

AQTF Audit Report - Continuing Conditions of Registration

clever • skilled • creative

EC Training Pty Ltd trading as Work Skills - # NTIS 31384

TRIM: 70/185647
Version 3 - 2 November 2010
Training and International Quality

RTO details			
Legal name	EC Training Pty Ltd trading as Work Skills	Registration expiry	02/07/2011
RTO contact	Mr John Woodward	Phone	07 3224 9000
Audit team			
Lead auditor	Helen Parmenter		
Phone	07 3237 5763	E-mail	Helen.Parmenter@deta.qld.gov.au
Audit details			
Audit number	31384-7A	Conditions audited	1 - 9
Other audit notes	<ul style="list-style-type: none"> A desk audit for renewal of registration was selected as the RTO has had no recent substantiated complaints. If the desk audit is found compliant, then renewal of registration can be approved without a site audit. The RTO has applied to add 2 qualifications within scope during the renewal of registration process. The Conditions of Registration evidence checklist was included in the application. The auditor phoned Julie Waldren and requested additional evidence on 20 June 2011. This was forwarded by email on 21 June 2011. Ms Waldren advised she is going overseas on 22 June and John Woodward will be able to provide additional assistance if required. The evidence supplied was well organised and the organisation supplied an additional few items very willingly and capably. 		
Audit date	20/06/2011	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	21/06/2011	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		
Strengths	Very well organised evidence. Evidence was generally compliant and properly addressed the requirements. The Managing Director appears to have a sound understanding of requirements.		
Opportunities for improvement	Nil detected.		

Condition 1 - Governance

At time of audit: Compliant Not Compliant
 Following rectification: Compliant Not Compliant

Description of evidence sighted:

- RTO 4 form – Fit and proper person requirements declaration signed by Julie Waldren, Managing Director
- RTO 4 form – Fit and proper person requirements declaration signed by John Woodward, Operation Manager
- RTO 4 form - Fit and proper person requirements declaration signed by Philip Waldren
- Conditions of Registration - Evidence checklist, signed by Julie Waldren
- A statement affirming the capability of the Managing Director and the Operations Manager to manage the business to meet the regulatory requirements of the AQTF. The statement describes the communication and continuous improvement processes across the various levels of the business. Various meetings and a conference are scheduled to be held regularly to ensure communication across the business. The responsibilities of the Managing Director and the Operations Manager, leadership team and compliance manager are stated. A comprehensive Curriculum Vitae for Julie Waldren was included.



- Copies of minutes from a staff meeting, leadership team meeting and a compliance meeting.
- A staff induction program.
- The sign up procedure for new students.
- Work Skills Policy and Procedure Register
- Continuous Improvement Policy and Procedures.
- Audit Calendar
- Trainer and Assessor Conference Booklet (evidence of communication with staff and also professional development in trainer and assessor competencies)

Evidence checklist:

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 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.] 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> ▪ 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. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Summary of non-compliances

- Mr Philip Waldren is listed on the application as part of the management structure. However, there is no RTO 4 form - Fit and proper person requirements declaration signed by him.

Rectification required

- RTO 4 form - Fit and proper person requirements declaration signed by Philip Waldren

Rectification received

- RTO 4 form - Fit and proper person requirements declaration signed by Philip Waldren.

Condition 2 – Interactions with the Registering Body

At time of audit:	<input type="checkbox"/> Compliant	<input checked="" type="checkbox"/> Not Compliant
Following rectification:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant

Description of evidence sighted:

- A signed declaration by the Managing Director, Julie Waldren in relation to points a, b, c, d, e and f.
- Evaluation Report for a Skilling Solutions Queensland Program 2009-10
- A letter from the Director, TQ&R, dated June 2009, confirming the organisation's records were found compliant with AVETMISS requirements.
- A letter from the Chair, RME, dated May 2010 stating the organisation is compliant with the AQTF.
- A Work Skills Procedure for Student Files and Records
- A letter from Affinity Accountants, dated 28 March 2011 stating they prepare financial statements for EC Training Pty Ltd,



based on information supplied by EC Training Pty Ltd. The statements are not audited. Affinity Accountants states they liaise with the bookkeeper at EC Training Pty Ltd throughout the year to ensure proper records are kept and all standards and laws are adhered to.

Evidence checklist:

Evidence provided confirms:	Y	N
<ul style="list-style-type: none"> ▪ The RTO's Chief Executive must ensure that the RTO cooperates with its registering body: <ul style="list-style-type: none"> 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"/> 		

Summary of non-compliances

- No clear evidence of the RTO's Chief Executive's cooperation with the registering body.

Rectification required

- A commitment from the RTO's Chief Executive to cooperate with the registering body

Rectification received

- A commitment from Ms Julie Waldren to cooperate with the registering body.

Condition 3 – Compliance with Legislation

At time of audit: Compliant Not Compliant

Description of evidence sighted:

- A legislation and information website log. – a comprehensive lists of applicable legislation.
- A register of Work Skills staff hold a blue card.
- Copies of minutes from a staff meeting, leadership team meeting and a compliance meeting.
- A staff induction program.
- An audit calendar and an internal audit checklist
- Programs for staff training and assessment professional development for 2010 and 2011

Evidence checklist:

Evidence provided confirms:	Y	N
<ul style="list-style-type: none"> ▪ 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. <input checked="" type="checkbox"/> <input type="checkbox"/> ▪ It ensures its staff and clients are fully informed of these requirements that affect their duties or participation in vocational education and training. <input checked="" type="checkbox"/> <input type="checkbox"/> 		

Summary of non-compliances

- Nil



Condition 4 - Insurance		
At time of audit:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
Description of evidence sighted:		
<ul style="list-style-type: none"> • A certificate of currency of insurance for \$10 million for liability current to 29 June 2011 • A certificate of currency of insurance for \$10 million for liability current to 29 June 2012. • A WorkCover Notice for cover to 30 June 2011. 		
Evidence checklist:		
Evidence provided confirms:		Y N
<ul style="list-style-type: none"> ▪ The RTO holds insurance for public liability throughout its registration period that is suitable for the size and scope of its operations. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Summary of non-compliances		
<ul style="list-style-type: none"> • Nil 		

Condition 5 – Financial Management		
At time of audit:	<input type="checkbox"/> Compliant	<input checked="" type="checkbox"/> Not Compliant
Following rectification:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
Description of evidence sighted:		
<ul style="list-style-type: none"> • A business plan for Work Skills dated January 2011. the business plan includes a business profile, the organisational structure, a product and market analysis, a situation analysis, an operational plan, a sales and marketing plan and a financial plan • A Fee for Service Fees and Refund Policy • A Work Skills Service Agreement with a particular student • An Apprentice/Trainee Handbook, a Student Handbook (for fee for service students) and an Employer Guide to Managing a Student which do not include a guarantee to deliver training and assessment requirements through to completion • A Tuition Fees Policy and Procedure • An invoice to a student for fees of \$1.50 per hour for a traineeship. 		
Evidence checklist:		
Evidence provided confirms:		Y N
<ul style="list-style-type: none"> ▪ 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: <ul style="list-style-type: none"> a) The total amount of all fees including course fees, administration fees, materials fees and any other charges <input checked="" type="checkbox"/> <input type="checkbox"/> b) Payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee <input checked="" type="checkbox"/> <input type="checkbox"/> 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 <input checked="" type="checkbox"/> <input type="checkbox"/> d) The fees and charges for additional services, including such items as issuance of a replacement <input checked="" type="checkbox"/> <input type="checkbox"/> 		

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

- There is no guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course.

Rectification required

- A guarantee to students that the RTO will complete the training and/or assessment once the student has commenced study in their chosen qualification or course.

Rectification received

- An insertion in the Student Handbook (fee for service students), the Apprentice/Trainee Handbook and the Employer Guide to Managing a Student providing a guarantee that the RTO will complete the training and/or assessment once the student



has commenced study in their chosen qualification or course.

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:

- Certificate /Statement of Attainment Issuing Policy
- Sample Certificate III qualification dated 29 March 2011 with units of competency listed on the reverse
- Sample Statement of Attainment dated 29 March 2011 listing units of competency achieved.
- A Work Skills Procedure for Student Files and Records (indicates student records are kept on Wisenet)
- A letter from the Director, TQ&R, dated June 2009, confirming the organisation's records were found compliant with AVETMISS requirements
- Work Skills Induction Student/Employee Process

Evidence checklist:

Evidence provided confirms:	Y	N
<ul style="list-style-type: none"> ▪ 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: <ul style="list-style-type: none"> 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. <input checked="" type="checkbox"/> <input type="checkbox"/> ▪ The RTO must have a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data. <input checked="" type="checkbox"/> <input type="checkbox"/> [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. <input checked="" type="checkbox"/> <input type="checkbox"/> ▪ The RTO must meet the requirements for implementation of a national unique student identifier. <input type="checkbox"/> <input type="checkbox"/> [Not required until implementation plan is published on www.training.com.au] 		

Summary of non-compliances

- There is no commitment to 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.

Rectification required

- A commitment by the RTO to 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.

Rectification received

- A signed declaration by the Managing Director, Julie Waldren, providing a commitment to provide returns of its client records as required by the registering body.





Condition 7 – Recognition of Qualifications Issued by Other RTOs	
At time of audit:	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
Description of evidence sighted:	
<ul style="list-style-type: none"> • Recognition of qualifications issued by other RTOs Policy • Two information brochures on Certificates offered by Work Skills. These contain information on Recognition of Prior Learning. 	
Evidence checklist:	
Evidence provided confirms:	Y N
<ul style="list-style-type: none"> ▪ The RTO recognises the AQF Qualifications and Statements of Attainment issued by any other RTO. 	<input checked="" type="checkbox"/> <input type="checkbox"/>
Summary of non-compliances	
<ul style="list-style-type: none"> • Nil 	

Condition 8 – Accuracy and Integrity of Marketing	
At time of audit:	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
Description of evidence sighted:	
<ul style="list-style-type: none"> • Copies of four newsletters published by Work Skills • A marketing plan • A student release form (photographing and recording students) • Employer Guide to Managing a Student 	
Evidence checklist:	
Evidence provided confirms:	Y N
<ul style="list-style-type: none"> ▪ 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. 	<input checked="" type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>
Summary of non-compliances	
<ul style="list-style-type: none"> • Nil 	

Condition 9 – Transition to Training Packages/Expiry of Accredited Courses	
At time of audit:	<input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant
Following rectification:	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
Description of evidence sighted:	
<ul style="list-style-type: none"> • Training Package version change flow chart providing for frequent monitoring of NTIS and addressing NTIS alerts. The flow chart states that student enrolments within the new qualification should commence as soon as possible and no later than 12 months after the publication of the revised Training Package on NTIS. • A strategy for implementing updates in BSB07 	
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.

Summary of non-compliances

- There is no 12 month time line within the Training Package Version Change Flow Chart.

Rectification required

- The Training Package Version Change Flow Chart must include a 12 month time frame.

Rectification received

- A revised Training Package Version Change Flow Chart which includes a 12 month time frame.

