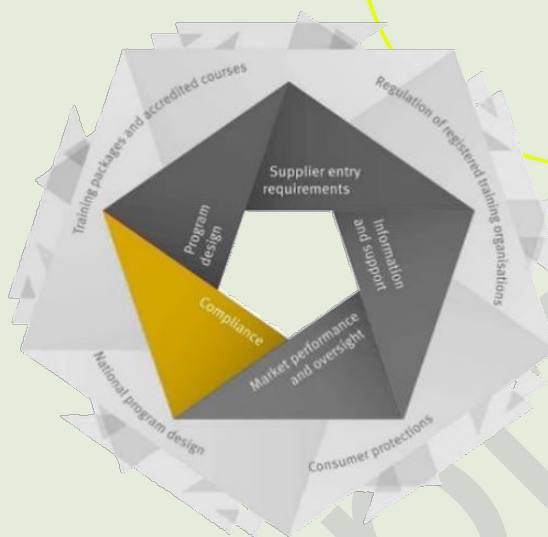


SAS Compliance Audit Report

Queensland VET Quality Framework



AUDIT-IN-CONFIDENCE

RTO code	
RTO legal name	
RTO trading name	
RTO address	
Funding Program audited	
SAS/PQS Agreements audited	
Audit location	
Type of audit	
Dates of audit fieldwork	
Compliance assessment	
Issue date	
HPE ref	

SAS Compliance Audit Report

Published by the State of Queensland (Department of Employment, Small Business and Training), November 2020



This document is licensed under a Creative Commons Attribution 3.0 Australia licence. To view a copy of this licence, visit creativecommons.org/licenses/by/3.0/au

© State of Queensland (Department of Employment, Small Business and Training) 2020

For more information contact:

Investment Division, Department of Employment, Small Business and Training, PO Box 15033, City East, Brisbane QLD 4002.

An electronic version of this document is available at www.desbt.qld.gov.au

Disclaimer:

The content presented in this publication is distributed by the Queensland Government as an information source only. The State of Queensland makes no statements, representations or warranties about the accuracy, completeness or reliability of any information contained in this publication. The State of Queensland disclaims all responsibility and all liability (including without limitation for liability in negligence) for all expenses, losses, damages and costs you might incur as a result of the information being inaccurate or incomplete in any way, and for any reason reliance was placed on such information.

Contents

Executive Summary	3
Background.....	3
Objective and scope	3
Summary of results	3
Overview	3
Noteworthy initiatives.....	5
Internal control improvement opportunities (ICIO).....	5
SAS Acknowledgement and feedback.....	5
Acknowledgement	5
Feedback.....	6
SAS controls and assurance overview	7
Root causes and risk issues.....	7
SAS development areas.....	7
Appendix 1. Priority focus area ratings.....	14
Appendix 2. Scope Detail	15
Quality and compliance team.....	15
Qualifications included	15
Focus	15
Appendix 3. Non-compliance detail – VET Investment.....	16
Administration	16
Eligibility.....	17
Lower-level training and foundation skills training.....	18
Fees	19
Training.....	21
Assessment	23
AVETMISS reporting.....	27
Appendix 4. Non-compliance detail – User Choice	29
Administration	30
Employer resource assessment.....	31
On-the-job verification	32
Fees	33
Training.....	35
Assessment	38
AVETMISS reporting.....	41

Executive Summary

Background

The Skills Assure supplier (SAS) system is based on a performance framework for the assessment, selection and monitoring of RTOs linked to national standards and department-specific requirements in quality management and is the next evolution of the pre-qualified supplier (PQS) system. As part of this the Department of Employment, Small Business and Training (DESBT) undertakes compliance audits against subsidised vocational education and training in Queensland.

An audit has been conducted on your registered training organisation (RTO) in accordance with the approved DESBT Audit Plan to determine if the requirements of the Agreement/s are being addressed.

This report summarises the Department's assessment of SAS operations - both SAS Agreements as well as expired PQS Agreements (as per the terms of the SAS Agreements) - within the audit scope, including maturity ratings for the areas reviewed; and focus areas identified which may affect capacity to sustain compliance.

Audit findings may be referred to executive management via the SAS Review Panel for its determination as to whether any further departmental action is necessary.

Objective and scope

The objective of the audit was to assess compliance with the requirements of the SAS Agreement. The audit also examined the design and operational effectiveness of SAS controls as indicators for risk of non-compliance.

The scope included a review of:

1. Governance, planning and risk management in relation to the SAS Agreement as relevant to the audit scope.
2. Agreement delivery i.e. evidence of operating in accordance with the terms of the SAS Agreement, including relevant policies and evidence requirements documentation.

Qualifications included:

- [Qualification code and title]
- [Qualification code and title]

For further detail regarding the scope and the qualifications, refer to Appendix 2.

Summary of results

Overview

The design and operational effectiveness of supplier controls and compliance require strengthening to better align with departmental requirements. Detail is provided in:

- the **SAS internal controls and assurance overview** section;
- the focus areas identified in the audit outcome summary below, together with their assessed priority rating for actioning (refer to Appendix 1 for an explanation of priority ratings);

- findings and proposed management actions for each focus area as provided under the **SAS development areas** section; and
- the detail regarding non-compliances (by agreement) as provided in appendices 3 and 4.

SAS audit outcome summary

Focus area	Priority
Governance, planning and risk management*	
Assurance framework	
Policies and procedures	
Information management	
Vet investment	
Administration	
Eligibility	
Lower-level training and foundation skills training	
Fees	
Training	
Assessment	
AVETMISS reporting	
User Choice	
Administration	
Employer resource assessment	
On-the-job verification	
Fees	
Training	
Assessment	
AVETMISS reporting	

* The priority rating recorded for the focus areas under this section is based on the documents supplied as relevant to the focus areas included in the audit activity.

SAS maturity ratings

SAS maturity ratings	Maturity rating
Governance, planning and risk management	
Agreement delivery – VET Investment	
Agreement delivery – User Choice	

Maturity rating key

Achieving / enhancing	Good governance structures; strong policies and procedures; routine performance management; sound internal controls that are 'embedded' and 'understood' in relation to meeting the requirements of the SAS Agreement/s. Priority ratings allocated as mostly 'low' due to the related risk.
Developing / emerging	Improvements required – governance, policies and procedures, performance management; internal controls that 'exist' but are not 'embedded' or 'understood' in relation to meeting the requirements of the SAS Agreement/s. Priority ratings include allocations of 'medium' or 'high' due to risks identified.
Learning / beginning	Significant weaknesses – governance, policies and procedures setting, performance management; weak internal controls that do not 'exist' or are not 'defined' in relation to meeting the requirements of the SAS Agreement/s. Priority ratings include allocations of 'medium', 'high' or 'extreme' due to risks identified.

Noteworthy initiatives

The audit identified the following noteworthy initiatives in place:

Noteworthy initiatives	Key benefits

Internal control improvement opportunities (ICIO)

The audit identified the following opportunities for internal control improvement:

Internal control improvement opportunities	Key benefits

SAS Acknowledgement and feedback

Acknowledgement

Thank you to your management and staff for the assistance provided during the course of this audit, specifically:

Name	Position

Third-party and/or consultants in attendance at the audit (as arranged by the SAS):

Name	Position and business name

Feedback

We value your feedback, which will contribute to the continuous improvement of SAS audit processes. It would be appreciated if you could complete and return the SAS audit evaluation form provided via email with this audit report.

Template

SAS controls and assurance overview

Commentary regarding SAS Agreement systems as relevant to audit scope.

Root causes and risk issues

If non-compliance or risk of non-compliance is identified, root causes and risk issues will be outlined here.

SAS development areas

Rectification of all non-compliances as well as processes identified as contributing to non-compliance must be undertaken immediately as continued use of tools and practices that do not meet compliance requirements is not acceptable to the Department. The Department will expect to see evidence of rectification action taken at any future assurance activity however, unless specifically requested, there is no requirement to submit rectification evidence to the Department at this time.

More information regarding non-compliances specific to individual students, qualifications and/or units of competency is provided in appendices 3 and 4.

Focus area	Risk/impact	Recommended management action	Priority
Governance, planning and risk management*			
Assurance framework			
Policies and procedures			
Information management systems			

Focus area	% of compliance	Recommended management action	Priority
Agreement delivery – VET investment			
Administration			
Evidence of qualification / statement of attainment retained			
Evidence supports credit transfers			
Provision of departmental funding program factsheet			
Provision of upfront information regarding fees			
Provision of upfront information regarding training timelines, delivery mode and location			
Provision of upfront information regarding Vocational or Work Placement			

Focus area	% of compliance	Recommended management action	Priority
Provision of upfront information regarding student support services			
Provision of upfront information regarding Training and Employment Survey			
Provision of upfront information regarding future funding eligibility			
Eligibility			
Sufficient evidence to validate specific enrolment restrictions details within Priority Skills List			
Sufficient evidence to validate specific age restrictions			
Sufficient evidence to validate student is no longer at school (excluding VETiS)			
Sufficient evidence to validate permanent Queensland residency			
Sufficient evidence to validate Australian / New Zealand citizenship; Australian permanent residency or temporary residency status (Visa or work permits)			
Sufficient evidence to validate students did not already hold a qualification; or are not already enrolled in a qualification, which would make them ineligible			
Sufficient evidence to validate concessional status subsidy			
Sufficient evidence to validate Year 12 Graduate status			
Sufficient evidence to validate program specific eligibility requirements			
Lower-level training and foundation skills training			
Conducted assessment of student's need for Foundation Skills Training			
Conducted assessment of student's need for Lower Level training via the individual pathway			
Fees			

Focus area	% of compliance	Recommended management action	Priority
Charged and collected a co-contribution fee			
Co-contribution fees invoiced at unit of competency level			
Not charged for a qualification or offer in addition to the co-contribution fee			
Not charged for credit transfer or transitional gap training			
Not charged for a Year 12 Graduate			
Training			
Sufficient evidence has been retained			
Sufficient evidence has been retained to validate withdrawn claims for payment			
Sufficient evidence Vocational or Work Placement arrangements are in place			
Sufficient evidence the student has undertaken the required number of placement hours			
Assessment			
Sufficient evidence of retention of complete and accurate marking guides and benchmarking that support assessor judgement			
Sufficient evidence to validate AVETMISS Outcome identifier 20 claims for payment			
Sufficient evidence to validate AVETMISS Outcome identifier 30 claims for payment			
Sufficient evidence to validate AVETMISS Outcome identifier 51 claims for payment			
Sufficient evidence to validate AVETMISS Outcome identifier 65 claims for payment			
AVETMISS reporting			
Accurately reported AVETMISS Delivery mode identifier			

Focus area	% of compliance	Recommended management action	Priority
Accurately reported AVETMISS Outcome identifier			
Accurately reported AVETMISS Start and End Dates			
Accurately reported postcodes			
Accurately reported concessional status			
Accurately reported amount of co-contribution fees			
Not submitted claims for payment for unit/s of competency previously achieved			
Correctly acknowledged and reported any unit of competency available for credit transfers			
Accurately reported fund source code			
Accurately reported highest level of schooling			
Accurately reported qualification issued flag			

Focus area	% of compliance	Recommended management action	Priority
Agreement delivery – User Choice			
Administration			
Information regarding student contribution fees provided			
Evidence of qualification / statement of attainment retained			
Evidence supports credit transfers			
Training plan signed by all parties			
Training plan developed within timeframe			
Copy of signed training plan provided to parties within timeframe			
Training plan aligns with Nationally approved template			
Training plan has been fully developed			

Focus area	% of compliance	Recommended management action	Priority
Training plan aligns with training package requirements			
Training record issued within timeframe			
Evidence validates SRT01 Administration payment			
Employer Resource Assessment			
Workplace assessment has been conducted prior to development of training plan			
Workplace assessment conducted against employers' facilities and range of work			
Workplace assessment conducted against supervisory arrangements			
ERA details ratio of qualified persons to students			
ERA has been signed by all parties			
Correct ERA template has been utilised			
Alternative training / assessment arrangements not documented			
ERAs reviewed at intervals no greater than three (3) months			
On-the-job verification			
Sufficient evidence has been retained			
On-the-job verification has been signed by an appropriate person			
Fees			
Charged and collected a student contribution fee			
Not charged for credit transfer or transitional gap training			
Not charged for a school-based apprentice or trainee (SAT) or Year 12 Graduate			
Evidence substantiating partial or full exemption of student contribution fees has been retained			
Partial exemption of student contribution fees has been calculated correctly			

Focus area	% of compliance	Recommended management action	Priority
Employer contribution fees negotiated and agreed prior to enrolment			
Refund of student contribution fees has been correct calculated and actioned			
Training			
Sufficient evidence has been retained			
Sufficient evidence has been retained to validate withdrawn claims for payment			
Training records have been reviewed at intervals no greater than three (3) months			
Assessment			
Sufficient evidence of retention of complete and accurate marking guides and benchmarking that support assessor judgement			
Sufficient evidence to validate AVETMISS Outcome identifier 20 claims for payment			
Sufficient evidence to validate AVETMISS Outcome identifier 30 claims for payment			
Sufficient evidence to validate AVETMISS Outcome identifier 51 claims for payment			
Sufficient evidence to validate AVETMISS Outcome identifier 65 claims for payment			
Sufficient evidence to validate the entire qualification was not achieved via an RPL pathway			
AVETMISS reporting			
Accurately reported AVETMISS Delivery mode identifier			
Accurately reported AVETMISS Outcome identifier			
Accurately reported AVETMISS Start and End Dates			

Focus area	% of compliance	Recommended management action	Priority
Accurately reported postcodes			
Not submitted claims for payment for unit/s of competency previously achieved			
Correctly acknowledged and reported any unit of competency available for credit transfers			

Template

Appendix 1. Priority focus area ratings

Priority focus area ratings have been assigned to the findings raised in this report as outlined below. They are assigned in order to provide assistance to SAS in relation to prioritising and focusing action that needs to be undertaken to address the audit findings and sustain compliance with the Agreement/s.

They are not a departmental rating of importance; rather a recommended order of priority for SAS consideration due to the relative risk of ongoing non-compliance.

Priority focus area	Attributes
Immediate	There is evidence of a major weakness in the SAS internal systems and controls Findings point to serious ongoing risk of not meeting the requirements of the SAS agreement.
High	There is evidence of a significant weakness in the SAS internal systems and controls. Findings indicate an unacceptable level of ongoing risk of not meeting the requirements of the SAS agreement.
Medium	There is evidence of a moderate weakness in the SAS internal systems and controls. Findings point to ongoing risk of not meeting the requirements of the SAS agreement.
Low	There is evidence of a minor weakness in the SAS internal systems and controls. Findings point to minimal ongoing risk of not meeting the requirements of the SAS agreement.
Internal control improvement opportunity (ICIO)	There is an opportunity to improve efficiency and effectiveness of current processes that, if not actioned, may result in not meeting the requirements of the SAS agreement.

Appendix 2. Scope Detail

Quality and compliance team

Name	Role

Qualifications included

QS

Qualification code and title	Number of students sampled	Number of units of competency sampled

PS

Qualification code and title	Number of students sampled	Number of units of competency sampled

The total number of students included in the audit sample may not have been sampled across every audit focus areas for the programs audited.

Focus

- 1: This was conducted as a monitoring/re-audit/targeted/theme to evaluate SAS compliance with the Agreement/s.
- 2: The audit incorporated the review of AVETMISS data submitted by the SAS within the [specified] time period.
- 3: The SAS has [number] of other qualifications on their delivery scope for this agreement. Not all qualifications on the delivery scope were included.
- 4: The audit activity commenced with an initial review of internal controls and assurances the SAS has implemented to support service delivery against its Agreement/s and departmental policy.
- 5: The review of internal controls was followed by fieldwork including student file review conducted over [specified time period] to analyse the sufficiency and accuracy of evidence retained by the SAS to support funding payments received from the Department as well as validate the effectiveness of internal controls implemented to address compliance responsibilities.

Appendix 3. Non-compliance detail – VET Investment

Rectification of all non-compliances as well as processes identified as contributing to non-compliance must be undertaken immediately as continued use of tools and practices that do not meet compliance requirements is not acceptable to the Department. The Department will expect to see evidence of rectification action taken at any future assurance activity however, unless specifically requested, there is no requirement to submit rectification evidence to the Department at this time.

Administration

(Refer to PQS Agreement, Clause 9; Certificate 3 Guarantee Program Policy 19–20; Certificate 3 Guarantee Program Policy 18–19; PQS Policy 19–20 Performance Standard 1, Performance Standard 2G and Appendix 3E – Credit Transfer; PQS Policy 18–19 Performance Standard 1, Performance Standard 2G and Appendix 3E – Credit Transfer; Higher Level Skills Program Policy 19–20; Higher Level Skills Program Policy 18–19; PQS Audit Evidence Requirements.)

(Refer to SAS Agreement, Clause 11; Certificate 3 Guarantee Program Policy 2020–21; Skills Assure supplier Policy 2020–21 Performance Standard 1, Performance Standard 2G and Performance Standard 5C, Appendix 3E; Higher Level Skills Program Policy 20-21; SAS Audit Evidence Requirements.)

Agreement delivery – VET investment

Nil non-compliance identified in this area

OR

Agreement delivery – VET investment

Records – certification documentation

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Evidence to support credit transfer

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

SAS obligation

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Government subsidised training place under the Certificate 3 Guarantee

Common findings:

Agreement delivery – VET investment

Nil non-compliance identified in this area

OR

Student name/s	Qualification	Detail regarding insufficient evidence

Government subsidised training place under the Higher-Level Skills

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Refund policy

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Complaints

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Eligibility

(Refer to Certificate 3 Guarantee Program Policy 19–20; Certificate 3 Guarantee Program Policy 18–19; PQS Policy 19–20 Performance Standard 3C; PQS Policy 18–19 Performance Standard 3C; Higher Level Skills Program Policy 19–20; Higher Level Skills Program Policy 18–19; PQS Audit Evidence Requirements.)

(Refer to Certificate 3 Guarantee Program Policy 20–21; Skills Assure supplier Policy 2020–21 Performance Standard 3C and Appendix 1K, and Table 3; Higher Level Skills Program Policy 20–21; SAS Audit Evidence Requirements.)

Agreement delivery – VET investment

Nil non-compliance identified in this area

OR

Agreement delivery – VET investment

Process of integrity to verify eligibility

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Eligibility

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Subsidy availability – Concession status

Common findings:

Student name/s	Unit of competency / Qualification	Detail regarding insufficient evidence

Subsidy availability – Free training for Year 12 graduates

Common findings:

Student name/s	Unit of competency / Qualification	Detail regarding insufficient evidence

Lower-level training and foundation skills training

(Refer to PQS Agreement, Clause 9; Certificate 3 Guarantee Program Policy 19–20; Certificate 3 Guarantee Program Policy 18–19; PQS Policy 19–20 Performance Standard 4; PQS Policy 18–19 Performance Standard 4; PQS Audit Evidence Requirements.)

(Refer to SAS Agreement, Clause 11; Certificate 3 Guarantee Program Policy 20–21; Skills Assure supplier Policy 2020–21 Performance Standard 4; SAS Audit Evidence Requirements.)

Agreement delivery – VET investment

Nil non-compliance identified in this area

OR

Agreement delivery – VET investment

Foundation Skills

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Training and support plan - Foundation skills

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Lower-level qualifications - Individual pathway

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Training and support plan - Individual pathway

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Lower-level qualifications - Pre-apprenticeship pathway

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Lower-level qualifications - cohort specific

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Fees

(Refer to PQS Policy 19–20 Performance Standard 1A, 2D and 3B, and appendices 1F, 1E, 1G, 1H and 1L; PQS Policy 18–19 Performance Standard 1A, 2D and 3B, and appendices 1F, 1E, 1G, 1H and 1L; PQS Audit Evidence Requirements.)

Refer to Skills Assure supplier Policy 2020–21 Performance Standard 1A, 2D, 3B, and appendices 1E, 1F, 1G, 1H, 1I, and 1L; SAS Audit Evidence Requirements.)

Agreement delivery – VET investment

Nil non-compliance identified in this area

OR

Agreement delivery – VET investment

Fees published on website

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Co-contribution fees charged and collected

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Co-contribution fees at unit of competency level

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Fee-free training not advertised

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Not charged for qualification and/or offering in addition to co-contribution fee

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Co-contribution fees for credit transfers

Common findings:

Student name/s	Unit of competency	Detail regarding insufficient evidence

Co-contribution fees charged and collected from exempt students

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Training

(Refer to PQS Agreement, Clause 9; PQS Policy 19–20 Appendix 5 – Table 4; PQS Policy 18–19 Appendix 5 – Table 4; PQS Audit Evidence Requirements.)

Refer to SAS Agreement, Clause 11; Skills Assure supplier Policy 2020–21 Performance Standard 5.A, and Appendix 5 – Table 4; SAS Audit Evidence Requirements.)

Agreement delivery – VET investment

Nil non-compliance identified in this area

OR

Agreement delivery – VET investment

Record of participation in training

Common findings:

QS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 2

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 3

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 4

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 5

Student name/s	Unit of competency	Detail regarding insufficient evidence

AVETMISS Outcome identifier 40

Common findings:

QS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 2

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 3

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 4

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 5

Student name/s	Unit of competency	Detail regarding insufficient evidence

Vocational placement

Common findings:

QS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 2

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 3

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 4

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 5

Student name/s	Unit of competency	Detail regarding insufficient evidence

Assessment

(Refer to PQS Agreement, Clause 9; PQS Policy 19–20 Appendix 5 – Table 4 and Performance Standard 5B; PQS Policy 18–19 Appendix 5 – Table 4 and Performance Standard 5B; PQS Audit Evidence Requirements.)

(Refer to SAS Agreement, Clauses 7, 8 and 11; Skills Assure supplier Policy 2020–21 Performance Standard 5B Appendix 5 – Table 4, and Performance Standard 5B; SAS Audit Evidence Requirements.)

Agreement delivery – VET investment

Nil non-compliance identified in this area

OR

Agreement delivery – VET investment

Marking Guides – completed and accurate benchmark materials

Common findings:

Qualification	Detail regarding insufficient evidence

AVETMISS Outcome identifier 20

Common findings:

QS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 2

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 3

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 4

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 5

Student name/s	Unit of competency	Detail regarding insufficient evidence

AVETMISS Outcome identifier 30

Common findings:

QS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 2

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 3

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 4

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 5

Student name/s	Unit of competency	Detail regarding insufficient evidence

AVETMISS Outcome identifier 51

Common findings:

QS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 2

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 3

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 4

--	--	--

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence

AVETMISS Outcome identifier 65
Common findings:

QS Qualification Code and title 1		
Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 2		
Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 3		
Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 4		
Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence

AVETMISS reporting

(Refer to PQS Agreement, Clauses 5 and 9; PQS Policy 19–20 Appendix 1I, 3D and 3E; PQS Policy 18–19 Appendix 1I, 3D and 3E; PQS Audit Evidence Requirements.)

(Refer to SAS Agreement, Clauses 5 and 11; User Choice supplier Policy 2020–21 Appendix 1G, 1I, 1J, 1K, 3C, 3D and 3E and Appendix 5 – Table 4; SAS Audit Evidence Requirements.)

Agreement delivery – VET investment

Nil non-compliance identified in this area

OR

Agreement delivery – VET investment

AVETMISS end dates

Student name/s	Unit of competency	Detail regarding insufficient evidence

Delivery mode identifier

Student name/s	Unit of competency	Detail regarding insufficient evidence

Outcome code identifier

Student name/s	Unit of competency	Detail regarding insufficient evidence

Concession status

Student name/s	Unit of competency	Detail regarding insufficient evidence

Co-contribution fees

Student name/s	Unit of competency	Detail regarding insufficient evidence

Postcode

Student name/s	Unit of competency	Detail regarding insufficient evidence

Competencies previously assessed as competent

QS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 2

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 3

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 4

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 5

Student name/s	Student name/s	Student name/s

Eligible credit transfer

QS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 2

Student name/s	Unit of competency	Detail regarding insufficient evidence

QS Qualification Code and title 3

Student name/s	Unit of competency	Detail regarding insufficient evidence
QS Qualification Code and title 4		
Student name/s	Unit of competency	Detail regarding insufficient evidence
QS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence
Fund source code		
Student name/s	Unit of competency	Detail regarding insufficient evidence
Highest level of school		
Student name/s	Unit of competency	Detail regarding insufficient evidence
Qualification issued flag		
Student name/s	Unit of competency	Detail regarding insufficient evidence

Appendix 4. Non-compliance detail – User Choice

Rectification of all non-compliances as well as processes identified as contributing to non-compliance must be undertaken immediately as continued use of tools and practices that do not meet compliance requirements is not acceptable to the Department. The Department will expect to see evidence of rectification action taken

at any future assurance activity however, unless specifically requested, there is no requirement to submit rectification evidence to the Department at this time.

Administration

(Refer to PQS Agreement, Clause 9; User Choice 2017–20 Policy, Clause 2.6; Further Education and Training Act 2014, Sections 74 and 75; Further Education and Training Regulation, Section 4; PQS Audit Evidence Requirements.)

(Refer to SAS Agreement, Clause 11; User Choice 2020–21 Policy, Clauses 1.2, 2.4 and 2.6; Further Education and Training Act 2014, Sections 74 and 75; Further Education and Training Regulation, Section 4; SAS Audit Evidence Requirements.)

Agreement delivery – User Choice

Nil non-compliance identified in this area

OR

Agreement delivery – User Choice

Information provided prior to enrolment

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Records – certification documentation

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Records – completed and accurate benchmark materials

Common findings:

Qualification	Detail regarding insufficient evidence

Training plans

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Requirements of the training plan

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Training records

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Evidence to support credit transfer

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

SRT01 Administration payment

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Employer resource assessment

(Refer to PQS Agreement, Clause 9; User Choice 2017–20 Policy, Clause 1.2; PQS Audit Evidence Requirements.)
(Refer to SAS Agreement, Clause 4 and Clause 11; User Choice 2020–21 Policy, Clause 1.2; SAS Audit Evidence Requirements.)

Agreement delivery – User Choice

Nil non-compliance identified in this area

OR

Agreement delivery – User Choice

Sufficient evidence indicating employer resources fully assessed

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Student to qualified workplace supervisor ratio

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Review at intervals of no greater than three months

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

On-the-job verification

(Refer to User Choice 2017–20 Policy, Clause 2.6; PQS Audit Evidence Requirements.)

(Refer to SAS Agreement, Clause 9; User Choice 2021–21 Policy, Clause 2.4; Further Education and Training Act 2014; SAS Audit Evidence Requirements.)

Agreement delivery – User Choice

Nil non-compliance identified in this area

OR

Agreement delivery – User Choice

On-the-job verification

Common findings:

PS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 2

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 3

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 4

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 5

Student name/s	Unit of competency	Detail regarding insufficient evidence

Fees

(Refer to User Choice 2017–20 Policy, Clause 2.6; PQS Audit Evidence Requirements.)

(User Choice 2020–21 Policy, Clause 2.4 and Clause 2.6; SAS Audit Evidence Requirements.)

Agreement delivery – User Choice

Nil non-compliance identified in this area

OR

Agreement delivery – User Choice

Student contribution fees charged and collected

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Student contribution fee exemptions

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

School based apprentices and trainees

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Credit transfers / Transitional gap training / Skilling Queenslanders for Work

Common findings:

Student name/s	Unit of competency	Detail regarding insufficient evidence

Year 12 Graduate

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Employer contribution fees

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Additional charges

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Issuances of qualifications / statements of attainment

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

Refund of student contribution fees

Common findings:

PS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 2

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 3

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 4

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 5

Student name/s	Unit of competency	Detail regarding insufficient evidence

Training

(Refer to PQS Agreement, Clause 9; User Choice 2017–20 Policy, Clause 2.4; Further Education and Training Regulation, Section 4; PQS Audit Evidence Requirements.)

(Refer to SAS Agreement, Clause 11; User Choice 2020–21 Policy, Clause 2.4; Further Education and Training Regulation, Section 4; SAS Audit Evidence Requirements.)

Agreement delivery – User Choice

Nil non-compliance identified in this area

OR

Agreement delivery – User Choice

Record of participation in training

Common findings

PS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 2		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 3		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 4		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence

AVETMISS Outcome identifier 40

Common findings:

PS Qualification Code and title 1		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 2		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 3		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 4		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence
Training records		
Common findings		
PS Qualification Code and title 1		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 2		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 3		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 4		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence

Assessment

(Refer to PQS Agreement, Clause 9; User Choice 2017–20 Policy, Clauses 2.3 and 2.4; PQS Audit Evidence Requirements.)

(Refer to SAS Agreement, Clauses 7, 8, 11; User Choice 2020–21 Policy, Clauses 2.3, 2.4 and Table 3; SAS Audit Evidence Requirements.)

Agreement delivery – User Choice

Nil non-compliance identified in this area

OR

Agreement delivery – User Choice

Marking Guides – completed and accurate benchmark materials

Common findings

Qualification	Detail regarding insufficient evidence

AVETMISS Outcome identifier 20

Common findings

PS Qualification Code and title 1

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 2

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 3

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 4

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence

AVETMISS Outcome identifier 30
Common findings

PS Qualification Code and title 1		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 2		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 3		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 4		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence

AVETMISS Outcome identifier 51
Common findings:

PS Qualification Code and title 1		
-----------------------------------	--	--

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 2		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 3		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 4		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence

AVETMISS Outcome identifier 65

Common findings

PS Qualification Code and title 1		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 2		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 3		
-----------------------------------	--	--

Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 4		
Student name/s	Unit of competency	Detail regarding insufficient evidence

PS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence

Entire qualification via RPL pathway

Common findings:

Student name/s	Qualification	Detail regarding insufficient evidence

AVETMISS reporting

(Refer to PQS Agreement, Clause 9; User Choice 2017–20 Policy, Clause 2.4; PQS Audit Evidence Requirements.)

(Refer to SAS Agreement, Clause 11; User Choice 2020–21 Policy, Clause 2.4 – Tables 3 and 5; SAS Audit Evidence Requirements.)

Agreement delivery – User Choice

Nil non-compliance identified in this area

OR

Agreement delivery – User Choice
Delivery mode identifier

Student name/s	Unit of competency	Detail regarding insufficient evidence

Outcome code identifier

Student name/s	Unit of competency	Detail regarding insufficient evidence

AVETMISS end dates		
Student name/s	Unit of competency	Detail regarding insufficient evidence
Postcode		
Student name/s	Unit of competency	Detail regarding insufficient evidence
Competencies previously assessed as competent		
PS Qualification Code and title 1		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 2		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 3		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 4		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence

Eligible credit transfer		
PS Qualification Code and title 1		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 2		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 3		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 4		
Student name/s	Unit of competency	Detail regarding insufficient evidence
PS Qualification Code and title 5		
Student name/s	Unit of competency	Detail regarding insufficient evidence

