AQTF Audit Report - Continuing Conditions of Registration

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MYLESTONES TRAINING - # 31343

TRIM: 10/185641
Version 3 – 2 November 2010
Training and International Quality

RTO details					
Legal name	Mylestones Training			Registration expiry	12/07/11
RTO contact	Karen Morris			Phone	07 3240 4080
Audit team					
Lead auditor	Karen Noble				
Phone	07 32354663		E-mail	Karen.noble@deta.qld.gov.au	
Audit details					
Audit number	31343-4		Conditions audited	1 - 9	
Other audit notes	• The audit identified minor non compliance . The Lead Auditor contacted the RTO's representative, Ms Karen Morris by Telephone on 22, 28 June and 1 July 2011.				
Audit date	22/06/2011	Audit outcome on day of audit	☐ Compliant ☐ Significant non-compliance	☒ Minor non-compliance ☐ Critical non-compliance	
Rectification received	01/07/2011	Audit outcome following rectification	☒ Compliant ☐ Significant non-compliance	☐ Minor non-compliance ☐ Critical non-compliance	
Audit advice					
Recommendation	☒ Approve application		☐ Refer to site visit	☐ Refer to RME	
Strengths	The RTO's quality management system procedures are clearly written. The evidence presented in the application was well organised and clearly understood.				
Opportunities for improvement					

Condition 1 - Governance

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

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

Description of evidence sighted:

- Organisation chart – shows RTO Manager reporting to CEO
- Governance document showing CEO responsibilities in regard to AQTF compliance and reporting requirements of RTO Manager
- Position description for RTO Manager – outlines RTO Manager responsibilities in regard to AQTF compliance
- Delegation document - outlines CEO delegation of duties to RTO manager
- Fit and proper person declarations for senior officers and directors
- CPL Portfolio group Terms of reference showing members of the group, tasks and responsibilities. It is their responsibility to provide feedback on training delivered and input into training needs.
- Managing Body Terms of reference showing members of the group and tasks, including the responsibility of ensuring information provided by trainers/assessors is tabled at meetings
- Quality Group Terms of reference showing tasks and responsibilities.
- Minutes of Managing Body meeting and Quality Group Meeting

Queensland Government

Evidence checklist:

Evidence provided confirms:	Y	N
▪ The RTO's Chief Executive must ensure that the RTO complies with the AQTF *Essential Conditions and Standards for Continuing Registration* 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.	☒	☐
▪ 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 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

Following rectification: ☐ Compliant ☐ Not Compliant

Description of evidence sighted:

- AQTF Audit procedure
- RTO Documentation procedure
- Strategic/Business plan procedure
- Notification of changes to registering body procedure
- Quality Indicators – Questionnaires (examples)
- Quality Indicators Competency Completion Data procedure
- Strategic Plan 2011-2013
- Business Plan Jan-June 2011
- Updated RTO details form
- NTIS Listing
- Email to DETA advising error to NTIS listing and updated changes

Evidence checklist:

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
Following rectification:	☐ Compliant	☐ Not Compliant

Description of evidence sighted:

- Legislation procedures from Quality Management System identifies the steps that occur when legislation changes including informing staff
- Risk Management procedures from Quality Management System
- Training Environment Hazard checklist
- Participant Information Booklet identifies where clients are informed of legislative requirements

Evidence checklist:

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
Following rectification:	☐ Compliant	☐ Not Compliant

Description of evidence sighted:

- The RTO has provided a Certificate of Currency for Broadform Public & Products Liability Insurance, coverage $50,000,000
- The RTO has provided a Certificate of Currency for Industrial Special Risks Insurance, coverage $20,000,000

Evidence checklist:

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

Description of evidence sighted:

- Financial procedures from Quality Management System
- Refunds procedure from Quality Management System
- Client information procedure from Quality Management System
- ACPET Membership certificate
- ACPET Tuition Assurance Certificate
- Financial statement as at 30th June 2010
- CPL Annual Report
- Participant information booklet
- Enrolment form

Evidence checklist:

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 organisation collect fees in advance from students?

☒ 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]

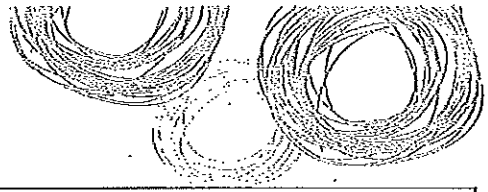
☒ Option 3 – The RTO may accept payment of no more than $1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO may require payment of additional fees in advance from the student but only such that at any given time, the total amount required 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. ☒ ☐

Summary of non compliances

- The RTO has indicated in its Tuition Fees procedure that it meets the requirements of Option 2 for the training package TAA40104. However, this option is not appropriate for the RTO as they do not have international enrolments on scope.
- The RTO has indicated in its Client Information: Pre Enrolment procedure that a general information booklet outlining fees and charges is provided to its clients pre-enrolment, however an example of this has not been provided in evidence. The participant information booklet provided does not show full details of fees and charges and outlines only the refund policy.

Rectification required

- Provide the student information brochure for TAE40110 (Supersedes TAA40104, in teach out from June 2011) which reflects the fee collection process as outlined in Option 3.
- Provide a copy of client information: pre enrolment document which shows the total fees and charges payable

Rectification received

- Course information for TAE40110 Certificate IV in Training and Assessment – outlines fee structure including advance payments
- Refund procedure from Quality Management System – details requirements that all clients are informed of all fees and services provided prior to enrolment
- Tuition Fees procedure from Quality Management System – outlines fee collection process meets Option 3
- Pre audit checklist – updated to show Option 3 has been selected

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

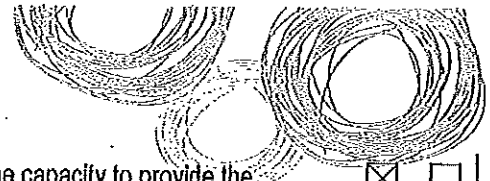
At time of audit:	☒ **Compliant**	☐ **Not Compliant**
Following rectification:	☐ **Compliant**	☐ **Not Compliant**

Description of evidence sighted:

- Certification register procedure from Quality Management System outlines requirements, purpose and procedures for recording Statements of Attainment
- Testamurs procedure from Quality Management System outlines requirements, purpose and procedures for issuing testamurs to successful participants
- Records retention procedure from Quality Management System outlines requirements, purpose and procedures for retaining, retrieving and archiving records of qualifications and Statements of Attainments, and the appeals process
- Samples of certificates which meet the requirements of AQF and the conditions of use of the NRT logo.

Evidence checklist:

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	☒	☐
b. identifies the RTO by its national provider number from the National Training Information Service	☒	☐
c. includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use.	☒	☐
▪ 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

Following rectification: ☐ Compliant ☐ Not Compliant

Description of evidence sighted:

- Credit transfer procedure – outlines purpose and procedure for recognition of AQF qualifications and Statements of Attainment from another RTO.

Evidence checklist:

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

Description of evidence sighted:

- Marketing Procedure
- Homepage from website

Evidence checklist:

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.	☒	☐

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

At time of audit: ☒ Compliant ☐ Not Compliant

Following rectification: ☐ Compliant ☐ Not Compliant

Description of evidence sighted:

- Training Packages procedure from Quality Management System which clearly outlines the process for transition. The RTO has included the new TAE10 Training Package in its renewal application.

Evidence checklist:

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.	☒	☐