



Australian Government
Australian Skills Quality Authority

Certificate of Registration



This is to certify that
Phillips Training Services Pty. Ltd.

trading as
Phillips Institute

is registered by the Australian Skills Quality Authority
under the *National Vocational Education and Training Regulator Act 2011*
(the Act) as an NVR Registered Training Organisation (RTO).

from **19 August 2017**

until **18 August 2024**

RTO code: **21868**

The organisation's scope of registration is listed on the National Register.

Registration is subject to continue compliance with the:

- VET Quality Framework
- conditions set out in sections 22 to 28 of the Act
- conditions imposed on the organisation's registration under subsection 29(1) of the Act.

Mark Paterson
Chief Commissioner
Australian Skills Quality Authority

Issued on **25 May 2017**

under section 19 of the Act

28 June 2012



Australian Government
Australian Skills Quality Authority

Ms Rosemary Henderson
Chief Executive Officer
Phillips Training Services Pty. Ltd
75a Koornang Road
CARNEGIE VIC 3163

File No: 21868
Doc ID: Application granted

Dear Ms Henderson

Re: Outcome of renewal of registration application—granted

I refer to your application to renew your registration as a national VET regulator (NVR) registered training organisation (RTO).

Some non-compliances were identified after the rectification evidence for the renewal of registration audit conducted on 16 and 17 February 2012 was received. A copy of the final audit report is attached and the non-compliances requiring your immediate attention are:

1. Ensure that assessments meet the requirements of the relevant Training Package including the:
 - essential knowledge and skills;
 - critical aspects of evidence; and
 - the dimensions of competency
2. Ensure that the third party reports used, list the evidence to be sighted by the supervisor which satisfy the particular requirements of the relevant Training Package rather than a repetition of the performance criteria.
3. The RPL assessment instruments you have validated in your training and assessment strategy are consistently used by all your assessors.
4. The assessment instruments used for the delivery of the Diploma of Management have been validated against the requirements of the Training Package
5. Modifications made to your training and assessment policy, are communicated to staff.

RTO ID number

You **must** quote your organisation's RTO ID number in all future correspondence with ASQA. This number **must** also be included on the qualifications and statements of attainment that you issue and the marketing materials that you use as an RTO.

Maintaining compliance

I wish to remind you that you have signed a statutory declaration in which you have accepted responsibility for ensuring compliance with the VET Quality Framework. This framework comprises the following components:

- the Standards for NVR Registered Training Organisations
- the Australian Qualifications Framework
- the Fit and Proper Person Requirements of the Act
- the Financial Viability Risk Assessment Requirements of the Act
- the Data Provision Requirements of the Act.

This is an important commitment that requires you to actively manage and monitor your RTO's activities to ensure that compliance is maintained at all times and across all of your operations.

RTO compliance is the mandated foundation upon which organisations should plan and achieve quality improvements to their training and assessment services.

Further information and assistance

If you require further information or assistance in relation to this matter, please contact Mr Robert East on telephone 9954 2507 or by email at compliancemelb@asqa.gov.au.

Yours sincerely



Jerzy Gill
Regional Compliance Manager Vic



VET Quality Framework audit report

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

Legal name of applicant	Phillips Training Services Pty. Ltd T/as Phillips Institute
Date/s of audit	16/2/12 - 17/2/12 Verification 18 th April 2012

APPLICANT DETAILS			
RTO legal name	Phillips Training Services Pty. Ltd T/as Phillips Institute	RTO ID number	21868
Registered business trading name	Phillips Training Services Pty. Ltd T/as Phillips Institute	ABN	
Address	75a Koornang Road CARNEGIE VIC 3163	Postcode	
Phone	03 9572 3877	Fax	
E-mail	trainpca@bigpond.com	Website	www.phillipsinstitute.vic.edu.au
Registration contact	Name Rosemary Henderson	Position	

AUDIT TEAM			
Lead auditor	Anna Louise Allen	Technical adviser/s	
Audit team members			

ASQA CONTACT DETAILS			
Phone	1300 701801 (ASQA Info line)	E-mail	audits@asqa.gov.au

AUDIT DETAILS	
Audit type	<input checked="" type="checkbox"/> Renewal of registration <input type="checkbox"/> Extension to scope of registration <input type="checkbox"/> Compliance monitoring (incl. post-initial registration) <input type="checkbox"/> Other:
Scope of audit	<input type="checkbox"/> Standards for NVR Registered Training Organisations <input type="checkbox"/> Australian Qualifications Framework (AQF) <input type="checkbox"/> Data Provision Requirements <input type="checkbox"/> Fit and Proper Person Requirements <input type="checkbox"/> Financial Viability Risk Assessment Requirements
Date/s of site visit/s	Initial audit 16/2/12 - 17/2/12; Verification audit 19 th and 20 th April 2012
Site/s visited	75a Koornang Road CARNEGIE VIC 3163
Standards audited	Essential Standards for Continuing Registration 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25

ORGANISATION
<p>Phillips Institute was started in 1998 as 21147 Rosemary Henderson trading as Lifelong Education. In 2006 Rosemary registered the company and the RTO was re-registered. Initially the RTO was focussing on staff development and the Aged Care Sector. More recently they have been delivering management training and the TAA and TAE. The RTO intends to apply for the Diploma of VET shortly.</p> <p>Phillips Institute offers training in community services, Business and Training and Education. The RTO offers the range of Certificate III qualifications for the aged care and disability sector. They also deliver two Management diplomas and the Training and Assessment qualifications.</p> <p>The CEO, Rosemary Henderson was originally a nurse, then trained as a teacher. The RTO does not currently deliver interstate, however they are currently looking at this. The RTO has a contract with Skills Victoria and estimates that government funding accounts for approximately 50% of its income. This funding is largely at the Certificate III level. The RTO had 224 students in 2011, with 146 completing by 31st December 2011.</p>

FOCUS OF AUDIT		
Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment
TAE40110	Certificate IV in Training and Assessment	Vic
CHC30208	Certificate III in Aged Care	Vic
CHC30308	Certificate III in Home & Community Care	Vic

CHC50508	Diploma of Leisure and Health	Vic
BSB51107	Diploma of Management	Vic
BSB50207	Diploma of Business	Vic

INTERVIEWEES

Staff (name and position)

Name	Position	Program (qualification, course, etc)
Rosemary Henderson	Director/CEO	
Kerri Henderson	Associate/Trainer	Diploma of TAA
Linda Hubbard	Leisure and Lifestyle trainer/Compliance Manager/Student Administration	Certificate IV and Diploma of Leisure and Health
Amanda Vincent	TAA/TAE trainer	Certificate IV in Training and Assessment
Jerome George	Personal Care/Aged Care Trainer	Certificate III in Aged Care, Disability, Home and Community Care
4 students		Certificate III in Aged Care

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


(delete whichever dot point option below does not apply)

Audit status as at 16/2/12 - 17/2/12

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

The extent of non-compliance is considered **medium** 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	Anna-Louise Allen	Signature		Date of Report	16/2/12 - 17/2/12
----------------	-------------------	-----------	--	----------------	-------------------

AUDIT SUMMARY OF VET QUALITY FRAMEWORK REQUIREMENTS


SUMMARY OF AUDIT VERIFICATION 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 RECTIFICATION

Audit status following additional evidence received

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

Auditor's Name	Anna-Louise Allen	Signature		Date of Report	20 th April 2012
-----------------------	-------------------	------------------	--	-----------------------	-----------------------------

AUDIT SUMMARY OF VET QUALITY FRAMEWORK REQUIREMENTS

VET QUALITY FRAMEWORK COMPONENT		STATUS*
Financial Viability Risk Assessment Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Fit and Proper Person Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Data Provision Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Australian Qualifications Framework (AQF) Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Standards for NVR Registered Training Organisations 2011		
- Essential Standards for Continuing Registration		
15	The NVR registered training organisation provides quality training and assessment across all of its operations	<input type="checkbox"/> C <input checked="" 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 checked="" type="checkbox"/> NC <input 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 checked="" type="checkbox"/> NC <input type="checkbox"/> NA
24	Accuracy and integrity of marketing	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
25	Transition to training packages/expiry of VET accredited courses	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
*STATUS: Status of audit findings when audit was conducted C = Compliant NC = Not Compliant NA = Not audited		

Audit conclusion

The RTO is now compliant with NVR 25, 15.2, 15.3, 17.1,
The RTO remains not compliant with NVR 15, 17, 23 & 24.

15.5 Assessment

- RPL Tools in place, had not been consistently used. No further evidence of their use or training of staff in their use was provided.
- A Range of mapping documents support the RTO developed assessment tools, however it is unclear who has prepared these, it is not evident that an external party had been involved. No further evidence in relation to this noncompliance was supplied
- The files audited for the Diploma of Management did not use the RTO assessment tools. The trainer had designed his own tools and these had not been mapped to the unit requirements so, validity of assessment was not demonstrated. No evidence or strategies of how the RTO will make sure this does not happen again was submitted.
- The RTO's approach to Validation & Moderation is not systematic. Not all assessments are mapped to the complete unit requirements and the dimensions of competency. Third Party reports use training package language, which does not produce quality assessment outcomes. – while evidence of a new form was provided, this has not been implemented. Some modifications have been made to the training and assessment policy, but no evidence of this being communicated with staff or their subsequent implementation or adherence to this policy was provided.

17.2 Management systems

The additional evidence presented did not demonstrate how the RTO will systematically approach continuous improvement and the management of the RTO. The policies and procedures are listed but how they work together as a system is unclear.

A validation checklist and a training delivery checklist were presented, however there was no evidence of their implementation or how these forms will contribute to the systematic management of continuous improvement

23 Certificates and Statements of Attainment

The employability skills statement has been added, which is compliant.

RTOs must include the Nationally Recognised Training (NRT) logo on certificates/testamurs. The NTR logo has not been used. The AQF logo or words not both. The RTO has used both the logo and the words.

The only logo required on statements of attainment is the Nationally Recognised Training (NRT) logo. Statements of attainment must not include the Australian Qualifications Framework (AQF) words or logo.

The statement of attainment includes the AQF logo and words and does not include the NRT logo.

The following statement is missing from the statement of attainment '*A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units*'

24 Marketing

The new policy does not include any formal checking and sign off when checking accuracy of marketing.

The Website uses the AQF and NRT logo correctly. No evidence was provided to support the correction of the use of logos.