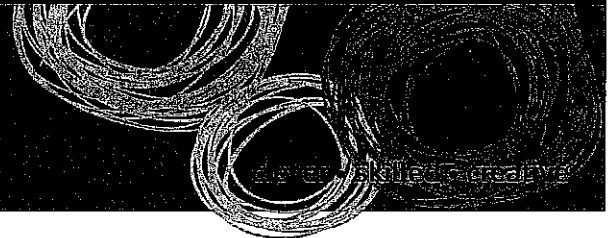


AQTF Audit Report – Continuing Registration

 Version 1.1.1 – 29 July 2011
 Training and International Quality

Registration expiry	31-12-2011		
Principal address	Level one, 183 North Quay, BRISBANE CITY		
Audit venue	Level one, 118 Campbell St Toowoomba		
RTO contact	Ms Wendy Allen	Phone number	(07) 3236 3100
Operations	<ul style="list-style-type: none"> The RTO is part of the industry association and provides training to current industry employees. It has developed skill sets to meet the requirements and wishes of primary producers. The core clients of the business are industry employees who are wishing to gain formal qualifications in recognition of their experience. The RTE20103 Certificate II in Agriculture was developed to provide job opportunities for the Aboriginal community. RTE20103 Certificate II in Agriculture is delivered in far North Queensland only. The other courses are delivered state wide. The delivery of RTE20103 Certificate II in Agriculture is done face to face. The other courses offered by the RTO are delivered face to face and also by correspondence. The training is delivered by contracted staff who are industry experts and currently work within the respective industries. The location and training of the RTE20103 Certificate II in Agriculture is conducted on a working family owned cattle property. The RTO has PPP funding for RTE50403 Diploma of Rural Business Management which is delivered to station owners and managers. The RTE20103 Certificate II in Agriculture had a completion rate of 90% in 2010 and completion for 2011 is 47. 		
Lead auditor	Mr Dean Smoothy	Auditor/s	Ms Denise Middleton
Phone	(07) 3235 4746	Adviser/s	N/A
E-mail	dean.smoothy@deta.qld.gov.au	Observer/s	N/A
Reason/s for audit	Monitoring audit		
Audit date/s	23-09-2011	Audit number/s	183415410A
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.2, 2.3 and 3.2.		
Conditions audited	NIL		
Audit outcome on day of audit	Compliant <input type="checkbox"/>	Significant non-compliance <input type="checkbox"/>	
	Minor non-compliance <input checked="" type="checkbox"/>	Critical non-compliance <input type="checkbox"/>	
Rectification received	27-10-2011		
Audit outcome following rectification	Compliant <input checked="" type="checkbox"/>	Significant non-compliance <input type="checkbox"/>	
	Minor non-compliance <input type="checkbox"/>	Critical non-compliance <input type="checkbox"/>	
Other audit notes	<ul style="list-style-type: none"> Prior to the commencement of the site audit, the Lead Auditor was provided with rectification evidence resulting from the Renewal Application desk audit. It was identified prior to the audit to include RTD30102 Certificate III in Conservation and Land 		





	<p>Management due to the number of completions in the partial qualification. During the audit the auditors were informed that the two units were imbedded in RTD40103 Certificate IV in Conservation and Land Management as per the packaging rules.</p> <ul style="list-style-type: none"> Element 3.3 was included in the audit however, upon discussion with Ms Allen it was ascertained that the partnership in question is not associated to the AQTF.
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Code	Qualification / Course / Unit title	Regulated	Delivery venues
RTE20103	Certificate II in Agriculture <i>RTE2111A Identify and mark livestock</i> <i>RTE2130A Ride horse and care for equipment</i>	<input type="checkbox"/>	Lakeland
RTE50403	Diploma of Rural Business Management <i>RTE5516A Develop a whole farm plan</i> <i>RTE5524A Develop and implement sustainable land use strategies</i>	<input type="checkbox"/>	Statewide
RTD40102	Certificate IV in Conservation and Land Management (Partial) <i>RTC3704A Prepare and apply chemicals</i> <i>RTC3705A Transport, handle and store chemicals</i>	<input type="checkbox"/>	

Ms Wendy Allen
Ms Kate Scott

Disclaimer: The Department of Education and Training collects the information on this form as part of the audit of registered training organisations under the AQTF. Only authorised government officers or contracted personnel have access to this information. Your personal information will not be disclosed to any other third party without your consent, unless authorised or required by law, in accordance with the *Information Privacy Act 2009*.

Elements	Examined
1.1 The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.	<input checked="" type="checkbox"/>
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 stakeholders.	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>
1.4 Training and assessment is delivered by trainers and assessors who: <ul style="list-style-type: none"> a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors 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. 	<input checked="" type="checkbox"/>
1.5 Assessment, including Recognition of Prior Learning (RPL): <ul style="list-style-type: none"> 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. 	<input checked="" type="checkbox"/>

At time of audit:

- Compliant
 Not Compliant

Following rectification received 27/10/2011:

- Compliant
 Not Compliant

Findings:

The RTO systematically collects, analyses and acts on feedback received from trainers and assessors. Information is collected



through verbal feedback, teleconferences and feedback sheets from trainers which identify gaps and within assessment instruments and the recording of assessment outcomes. The analysis of any identified gaps is discussed prior to the commencement of each course and areas that require improvement are actioned. The RTO's 'Continuous Improvement Policy' is clear, transparent and clearly defines the processes required for continuous improvement. Both Ms Allen and Ms Scott have notepads which are used to record the information discussed in the phone calls. If any items are identified which require attention they are highlighted and acted upon within appropriate timelines, as deemed necessary. To ensure monitoring occurs, changes to the assessment materials are discussed, acted on and reviewed at six monthly intervals.

Ms Allen and Ms Scott are the management team and the RTO has sufficient facilities and equipment to maintain effective operations of its RTO. Trainers' notes are also available which outline the physical resources, objectives and instructions for each unit.

RTE20103 Certificate II in Agriculture

The training and assessment strategies are clearly defined and industry consultation was collected and recorded. Industry consultation was conducted with Queensland Rural Industry Training Council (QRITC), University of Queensland (Gatton), Outstation North (cattle station), Rural Skills and Labour Industry Advisory Group. The training and assessment strategies are comprised of one document which outlines the human and physical resources required and any delivery program. Each strategy is monitored and discussed on a six monthly cycle.

Mr Curr and Mr Quaid provided evidence of sufficient industry knowledge and the appropriate training and assessment competencies.

The sample of units audited under this qualification addressed all requirements of each unit including the required knowledge, skills and critical aspects.

RTE50403 Diploma of Rural Business Management

The training and assessment strategies are clearly defined and industry consultation was collected and recorded. Industry consultation was conducted with Queensland Rural Industry Training Council (QRITC), University of Queensland (Gatton), Outstation North (cattle station), Rural Skills and Labour Industry Advisory Group. The training and assessment strategies are comprised of one document which outlines the human and physical resources required and any delivery program. Each strategy is monitored and discussed on a six monthly cycle.

Ms Wendy Allan provided sufficient evidence of industry knowledge and skills to appropriately train and assessed in this qualification.

This qualification is only assessed via RPL and the organisation uses the Skills First Assessment kit. The assessment met all requirements of the competencies including skills and knowledge, critical aspects and range statements.

RTD40102 Certificate IV in Conservation and Land Management (Partial)

The assessment tools consisted of a combination of written answers and activities. The RTO has acquired the resources 'Smartertrain - Chemical Accreditation Course, NSW' and have been moderated and additional practical activities have been implemented. The student evidence which was viewed at the time of audit was incomplete and was required to be returned to the student to finish. It was discussed at audit that questions answered incorrectly were discussed verbally and the response noted by the trainer.

Ms Logan and Ms Hartwig have sufficient industry currency and the appropriate training and assessment competencies to train and assess the units from this qualification.

Non-compliances:

RTE20103 Certificate II in Agriculture

Insufficient evidence was provided for Mr Curr and Mr Quaid to validate development of VET knowledge and how industry currency is maintained.

Although the assessment materials for RTE20103 Certificate II in Agriculture allows for reasonable adjustment to accommodate the Aboriginal cohort (due to severe LLN issues), it was stated that the trainers/assessors provide verbal feedback to the learners. However, the evidence provided does not allow for the recording of or acknowledgement of the feedback being given. The assessment material provided combined the practical component with verbal questioning to assess the requirements of the



unit. The document consisted of a set of questions, benchmark answers (intended verbal response) and a tick column which indicated the response given which is used as a collection of information for a learner group rather than an individual. The tick marks do not align with the answer given by the particular student and therefore a defined competent judgement could not be awarded to the learner. As it was stated at audit that this qualification is predominantly assessed practically. Although the assessment instrument is used to record practical assessment outcomes, it does not provide sufficient evidence or outline the actual task the learner is assessed against.

RTE50403 Diploma of Rural Business Management

Ms Kate Scott did not provide sufficient evidence to demonstrate that she holds the vocational qualification to train and assess in this qualification. This assessor did not demonstrate evidence of sufficient VET professional development. On the day of audit, the organisation provided a team teaching approach for Ms Scott whereby Ms Allan will provide the content knowledge to support this assessor.

RTD40102 Certificate IV in Conservation and Land Management (Partial)

Ms Hartwig and Ms Kelly did not supply sufficient evidence to demonstrate that they have undertaken professional development in the VET sector within the last twelve months.

Both *RTC3704A Prepare and apply chemicals* and *RTC3705A Transport, handle and store chemicals* do not meet the critical aspects or the consistency in performance aspects of the units. It was stated at audit the learners for this partial qualification are currently working in the industry however, the assessment materials do not allow for existing competence.

Rectification required:

RTE20103 Certificate II in Agriculture

The RTO is to provide a statement how it intends to ensure Mr Curr and Mr Quaid maintains and record validation of their current and future development of development of VET knowledge and skills and industry currency.

The RTO is required to demonstrate how it will record the feedback provided to individual learners for each unit assessment. The RTO is to provide evidence of how it intends to ensure the information recorded by trainers/assessors on its assessment materials is accurate and aligned with the appropriate answer given. Clear instructions to the trainer/assessor to ensure the information recorded is accurate. Documentation which clearly outlines instructions to students regarding what is required and records the activity/tasks the students are being practically assessed against.

RTE50403 Diploma of Rural Business Management

Ms Scott is required to provide a professional development plan demonstrating how she will maintain currency in VET knowledge over the next twelve months.

RTD40102 Certificate IV in Conservation and Land Management (Partial)

Ms Hartwig and Ms Kelly are required to provide a professional development plan demonstrating how they will maintain currency in VET knowledge over the next twelve months.

Evidence must be provided to demonstrate how the RTO will meet the requirements of the critical aspects and the consistency in performance aspects for both *RTC3704A Prepare and apply chemicals* and *RTC3705A Transport, handle and store chemicals*. Evidence must be provided to demonstrate how the RTO will recognise the learners' previous practical experience allowing for recognition of existing competence.

Rectification evidence received 27-10-11:

RTE20103 Certificate II in Agriculture

The RTO provided a plan to ensure Mr Curr and Mr Quaid maintains and records validation of their current and future development of VET knowledge and skills and industry currency. This is supported with a 'trainer yearly professional development plan' document to record and demonstrate ongoing compliance.

The RTO provided evidence of how it will record the feedback provided to individual learners for each unit assessment. The RTO provided evidence of how it will ensure the information recorded by trainers/assessors on its assessment materials is accurate and aligned with the appropriate answer given.

Rectification received 2-11-2011 (this evidence was requested on the 2-11-2011 as it was unable to be identified in initial rectification provided).

Trainer notes have been provided which demonstrates clear instructions how the assessments are to be conducted and



instructions which are required to be provided to the students identifying the assessment requirements.

RTE50403 Diploma of Rural Business Management

A professional development plan demonstrating how Ms Scott will maintain currency in VET and industry knowledge over the next twelve months has been provided. This is supported with a 'trainer yearly professional development plan' document to record and demonstrate ongoing compliance.

RTD40102 Certificate IV in Conservation and Land Management (Partial)

Ms Hartwig and Ms Kelly provided professional development plans demonstrating how they will maintain currency in VET knowledge over the next twelve months. This is supported with a 'trainer yearly professional development plan' document to record and demonstrate ongoing compliance.

The units in question under this qualification have been superseded. The RTO provided evidence of a mapping guide confirming that current assessments now meet the new unit requirements.

- Although Mr Curr has been an owner operator of his own properties since 1996 it is highly recommended that he acquires a formal qualification at least to the level he is training and assessing at.
- Although Mr Curr and Mr Quaid are trainers on a working cattle property it is highly recommended they evidence and keep records of how they maintain of current industry practices. As discussed this could be in the form of magazine subscription, representative visits, industry demonstrations or attending agricultural festivals.
- It is recommended that to maintain their AQTF requirements, all trainers and assessors upgrade their BSZ40198 Certificate IV in Assessment and Workplace Training to TAE40110 Certificate IV in Training and Assessment before June 2012.

Elements	Examined
2.1 The RTO establishes the needs of clients, and delivers services to meet these needs.	<input type="checkbox"/>
2.2 The RTO continuously improves client services by collecting, analysing and acting on relevant data.	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>
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.	<input type="checkbox"/>
2.5 Learners receive training, assessment and support services that meet their individual needs.	<input type="checkbox"/>
2.6 Learners have timely access to current and accurate records of their participation and progress.	<input type="checkbox"/>
2.7 The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	<input type="checkbox"/>

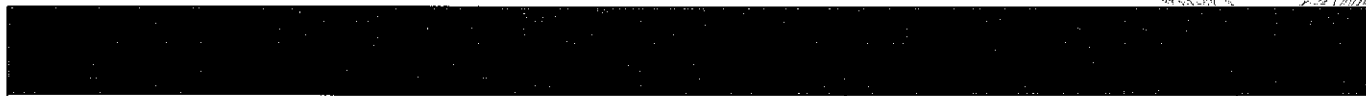
At time of audit:

- Compliant
 Not compliant

Findings:

Client services are systematically improved through the use of the learner questionnaires. It was stated at the audit the RTO finds the 'Quality Indicators' learners questionnaires to suit their business more so than its original feedback sheets. The sheet are collected after each course, then analysed and discussed at meeting. Any identified areas of improvement are then implemented and monitored as noted under Standard 1.

The information provided to the client is clear and available from the website or internal brochures. Information was provided about delivery methods and course content which is available for learners. An enrolment form is in place which is the agreement between the RTO and learner.



Elements	Examined
3.1 The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.	<input type="checkbox"/>
3.2 The RTO uses a systematic and continuous improvement approach to the management of operations.	<input checked="" type="checkbox"/>
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.	<input type="checkbox"/>
3.4 The RTO manages records to ensure their accuracy and integrity.	<input checked="" type="checkbox"/>

At time of audit:

- Compliant
- Not Compliant

Following rectification received 27/10/2011:

- Compliant
- Not Compliant

Findings:

It was demonstrated at audit the RTO have management systems in place which are appropriate for the size and scope of its operations. It is clear the management system focuses on quality training, assessment and support services across its operations and is systematically monitored and improved inline with its holistic approach to continuous improvement.

Non-compliances:

The records for the skill set delivered under RTD40102 Certificate IV in Conservation and Land Management (Partial) are not retained in accordance with the 'Retention of student results and assessment records policy for RTOs.

Rectification required:

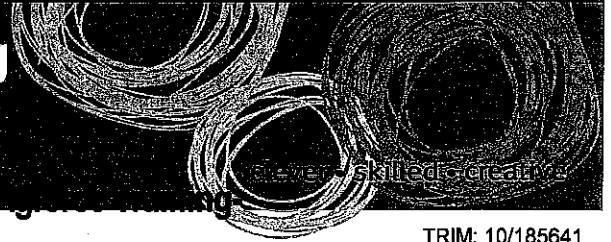
The RTO must provide evidence how it will meet the requirements for the 'Retention of student results and assessment records' to ensure staff meet their obligations for records management.

Rectification evidence received 27-10-2011:

The RTO provided a revised 'Administration and records management policy' which demonstrates its new process to meet the requirements of records management.



AQTF Audit Report - Continuing Conditions of Registration



#1834

 TRIM: 10/185641
 Version 3.1 – 29 July 2011
 Training and International Quality

Legal name	Agforce Queensland Industrial Union of Employers		Registration expiry	31-12-2011
RTO contact	Mr Robert Walker	Phone	(07) 3236 3100	
Lead auditor	Mr Dean Smoothy			
Phone	(07) 3235 4746	E-mail	dean.smoothy@deta.qld.gov.au	
Audit number	1834-7A	Conditions audited	1 - 9	
Other audit notes	<ul style="list-style-type: none"> The auditor spoke with Ms Wendy Allen on 19 September to discuss and request addition evidence and minor rectifications. An email was also sent to confirm the request on the same day. 			
Audit date	19-09-2011	Audit outcome on day of audit	<input type="checkbox"/> Compliant <input type="checkbox"/> Significant non-compliance	<input checked="" type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance
Rectification received	26-09-2011	Audit outcome following rectification	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Significant non-compliance	<input type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance
Recommendation	<input checked="" type="checkbox"/> Approve application <input type="checkbox"/> Refer to site visit <input type="checkbox"/> Refer to RME			
Opportunities for improvement	<ul style="list-style-type: none"> It is recommended that the RTO ensures all documentation is in line with current legislation as ANTA is referred to under its certification process. 			

Condition 1 - Governance

 At time of audit: Compliant Not Compliant

- › A signed internal audit declaration finalised 18-1-2011 by the Chief Executive.
- A 'Fit and Proper Person Declaration' was sighted for Chief Executive Officer– Mr Robert Walker and Training Manager Ms Wendy Allen.
- A spreadsheet containing meeting dates and the topics covered.
- An agenda for a meeting held in March 2011.
- Documentation demonstrating the flow of information and how management make decisions from the feedback and experiences of its trainers and assessors.

Evidence provided confirms:

- | | Y | N |
|---|-------------------------------------|--------------------------|
| <ul style="list-style-type: none"> • The RTO's Chief Executive must ensure that the RTO complies with the AQTF <i>Essential Conditions and Standards for Continuing Registration</i> and any national guidelines approved by the National Quality Council or its successors. This applies to all of the operations within the RTO's scope of registration, as listed on the National Training Information Service. | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> • The RTO's senior officers and directors or substantial shareholders who are in a position to influence the management of the organisation must satisfy fit and proper person requirements unless these requirements | <input checked="" type="checkbox"/> | <input type="checkbox"/> |



have already been met through other legislative provisions.

[These are the people identified in section 2.1 of the RTO 1(b) form. Each of these people has completed and declared the RTO 4 form - Fit and proper person requirements declaration.]

- The RTO must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.

Condition 2 – Interactions with the Registering Body

At time of audit: Compliant Not Compliant

- A 'Business Planning Policy' stating the RTO reviews and develops a strategic and operational business plan annually.
- An 'Update your RTO Details' form notifying the Department of Education and Training of a change CEO to the business.
- A signed declaration by the Chief Executive Mr Walker to comply with the Conditions of Registration.
- An 'Update to RTO Category form' when requested in September 2009 by the registration services.
- A completed internal audit conducted by Mr John Dwyer in January 2011.
- End of 2010 financial year statements demonstrating its financial viability.
- A letter from 'Johnston Rorke' accountants stating in their opinion Agforce are financial viable.
- It was noted by the auditor the renewal application was received in the required time frames.
- It has been identified by the auditor that previous audits have been finalised according to records held by the Department along with the 'Quality Indicator Reports'.
- 'Administration and Records Management Policy' demonstrating a clear process for the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements.

Evidence provided confirms:

Y N

- The RTO's Chief Executive must ensure that the RTO cooperates with its registering body:
 - a. in the conduct of audits and in the monitoring of its operations
 - b. by providing accurate and timely data relevant to measures of its performance
 - c. by providing timely information about significant changes to its operations
 - d. by providing timely information about significant changes to its ownership
 - e. in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements
 - f. by providing a statement demonstrating its financial viability, and/or its annual financial statements, and/or a business plan on request of the registering body.

Condition 3 – Compliance with Legislation

At time of audit: Compliant Not Compliant

- A 'Compliance to legislation Policy' outlining the RTOs commitment to inform staff and students of the required legislation including the 'Vocational Education, Training and Employment Act 2000'.
- A completed internal audit conducted by Mr John Dwyer in January 2011.
- An application for renewal of registration of a business name.
- A 'Certificate of Registration' from the Training and Employment Recognition Council.
- 'Workplace Health and Safety Policy' outlining the RTOs commitment to ensure a safe environment for all persons and the process to identify possible hazards.
- A 'Student Manual' which outlines student responsibilities in regards to workplace health and safety and includes a 'Code of Practice'.



- A clear and in depth induction flow chart and checklist for staff.
- A 'recruitment, induction and Professional Development' booklet for staff which identifies;
 - the legislative requirements of staff
 - the staff induction process
 - guidelines for employees ensuring quality training
 - detailed information on the standards of training and assessment which is expected and requirements to meet the AQTF
 - a staff 'Code of Practice'.

Evidence provided confirms:

Y N

- The RTO must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration.
- It ensures its staff and clients are fully informed of these requirements that affect their duties or participation in vocational education and training.

Condition 4 - Insurance

At time of audit: Compliant Not Compliant

- An 'Insurance Policy' outlining its requirements to maintain public liability throughout its registration period that is suitable for the size and scope of its operations.
- 'Certificate of Currency' for workcover insurance.
- A copy of the 'Confirmation of Cover' certificate for its public liability insurance from 'QBE Insurance':
 - with \$20 million cover
 - with an expiry of 17 July 2012

Evidence provided confirms:

Y N

- The RTO holds insurance for public liability throughout its registration period that is suitable for the size and scope of its operations.

Condition 5 - Financial Management

At time of audit: Compliant Not Compliant

Following rectification: Compliant Not Compliant

- A 'Financial Management Policy' demonstrating its commitment to comply with the requirements of the AQTF.
- End of 2010 financial year statements demonstrating its financial viability.
- A letter from 'Johnston Rorke' accountants stating in their opinion Agforce are financially viable.
- Although the RTO indicated it will not collect fees in advance the evidence does not support this.
- A marketing brochure for a one day course offered by the RTO.
- A refund policy.

Evidence provided confirms:

Y N

- The RTO must be able to demonstrate to its registering body, on request, that it is financially viability at all times during the period of its registration.



▪ The RTO must clearly express the following fee information to each client in a language that clients understand:

- a) The total amount of all fees including course fees, administration fees, materials fees and any other charges
 - b) Payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee
 - c) The nature of the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course
 - d) The fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent upon completion of training and assessment, and
 - e) The organisation's refund policy.
- The evidence provided relating to fee information supports the RTO's statement regarding collection of fees in advance (below).

Does the applicant intend to collect fees in advance from individual students? *Note: Fees paid in advance from other clients (e.g. companies, incorporated bodies, government agencies) on behalf of the student are not intended to be covered by Condition 5.*

- Yes – continue No – bypass next dot point

Evidence provided confirms **how, after 1 July 2011:**

- Where the RTO collects fees in advance it must ensure it complies with one of the following options:
- Cross which option is nominated on application
- Option 1 – The RTO is administered by a state, territory or commonwealth government agency, or
Option 2 – ~~The RTO holds current membership of an approved Tuition Assurance Scheme, or~~
[Option not currently possible]
 - Option 3 – The RTO may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500, or
 - Option 4 – The RTO holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the RTO which are prepayments from students (or future students) for tuition to be provided by the RTO to those students, or
 - Option 5 – The RTO has alternative fee protection measures of equal rigour approved by the registering body.
[A description of the alternative measures proposed must be provided and accompanied by a comprehensive explanation demonstrating how the proposed measures are of a rigour equal to Options 1 – 4. The Director, Training Quality, will determine whether the RTO's fee protection measures demonstrate equal rigour.]
 - The RTO cannot yet demonstrate compliance with the fees paid in advance option 2 as it is awaiting advice from NQC regarding what constitutes an approved Tuition Approval Scheme.

Evidence provided confirms:

- The RTO must have its accounts certified by a qualified Accountant to Australian Accounting Standards at least annually, and provide the certificate to its registering body on request. If the registering body reasonably deems it necessary, the chief executive must provide a full audit report on the RTO's financial accounts from a qualified and independent accountant.

- No evidence was submitted to determine the RTOs intent with regards to:
 - the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course
 - fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent upon completion of training and assessment.
- Although the RTO submitted a refund policy there were inconsistencies between the policy and the student manual.



- The RTO indicated on the financial checklist that it does not intend to collect fees in advance. It is unclear in the evidence provided if the amount, if any, collected in advance as stated in the 'Financial Management Policy' is collected upon enrolment.

- Evidence to determine the RTOs intent with regards to:
 - the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course
 - fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent upon completion of training and assessment.
- A refund policy consistent between the policy and the student manual. Resubmission of the policy and the student manual to demonstrate compliance.
- Clear evidence the amount, if any, of fees collected in advance as stated in the 'Financial Management Policy' upon enrolment. Resubmission of 'Financial Management Policy' and an original signed financial checklist if collecting fees in advance.

- A revised 'Financial Management policy' which clearly outlines payment terms, including the timing and amount of fees to be paid.
- A 'Schedule of Fees' demonstrating any additional fees.
- An information brochure which is provided to the student outlining the guarantee that the RTO will complete the training once students have commenced.
- A revised refund policy which is consistent between the policy and the student manual.
- Original signed financial checklist.

Condition 6 – Certification & Issuing of Qualifications & Statements of Attainment

At time of audit: Compliant Not Compliant

- A marketing brochure for a one day course.
- A sample qualification certificate.
- A sample record of results.
- A sample statement of attainment.
- A 'VETtrak Service Agreement' to demonstrate AVETMISS compliant software system.
- A document outlining the RTOs responsibilities in regards to the issuing of qualifications and statements of attainment.
- A clearly defined certification process to ensure the student receives the appropriate qualification.
- A letter from Mr Kerry Kropp 'Executive Officer – Data Management Unit' notifying it has received the RTOs AVETMISS submission.
- An 'Administration and Records Management Policy' outlining the policy and procedure for retainment of records.

Evidence provided confirms:

- | | Y | N |
|---|-------------------------------------|--------------------------|
| ▪ The RTO must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or accredited course, a qualification or statement of attainment (as appropriate) that: | | |
| a. meets the Australian Qualifications Framework (AQF) requirements | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| b. identifies the RTO by its national provider number from the National Training Information Service | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| c. includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use. | <input checked="" type="checkbox"/> | <input type="checkbox"/> |



- The RTO must retain client records of attainment of units of competency and qualifications for a period of 30 years.
- The RTO must have a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data.
[Evidence required to demonstrate how the RTO plans to comply by 3 January 2011]
- The RTO must provide returns of its client records of attainment of units of competency and qualifications to its registering body on a regular basis, as determined by the registering body.
- The RTO must meet the requirements for implementation of a national unique student identifier.
[Not required until implementation plan is published on www.training.com.au]

Condition 7 – Recognition of Qualifications Issued by Other RTOs

At time of audit: Compliant Not Compliant

- A 'National Recognition Policy' which states the RTO will accept and recognise qualifications and statements of attainment issued by other RTOs.

Evidence provided confirms:

Y N

- The RTO recognises the AQF Qualifications and Statements of Attainment issued by any other RTO.

Condition 8 – Accuracy and Integrity of Marketing

At time of audit: Compliant Not Compliant

Following rectification: Compliant Not Compliant

- A marketing brochure for a one day course.
- A 'Marketing and Advertising Policy' outlining the RTOs intentions to ensure compliance with Condition 8.

Evidence provided confirms:

Y N

- The RTO must ensure that its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.
- The NRT logo must be employed only in accordance with its conditions of use.

- The NRT logo is not deployed in accordance with its condition of use.

- The RTO is required to resubmit marketing materials which align directly with nationally recognised courses with vocational outcomes. The RTO is to ensure that the NRT logo reflects directly with the qualification or unit/s.

- Revised marketing materials which identify the NRT logo being used in accordance with its specifications.



Condition 9 – Transition to Training Packages/Expiry of Accredited Courses

At time of audit: **Compliant** **Not Compliant**

Following rectification: **Compliant** **Not Compliant**

- A statement discussing how and when the RTO keeps current with changes to training packages and actions taken if required.
- A 'Delivery and Assessment Strategy Validation Policy and Procedure' demonstrating the required meetings and industry consultation undertaken when changes occur.
- It was noted by the auditor that the RTO submitted a 'Change of Details' form for the upgrading to the new qualifications within its renewal application.

Evidence provided confirms:

Y N

- The RTO must manage the transition from superseded Training Packages within 12 months of their publication on the National Training Information Service.
- The RTO must also manage the transition from superseded accredited courses so that it delivers only currently endorsed Training Packages or currently accredited courses.

• Although the RTO does have a process for the transition to new training packages it does not state timelines required.

• The RTO is to identify timelines required for the transition for training packages and accredited courses.

• A revised 'Managing Transition to Training Package' policy which outlines the timelines for the transition for training packages. The RTO has indicated it will not deliver training in accredited course therefore is identified in the policy.



