

MPMSAA had demonstrated the implementation of a systematic and continuous improvement approach to the management of operations. However the Re-registration Audit 2014 identified a number of non-compliances which should have been identified through the review of operations.

### SF.3.4.1

A review of student files for each unit/course sampled confirmed that they contained the required completed assessment tasks however documentation on file had not been consistently maintained. Not all assessment records had been signed and dated by the assessor to confirm that students had satisfactorily completed assessments and were deemed competent for the unit.

Students had not signed to confirm that they had been provided with outcomes of their assessment. A quality procedure to ensure that all files were complete prior to the issue of a Certificate or Statement of Attainment had not been implemented.

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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		

#### Summary of Non-Compliance

##### GF2.3.1

A review of student files for each unit/course sampled confirmed that they contained the required completed assessment tasks however documentation on file had not been consistently maintained. Not all assessment records had been signed and dated by the assessor to confirm that students had satisfactorily completed assessments and were deemed competent for the unit.

Students had not signed to confirm that they had been provided with outcomes of their assessment.

A quality procedure to ensure that all files were complete prior to the issue of a Certificate or Statement of Attainment had not been implemented.

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### Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance			Non-Compliant
CF.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	MPMSAA had identified and implemented strategies to confirm that the Chief Executive, through delegation to key staff, ensured that the RTO complied with the AQTF Essential Conditions and Standards for Continuing Registration and National Guidelines. It was noted that MPMSAA was identified as non-compliant with a number of Standards which would need to be rectified.	<ul style="list-style-type: none"> <li>See related standards audited.</li> </ul>	MPMSAA is required to address the non-compliances identified in the Re-registration Audit Report May 2014.
	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	MPMSAA had ensured that senior officers in a position to influence the management of the organisation had a current completed Fit and Proper Person Declaration including a National Police Check.	<ul style="list-style-type: none"> <li>Governance Policy and Procedure</li> <li>Complete Fit and Proper Person Declarations</li> <li>National Police Check letters.</li> </ul>	N/A
	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	MPMCAA had demonstrated how it ensured the decision making of senior management was informed by the experiences of its trainers and assessors, as identified in team meeting minutes and confirmed by trainers/assessors interviewed.	<ul style="list-style-type: none"> <li>Minutes</li> <li>Interviews with trainers/assessors</li> </ul>	N/A



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CONDITION 2 - Interactions with the Registering Body			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
MPMSAA had confirmed that the CEO had ensured that the RTO cooperated	<ul style="list-style-type: none"> <li>• See relevant Standards</li> </ul>	N/A	

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CONDITION 3 - Compliance with Legislation			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
MPMSAA had confirmed that the RTO complied with relevant Commonwealth, State or Territory legislation and regulatory requirements, relevant to its operations and its scope of registration. Staff were informed of responsibilities and students were informed of requirements that affected their participation in vocational education and training.	<ul style="list-style-type: none"> <li>• Legislation Policy and Procedures</li> <li>• Register of Legislation</li> <li>• Staff Induction Checklist</li> <li>• Learner Handbook</li> <li>• Trainer/assessor Handbook</li> <li>• Risk Assessment Procedure</li> </ul>	N/A	

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CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
MPMSAA had issued to students whom it had assessed as competent, in accordance with the requirements of the Training Package or accredited course, a qualification or Statement of Attainment (as appropriate) that met the Australian Qualifications Framework (AQF) requirements and identified MPMSAA by its national provider number from the National Training Information Service and the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.	<ul style="list-style-type: none"> <li>• Qualifications/Statement of Attainment Policy</li> <li>• Sample of qualification issued</li> <li>• Sample of Statement of Attainment issued</li> </ul>	N/A	
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
MPMSAA had identified procedures for retaining client records of attainment of units of competency and qualifications for a period of 30 years. Records were retained in VETtrak.	<ul style="list-style-type: none"> <li>• Qualifications/Statement of Attainment Policy</li> <li>• VETtrak Register of Qualifications and Statements Issued</li> <li>• Back up procedures- VETtrak records.</li> </ul>	N/A	
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
MPMSAA had implemented VETtrak as its student records management system. This had the capacity to retain AVETMISS compliant data which had been submitted annually to the VRQA.	<ul style="list-style-type: none"> <li>• VETtrak records</li> <li>• Enrolment form</li> <li>• AVETMISS data submitted to the VRQA in January 2014.</li> </ul>	N/A	

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	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	MPMSAA had maintained data of all qualifications and Statements of Attainment issued in VETrak and submitted returns of annual data to VRQA in January each year.	<ul style="list-style-type: none"> <li>• Sample of VETrak entries</li> <li>• Submitted report to VRQA January 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)	
MPMSAA had identified its commitment to recognise the AQF Qualifications and Statements of Attainment issued by any other RTO and demonstrated application by providing recognition services to students enrolled in the Certificate II in Plumbing (Pre-apprenticeship).	<ul style="list-style-type: none"> <li>• Learner Handbook</li> <li>• Sample of student files identifying National Recognition application</li> <li>• National Recognition Application Form.</li> </ul>	N/A	

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CONDITION 8 - Accuracy and Integrity of Marketing			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Following rectifications at the time of audit, MPMSAA marketing and advertising materials were accurate and consistent with qualifications/units and courses on scope. The NRT logo was used in accordance with its conditions	<ul style="list-style-type: none"> <li>• Information Dissemination and Marketing Policy</li> <li>• Learner Handbook</li> <li>• Trainer/Assessor Handbook</li> <li>• Certificate II in Plumbing (Pre-apprenticeship)</li> <li>• PICAC calendar</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)	
MPMSAA had demonstrated an understanding of implementation requirements for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA. MPMSAA had also demonstrated transition requirements for accredited courses on scope.	<ul style="list-style-type: none"> <li>• Transitions of Training Package Policy</li> <li>• Review of units/course 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)	
Following the rectification of procedures at audit, MPMSAA had identified and implemented procedures for collecting, analysing and acting on relevant data for continuous improvement of training and assessment.	<ul style="list-style-type: none"> <li>• Continuous Improvement Policy and Procedures</li> <li>• Samples of completed surveys</li> <li>• Samples of analysis reports</li> <li>• Staff meeting minutes</li> <li>• Continuous Improvement/Corrective Actions Register.</li> </ul>	N/A	

### Improvement Opportunities

**SI.1.1**  
MPMSAA would benefit from including in the Continuous Improvement/Corrective Action Registers, the source of issue.



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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.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
MPMSAA had developed and implemented strategies for training and assessment that met the requirements of the relevant Training Package and accredited course and were developed in consultation with industry.	Delivery and assessment strategies for the following: <ul style="list-style-type: none"> <li>• 22138VIC Certificate II in Plumbing (Pre-apprenticeship)</li> <li>• 22079VIC Course in Green Plumbers Environmental Solutions</li> <li>• UEENEEP015A Disconnect-reconnect motors connected to low voltage installation wiring</li> <li>• CPCPCM4012A Estimate and cost work</li> </ul>	N/A	

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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.			Compliant
SF.1.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	MPMSAA had identified and had access to staff, facilities, equipment and training and assessment materials which were consistent with the requirements of the Training Package and accredited course and the delivery and assessment strategies	Trainer/assessor information, learning resources, assessment instruments and tools, facilities and equipment for the following: <ul style="list-style-type: none"> <li>• 22138VIC Certificate II in Plumbing (Pre-apprenticeship)</li> <li>• 22079VIC Course in Green Plumbers Environmental Solutions</li> <li>• UEENEEP015A Disconnect-reconnect motors connected to low voltage installation wiring</li> <li>• CPCPCM4012A Estimate and cost work</li> </ul>	N/A

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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)	
MPMSAA had identified and employed trainer/assessors for each unit and course that had the necessary training and assessment competencies, relevant vocational competencies at least to the level being delivered or assessed, and could demonstrate current industry skills directly relevant to the training/assessment being undertaken.	Trainer/assessor Personnel Files for the following: <ul style="list-style-type: none"> <li>• 22138VIC Certificate II in Plumbing (Pre-apprenticeship)</li> <li>• 22079VIC Course in Green Plumbers Environmental Solutions</li> <li>• UEENEEP015A Disconnect-reconnect motors connected to low voltage installation wiring</li> <li>• CPCPCM4012A Estimate and cost work</li> </ul>	N/A	

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<p><b>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):</b>  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.</p>			<b>Non-Compliant</b>
SF.1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>A review of student files for each unit/course sampled confirmed that they contained the required completed assessment tasks however documentation on file had not been consistently maintained. Not all assessment records had been signed and dated by the assessor to confirm that the student had satisfactorily completed assessments and was deemed competent for the unit. Students had not signed to confirm that they had been provided with outcomes of their assessment. A quality procedure to ensure that all files were complete prior to the issue of a Certificate or Statement of Attainment had not been implemented.</p>	<ul style="list-style-type: none"> <li>• Master assessment materials for each course/unit reviewed.</li> <li>• Student files – review of completed assessments.</li> <li>• Information for students for each assessment task.</li> </ul>	<p>MPMSAA is required to review its quality procedures for ensuring that all student files are complete and that there is a clear confirmation by the assessor that students have satisfactorily completed all assessments tasks and are deemed competent for each unit and confirmation that the student has been provided with assessment outcomes.</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)	
MPMSAA had identified and implemented strategies to establish the needs of clients and had delivered services to meet these needs.	<ul style="list-style-type: none"> <li>Completed enrolment forms, aptitude tests, interview questions and expression of interest forms.</li> <li>Sample of student files which identified notes on student needs identified and support provided.</li> </ul>	N/A	

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2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Following rectifications at audit MPMSAA had developed strategies for obtaining feedback from learners on the effectiveness of student support services.	N/A	N/A	

Improvement Opportunities
<p><b>SI.2.2</b> MPMSAA would benefit from reviewing procedures for obtaining feedback on the effectiveness of its student services by collecting information from learners about:</p> <ul style="list-style-type: none"> <li>• Support services accessed</li> <li>• How effective these services were</li> <li>• How the services may be improved</li> <li>• Ideas for additional services.</li> </ul>

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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.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
MPMSAA had provided information to potential learners about the courses and the RTO through a number of sources. These included information about the training, assessment and support services to be provided and about their rights and obligations.	<ul style="list-style-type: none"> <li>• Website information</li> <li>• Course brochures</li> <li>• Training schedule</li> <li>• Learner handbook</li> <li>• Interview records</li> <li>• Enrolment confirmation letter</li> <li>• Sample of completed quizzes on student files.</li> </ul>	N/A	

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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)	
Employers provided work placement for students enrolled in the 22138VIC Certificate II in Plumbing (Pre-apprenticeship) and had been engaged in the development of learning and assessment strategies to ensure that they were effective for their industry and the people whom they employed. Appropriate agreements were in place and all parties were adequately informed of their responsibilities.	<ul style="list-style-type: none"> <li>• Industry advice provided on the development of learning and assessment strategies. See Standard 1.2 Industry consultation.</li> <li>• Workplace Agreement.</li> <li>• Information to employers about work placement.</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)	
MPMCSS had demonstrated that learners were supported to assist them to satisfactorily complete their course.	See related Standards 2.1 and 2.3.	N/A	

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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)	
MPMCAA had procedures in place to provide learners with access to their records and informed students of the procedures in the Learner Handbook.	<ul style="list-style-type: none"> <li>Learner Handbook</li> <li>Trainer/Assessor Handbook</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.			Non-Compliant
SF.2.7.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	MPMSAA had developed a Complaints and Appeals Procedure with the aim of being able to resolve complaints and appeals efficiently. The complaints procedures did not identify an informal procedure for resolving complaints and a procedure for appealing a complaints decision. Information included in the Learner Handbook and Trainer/assessor Handbook was inconsistent with the policy and procedures.	<ul style="list-style-type: none"> <li>Complaints and Appeals Procedures</li> <li>Learner Handbook</li> <li>Trainer/assessor Handbook</li> <li>Complaints Register</li> </ul>	<p>MPMSAA is required to:</p> <ul style="list-style-type: none"> <li>Review its Complaints and Appeals Procedures and modify to clearly identify: <ul style="list-style-type: none"> <li>An informal procedure</li> <li>A formal procedure</li> <li>A procedure for appealing a complaints decision</li> <li>A procedure for accessing the identified external independent arbitrator for hearing unresolved complaints and appeals.</li> </ul> </li> <li>Modify the Learner Handbook and Trainer/assessor Handbook to ensure that the information about the Complaints and Appeals Procedures are consistent with the modified complaints and appeals decision.</li> </ul>

Improvement Opportunities
<p><b>SI.2.7.1</b> MPMSAA would benefit from implementing a strategy where informal complaints could contribute to the continuous improvement procedures.</p> <p><b>SI.2.7.2</b> MPMSAA would benefit from exploring the effectiveness of its complaints and appeals procedures and identifying why no complaints had been recorded in the Complaints Register.</p>

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**SI.2.7.3**

MPMSAA would benefit from reviewing student costs for independent arbitration.

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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.			Non-Compliant
SF.3.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	MPMSAA had developed and implemented a Quality Management System to support the RTO's management of its operations to ensure that clients received the services detailed in their agreement with the RTO. Non-compliances identified at the Re-registration Audit in May 2014 identified that the Quality Management System had not been fully implemented.	<ul style="list-style-type: none"> <li>• Enrolment Form</li> <li>• Training Plan</li> <li>• Letter of acknowledgement of enrolment in the course</li> <li>• Information for students</li> <li>• Code of Practice</li> <li>• Quality Management Procedure</li> </ul>	MPMSAA is required to review the implementation of its policies and procedures for adequacy in ensuring that clients receive the services detailed in their agreement and address the non-compliances identified in the Re-registration Audit Report May 2014.

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**Applicant:** Master Plumbers and Mechanical Services Association of Australia

3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.			Non-Compliant
SF.3.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	MPMSAA had demonstrated the implementation of a systematic and continuous improvement approach to the management of operations. However the Re-registration Audit 2014 identified a number of non-compliances which should have been identified through the review of operations.	<ul style="list-style-type: none"> <li>Quality Management System - Policies and Procedures</li> <li>Internal review of operations and systems</li> <li>Minutes of management meeting</li> <li>Corrective Action Register that identified implementation of actions.</li> </ul>	MPMSAA is required to review the implementation of its policies and procedures for review of compliance with the AQTF and address the non-compliances identified in the Re-registration Audit Report in May 2014

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3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>No partnerships had been entered into for the delivery of qualifications by other RTOs however students were enrolled independently with another RTO for the delivery of the first aid units. Students were informed of these arrangements. Students were enrolled in the units by the other RTO and a Statement of Attainment provided for national recognition by MPMSCC. No training and/or assessment services were provided on behalf of MPCSA as students were enrolled with another RTO.</p>	<ul style="list-style-type: none"> <li>Information for students about the delivery and assessment of first aid units by another RTO.</li> </ul>	N/A	

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3.4 - The RTO manages records to ensure their accuracy and integrity.			Non-Compliant
SF.3.4.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>A review of student files for each unit/course sampled confirmed that they contained the required completed assessment tasks however documentation on file had not been consistently maintained. Not all assessment records had been signed and dated by the assessor to confirm that students had satisfactorily completed assessments and were deemed competent for the unit. Students had not signed to confirm that they had been provided with outcomes of their assessment. A quality procedure to ensure that all files were complete prior to the issue of a Certificate or Statement of Attainment had not been implemented.</p>	<ul style="list-style-type: none"> <li>• Records, Document and Information Management Procedures</li> <li>• Trainer/assessor Handbook</li> <li>• Retention Procedures</li> <li>• Version Control Procedures.</li> <li>• Master assessment materials for each course/unit reviewed</li> <li>• Student files – review of completed assessments</li> <li>• Information for students for each assessment task.</li> </ul>	<p>MPMSAA is required to:</p> <ul style="list-style-type: none"> <li>• Review its quality procedures for ensuring that all student files are complete and that there is a clear confirmation by the assessor that students have satisfactorily completed all assessment tasks and are deemed competent for each unit and confirmation that the student has been provided with assessment outcomes.</li> <li>• Review all student files to ensure that they are complete.</li> </ul>

Improvement Opportunities
<p><b>SI.3.4.1</b> <b>Opportunity for improvement</b> Though MPMSAA had identified retention procedures for all records as a minimum of seven years, the organisation would benefit from identifying minimum required retention periods for records and documents such as:</p> <ul style="list-style-type: none"> <li>• Student completed assessments</li> <li>• Samples of student assessments</li> <li>• Student agreements</li> <li>• Legal contracts</li> <li>• Workplace training agreements</li> <li>• Student completion data</li> </ul>



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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)	
MPMSAA had implemented strategies for sound management of its operations, including the management of records and documents.	<ul style="list-style-type: none"> <li>Fit and Proper Persons completed declarations</li> <li>Student Records Management System sampling - VETrak</li> <li>Staff records – sample of trainer/assessor files</li> </ul>	N/A	<div style="background-color: black; color: white; padding: 5px; width: 100px; margin: auto;">Compliant</div>

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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)	
Through its industry connections and structure MPMSAA had access to advice from key industry players on plumbing and training matters and the management of the RTO.	<ul style="list-style-type: none"> <li>• Management structure</li> <li>• Profiles of Board and committee members.</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)	
MPMSAA had demonstrated that it monitored course quality, externally moderated student performance and drove continuous improvement in course delivery.	<ul style="list-style-type: none"> <li>Minutes of meetings with a diversity of industry players.</li> <li>Internal validation meeting notes.</li> </ul>	N/A	

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**Audit Date:** 13/15 May 2014

**Applicant:** Master Plumbers and Mechanical Services Association of Australia

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)	
MPMSAA 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>Learner Handbook</li> <li>Trainer/Assessor Handbook</li> </ul>	N/A	

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**Applicant:** Master Plumbers and Mechanical Services Association of Australia

GUIDELINE 2.3 - The provider must demonstrate that they can provide quality education and training to students			Non-Compliant
GF.2.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>A review of student files for each unit/course sampled confirmed that they contained the required completed assessment tasks however documentation on file had not been consistently maintained. Not all assessment records had been signed and dated by the assessor to confirm that students had satisfactorily completed assessments and were deemed competent for the unit. Students had not signed to confirm that they had been provided with outcomes of their assessment.</p> <p>A quality procedure to ensure that all files were complete prior to the issue of a Certificate or Statement of Attainment had not been implemented.</p>	<ul style="list-style-type: none"> <li>• Master assessment materials for each course/unit reviewed</li> <li>• Student files – review of completed assessments</li> <li>• Information for students for each assessment task.</li> </ul>	<p>MPMSAA is required to review its quality procedures for ensuring that all student files are complete and that there is a clear confirmation by the assessor that students have satisfactorily completed all assessments tasks and are deemed competent for each unit and confirmation that the student has been provided with assessment outcomes.</p>

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<p>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:</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)	
MPCSAA had established a trust fund, approved by the VRQA, to protect student fees paid in advance.	<ul style="list-style-type: none"> <li>• Trust Deed</li> </ul>	N/A	

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**Applicant:** Master Plumbers and Mechanical Services Association of Australia

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)	
MPMSAA organised classes during day hours and through evening classes. No students were required to attend class for more than eight hours.	<ul style="list-style-type: none"> <li>• Program Calendar</li> <li>• Training schedules</li> <li>• Student interviewed</li> </ul>	N/A	

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**Audit Date:** 13/15 May 2014

**Applicant:** Master Plumbers and Mechanical Services Association of Australia

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)	
All classes are conducted between the hours of 8.00 am and 10.00 pm. Delivery of the first units was conducted by another RTO, commencing at 7.15 am. This RTO had applied for an exemption with the VRQA.	<ul style="list-style-type: none"> <li>• Program Calendar</li> <li>• Training schedules</li> <li>• Student interviewed</li> </ul>	N/A	



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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)	
MPMSAA had identified potential student safety issues and implemented strategies and provided advice to students to minimise potential risks to student safety.	<ul style="list-style-type: none"> <li>• Learner Handbook</li> <li>• Trainer/assessor Handbook.</li> </ul>	N/A	

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**Applicant:** Master Plumbers and Mechanical Services Association of Australia

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)	
MPCSAA had demonstrated that they had the capacity to deliver and assess ALL the courses on the scope of registration.	<ul style="list-style-type: none"> <li>• Reviewed arrangements at Standards 1.2 – 1.5</li> <li>• Work Placement Agreement</li> <li>• Information to employers about work placement</li> </ul>	N/A	