



## VET Quality Framework audit report

### Continuing registration as a national VET regulator (NVR) registered training organisation (RTO)

Legal name of organisation	Windsor and Williams Pty Ltd
Dates of audit	Monday 14 May and Tuesday 15 May 2012
Review of Rectification Evidence	Monday 2 July 2012
Review of Additional Material	3 December 2012

ORGANISATION DETAILS					
<b>RTO legal name</b>	Windsor and Williams Pty Ltd		<b>RTO ID number</b>	121164	
<b>Registered business trading name</b>	ABEX Training Group ABEX Institute		<b>ABN</b>	38443601200	
<b>Address</b>	Suite 6, 321 Chapel St PRAHRAN, VIC			<b>Postcode</b>	3181
<b>Phone</b>	0395103800	<b>Fax</b>	0395103600		
<b>E-mail</b>	<a href="mailto:serge@abextraining.com">serge@abextraining.com</a>		<b>Website</b>	<a href="http://www.abextraining.com">http://www.abextraining.com</a>	
<b>Registration contact</b>	<b>Name</b>	Mr Serge Ciciulla	<b>Position</b>	Owner/CEO	

AUDIT TEAM				
<b>Lead auditor</b>	Lesley Shaw		<b>Technical adviser/s</b>	
<b>Audit team members</b>	Robert East			

ASQA CONTACT DETAILS				
<b>Phone</b>	1300 701801 (ASQA Info line)		<b>E-mail</b>	<a href="mailto:audits@asqa.gov.au">audits@asqa.gov.au</a>

AUDIT DETAILS	
<b>Audit type</b>	<input type="checkbox"/> Renewal of registration <input type="checkbox"/> Extension to scope of registration <input type="checkbox"/> Compliance monitoring (incl. post-initial registration) <input checked="" type="checkbox"/> Other: Review of new information provided following notification to remove MSA41108 from the provider's scope of registration.
<b>Scope of audit</b>	<input checked="" type="checkbox"/> Standards for NVR Registered Training Organisations <input checked="" type="checkbox"/> Australian Qualifications Framework (AQF) <input checked="" type="checkbox"/> Data Provision Requirements <input type="checkbox"/> Fit and Proper Person Requirements <input type="checkbox"/> Financial Viability Risk Assessment Requirements
<b>Dates of site visit</b>	Monday 14 May 2012 and Tuesday 15 May 2012 Review of Rectification Evidence Monday 2 July 2012
<b>Site/s visited</b>	Head Office - Suite 6, 321 Chapel St PRAHRAN, VIC,
<b>Standards audited</b>	DPR 4,5,6,7 AQF Essential Standards for Continuing Registration 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25 except 22.1

ORGANISATION
<p>Abex Training Group has expanded over the last 10 years from being a family owned and run RTO to one that is now developing and operating under a more formal corporate governance structure. The structure includes management, marketing and training teams who are currently implementing updated policies and procedures across its operations.</p> <p>The RTO accesses State government funding to offer a range of traineeships in the areas of Wholesaling, Warehousing, Process Manufacturing, and Business. The RTO has built up a large employer base including repeat clients such as: Michael Hill Jewellers, Susan Day Cakes and Boomaroo wholesale nurseries.</p> <p>They currently have enrolled in excess of 1000 trainees with a very small number of fee for service students.</p> <p>The Diploma of Management is the only program offered as a self paced online program.</p>

FOCUS OF AUDIT		
Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment
MSA41108	Certificate IV in Competitive Manufacturing	Workplace based traineeship

INTERVIEWEES		
Staff		
Name	Position	Program
Mr Serge Ciciulla	Owner/CEO	RTO operations and program delivery
Mr Colin Throsby	Contract Compliance Advisor	RTO operations and program delivery, Assessor
Ms Tammi Burke	Operations Manager	RTO administration and records management
Ms Naveena Karadi	RTO coordinator	Database operations

### SUMMARY OF AUDIT OUTCOME

This audit was conducted under the *National Vocational Education and Training Regulator Act 2011* (the Act) to assess compliance with requirements of the VET Quality Framework as identified under the Scope of Audit section above.

#### AUDIT OUTCOME

##### Audit status as at 17 May 2012

The organisation has **not demonstrated compliance** with all compliance requirements reviewed for the audit.

The level of non-compliance is considered to be critical when considering the potential for adverse impact on the quality of training and assessment outcomes for students.

The audit report describes evidence of non-compliance identified. Each issue referenced must be rectified by the organisation with evidence provided to ASQA within **20 working days** of the date of the letter accompanying this audit report to demonstrate corrective actions implemented.

Auditor's Name	Lesley Shaw	Signature		Date of Report	17 May 2012
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#### AUDIT RECTIFICATION

##### Audit status following additional evidence received 2 July 2012

The organisation has **not demonstrated compliance** with all compliance requirements reviewed for the audit.

Auditor's Name	Lesley Shaw	Signature		Date of Report	2 July 2012
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#### REVIEW OF ADDITIONAL MATERIAL PRESENTED

##### Audit status following additional evidence received 27 November 2012

The organisation has **demonstrated compliance** with all compliance requirements reviewed for the audit.

Auditor's Name	Robert East	Signature	<i>RW East</i>	Date of Report	3 December 2012
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## AUDIT SUMMARY OF VET QUALITY FRAMEWORK REQUIREMENTS

VET QUALITY FRAMEWORK COMPONENT		STATUS*
<b>Financial Viability Risk Assessment Requirements</b>		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
<b>Fit and Proper Person Requirements</b>		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
<b>Data Provision Requirements</b>		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
<b>Australian Qualifications Framework (AQF) Requirements</b>		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
<b>Standards for NVR Registered Training Organisations 2011 - Essential Standards for Continuing Registration</b>		
15	The NVR registered training organisation provides quality training and assessment across all of its operations	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
17	Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
18	The NVR registered training organisation has governance arrangements in place	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
19	Interactions with the National VET Regulator	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
20	Compliance with legislation	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
21	Insurance	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
22	Financial management	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
23	Certification, issuing and recognition of qualifications and statements of attainment	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
24	Accuracy and integrity of marketing	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
25	Transition to training packages/expiry of VET accredited courses	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
*STATUS: Status of audit findings when audit was conducted      C = Compliant      NC = Not Compliant      NA = Not audited		

### Audit Findings

Following the receipt of advice that ASQA was preparing to remove the MSA41108 Certificate IV in Competitive Manufacturing from the provider's scope of registration the provider presented new additional evidence to address the non – compliance.

The RTO provided additional information describing the assessment instruments for two units within the above qualification.

Windsor and Williams is now compliant against the VET Quality Framework