

AQTF Audit Report - Continuing Conditions of Registration

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NOOSA COMMUNITY TRAINING CENTRE INC. - NTIS 1810

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

RTO details				
Legal name	Noosa Community Training Centre Inc	Registration expiry	9 March 2011	
RTO contact	Glenda Lane - Manager	Phone	(07) 5449 7700	
Audit team				
Lead auditor	Robyn Gray			
Phone	(07) 3235 9636	E-mail	robyn.gray@deta.qld.gov.au	
Audit details				
Audit number	1810-7A	Conditions audited	1 - 9	
Other audit notes	<ul style="list-style-type: none"> Noosa Community Training Centre Inc. (NCTC Inc.) has not requested any additional qualifications be added to its scope of registration. The RTO listed one course (39099QLD Course in Skills for the Future) for removal from its scope, however this course is already expired. The RTO has a medium risk rating. The RTO's last audit was in January 2010 and a future monitoring audit is scheduled for May 2013. Risk assessment conducted by Registration Services recommends a desk audit then approval under delegation for this RTO. Clarifying information for the RTO was provided by telephone on 16 February 2011 and 21 February 2011. 			
Audit date	15/02/2011	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	21/02/2011	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
Audit advice				
Recommendation	<input checked="" type="checkbox"/> Approve application <input type="checkbox"/> Refer to site visit <input type="checkbox"/> Refer to RME			

Condition 1 - Governance

 At time of audit: Compliant Not Compliant

Description of evidence sighted:

- RTO 4 form - Fit and proper person declarations for Glenda Lane; Janice Cunningham; Michael Gowland; Giles Cunningham; Suzanne Mihovilovich; Ross Marston; Evan Pitter; K. Elaine Holmes; Rodney Adams; Rodney Pertot (Management Committee for Noosa Community Training Centre Inc.)
- List of 2010 Management Committee members for the RTO
- Copy of a letter from Registration Services confirming ongoing registration following its 28 January 2010 AQTF audit
- Copy of RTO's Staff Meeting minutes 23/7/2010 with agenda items for AQTF 2010 and Quality Assurance. This meeting outlined the RTO's process for feedback from staff to suggest changes and mentions several other procedures for staff feedback within its scope of operations

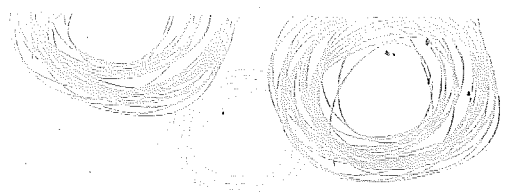
Evidence checklist:

Evidence provided confirms:

- 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

	Y	N
	<input checked="" type="checkbox"/>	<input type="checkbox"/>





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

Description of evidence sighted:

- An independent Financial Audit Report produced to Australian Auditing Standards requirements provided against Condition of Registration 5 evidence
- A copy of the RTO's Quality Indicator Annual Report for 2009 and an email from Registration Services dated May 2010 acknowledging its receipt
- Position statements from NCTC Inc. Manager concerning action the RTO will take in the event of significant change to either its operations or ownership
- Communications between the RTO and the DET lead auditor concerning the RTO's last AQTF audit in 2010 demonstrating the RTO's cooperation

Evidence checklist:

Evidence provided confirms:

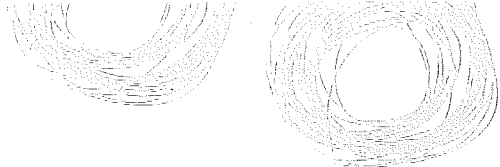
- | | Y | N |
|---|-------------------------------------|--------------------------|
| ▪ The RTO's Chief Executive must ensure that the RTO cooperates with its registering body: | | |
| a. in the conduct of audits and in the monitoring of its operations | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| b. by providing accurate and timely data relevant to measures of its performance | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| c. by providing timely information about significant changes to its operations | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| d. by providing timely information about significant changes to its ownership | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| e. in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 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. | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Condition 3 – Compliance with Legislation

At time of audit: Compliant Not Compliant

Description of evidence sighted:

- A signed off orientation checklist for prospective students of Certificate II in Business confirming they have been advised of various information including Code of Practice, Workplace Health and Safety, Privacy requirements and respect and the rights of individuals
- A signed off employee induction checklist including information about relevant State and Commonwealth legislation and



regulations

- Noosa Community Training Centre Inc. Code of Practice and Quality Policy

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

Description of evidence sighted:

- Copy of the RTO's Public and Products Liability and Excess Public and/or Products Liability insurance (Ansva Insurance Limited and Allianz Australian Insurance Limited) policies to 30 June 2011- limited to \$100,000,000 for any one occurrence
- Copy of Jobs Australian Blanket Cover Program

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:

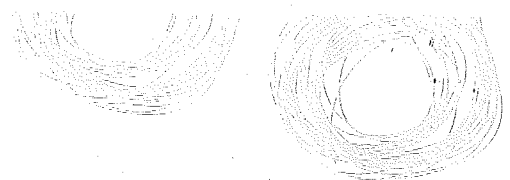
- An independent Financial Audit Report produced to Australian Auditing Standards requirements of the RTO's operations dated October 2010
- A statement to the effect that Noosa Community Training Centre Inc. delivers training and support services to unemployed and disadvantaged people in programs funded under the Queensland Government's *Skilling Queenslanders for Work* initiative and that there is no fee for service to participants. One exception identified in the statement was the provision of training and assessment for SITHFAB009A Responsible service of alcohol, delivered for a fee to local hospitality venues (corporate clients) wishing to maintain the currency of their employees skills and knowledge
- NCTC Inc. Refund and Fees policy document for corporate clients
- NCTC Inc. Student Handbook with disclaimer in the 'Fees' section to the effect that "these conditions do not apply to training programs that do not attract fees"

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 3 January 2011:**

- Where the RTO collects fees in advance it must ensure it complies with one of the following options:
- 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 statement provided by NCTC Inc. about its not requiring students to pay fees in advance does not align with information on fees and refunds in the RTO's Student Handbook and consequently the evidence provided relating to fee information does not support the RTO's statement regarding collection of fees in advance
- In addition it is not clear whether there are training associated or additional costs for eg. replacement of qualifications, protective clothing, course materials, stationery etc
- Finally the RTO has not provided sufficient evidence of the nature of its guarantee to students to complete the training and/or assessment once the student has commenced.

Rectification required

- The RTO is required to provide evidence that prospective students are provided with clear information regarding:
 - The total amount of all fees including course fees, administration fees, materials fees and any other charges (If none please identify this)
 - Payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee, if any
 - 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
 - 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
- The RTO is required to provide proof that evidence provided relating to fee information supports the RTO's statement regarding collection of fees in advance

Rectification received

- The RTO provided its 'Fees and Charges' policy outlining that no fees are payable by individuals, that there are no additional costs payable for equipment etc and that no fees are charged for replacement of qualifications issued.
- The RTO also confirmed by telephone that fees for courses are either paid by government funding directly to the RTO or as part of an agreement with Job Services Australia providers.
- The RTO also advised that the Student Handbook previously sent does not reflect current practice and requested that it not be included in the evidence provided.

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

At time of audit: Compliant Not Compliant

Description of evidence sighted:

- Copy of the service agreement between VETtrak and NCTC Inc. Inc. to 30 June 2011
- Copy of DET Guide for RTOs regarding retention of student records
- Copies of qualification and Statement of Attainment pro-formas for NCTC INC. INC. which meet NQC requirements
- NCTC INC. Quality Procedure document regard Issuing of Awards
- The RTO's 'Control of Records Policy'
- A copy of the RTO's Quality Indicator Annual Report for 2009 and an email from Registration Services dated May 2010 acknowledging its receipt provided as evidence against Condition of Registration 2

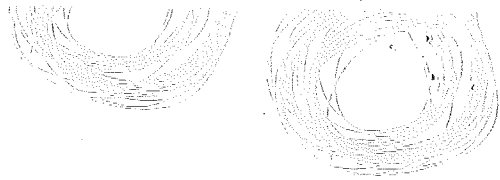
Evidence checklist:

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

Description of evidence sighted:

- A copy of NCTC INC. Mutual Recognition Policy identifying that the RTO "will accept the credentials issued by any other register training organisation based in Australia"
- A copy of a qualification issued by NCTC INC. which includes units of competency allocated by credit transfer.
- NCTC INC. advised by telephone on 15 February 2011 that it does not offer training and assessment for any qualifications and courses other than those that are nationally recognized. In addition the RTO provided information about its procedures in the use of the NRT logo

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

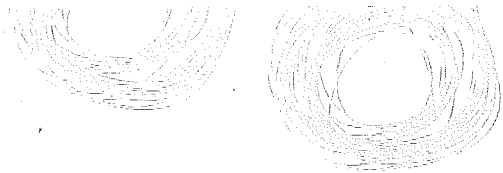
At time of audit: Compliant Not Compliant

Description of evidence sighted:

- NCTC Inc. Marketing and Advertising Policy
- NCTC Inc. policy on use of Nationally Recognised Training (NRT) logo
- Copy of DET publication – Marketing and Issuing Qualifications

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

Description of evidence sighted:

- Copy of a letter from NCTC Inc. to DET Regional Office Nambour requesting a change to the contract because of supersede qualifications
- NCTC Inc. System Improvement Note regarding need to upgrade to SIT07 Training Package and identifying that tutors had been notified
- NCTC Inc. Document Register – Training Packages identifying update to SITHFAB010B and SITXOHS001B on 10 January 2010
- NCTC Inc. 'Transition to Training Packages' policy

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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
▪ The RTO must also manage the transition from superseded accredited courses so that it delivers only currently endorsed Training Packages or currently accredited courses.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

