

# AQTF Audit Report – Continuing Conditions of Registration

TRIM No: 10/185641  
Version 4 – 12 March 2012  
Training and International Quality

## Challenge Learning Institute – NTIS 5388

<b>RTO details</b>			
Legal name	Ipswich YUPI Program Inc.	Registration expiry	24/07/2012
RTO contact	Heather Wood	Phone	07 3282 8000
<b>Audit team</b>			
Lead auditor	Robyn Gray		
Phone	07 3235 4016	E-mail	robyn.gray@deta.qld.gov.au
<b>Audit details</b>			
Audit number	5388-11A	Conditions audited	1 - 9
Other audit notes	<ul style="list-style-type: none"> <li>The RTO has not applied to add or remove any qualifications from its current scope of registration.</li> <li>The RTO's next monitoring audit is scheduled to occur by October 2012.</li> </ul>		
Audit date	28/05/2012	Audit outcome on day of audit	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Significant non-compliance <input type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance
<b>Audit advice</b>			
Recommendation	<input checked="" type="checkbox"/> Approve application <input type="checkbox"/> Refer to site visit <input type="checkbox"/> Refer to RME		
Strengths	Evidence was comprehensive, clear and well organised		

### Condition 1 - Governance

At time of audit:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
<b>Description of evidence sighted:</b>		
<ul style="list-style-type: none"> <li>RTO 4 Fit and proper person declarations for:             <ul style="list-style-type: none"> <li>Richard Lindner (CEO)</li> <li>Heather Wood (Training Manager)</li> <li>William Leather (Chairman)</li> <li>Peter Rea (Treasurer)</li> <li>John James (Board Member)</li> <li>Neil Cash (Board Member)</li> <li>Ronald Russel (Aboard Member)</li> <li>John Vogel (Board Member)</li> <li>David Brett (Secretary)</li> </ul> </li> <li>Outline of responsibilities of office holders and employees of the RTO</li> <li>Governance Policy CLI#031 document</li> <li>Continuous Improvement Policy CLI#007 document and strategy document and projected continuous improvement schedule for 2012</li> <li>Compliance with AQTF 2010 Policy and Procedure CLI#025 document</li> <li>RTO Communications diagram</li> <li>Management team meeting Policy</li> </ul>		



- Stakeholder feedback form
- Management meeting minutes pro forma complete with set items for general business
- Management team meeting minutes 11/01/2012
- Excerpt from annual continuous improvement schedule with key continuous improvement activities for March 2012 signed off
- Management meeting minutes for 7 March 2012
- Trainer meeting minutes for 6/12/2011 and 08/11/2012
- Meeting minutes for business trainers, horticulture trainers, aged care trainers- regarding updates
- Continuous improvement register 12/12/2008-16/03/2012
- Examples of completed continuous improvement notices
- Board report January 2012

**Evidence checklist:**

Evidence provided confirms:	Y	N
<ul style="list-style-type: none"> <li>• 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.</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• 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.]</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• 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.</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**Condition 2 – Interactions with the Registering Body**

At time of audit:  Compliant  Not Compliant

**Description of evidence sighted:**

- Statement about compliance with Condition of Registration2
- Student records management Policy #CLI026 document
- Learner questionnaire analysis and feedback for 2010
- Enrolments and completions reports for 2007-2010
- WiseNET AVETMISS data printout
- User Choice claim report
- AQTF self assessment report completed April 2011
- RTO Strategic Plan as at January 2012
- RTO Business Plan 2012
- August 2009 email from DET auditor Anthony Barkey commending the RTO on comprehensive rectification evidence submitted in response to non-compliances identified at a site audit.

**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

#### Description of evidence sighted:

- Statement about how the RTO complies with Condition of Registration 3
- Compliance with Legislative Requirements Policy
- Learner Information and Enrolment Form Policy
- Student Handbook (Aged Care) – includes section on legislation
- Trainee/Employer/Apprenticeship/Traineeship information booklet – includes sections on legislation
- List of legislation for horticulture students and questionnaires about Age Discrimination Act 2004 and the Anti Discrimination Act 1991
- List of legislation for aged care students and questionnaires about Age Discrimination Act 2004 and the Anti Discrimination Act 1991
- Training and assessment strategy for BSB30110 Certificate III in Business
- Trainer orientation checklist including section regarding relevant legislation and quiz regarding legislation to be completed by the prospective trainer
- Student induction checklist
- Apprenticeship/traineeship sign-up checklist and probationary checklist
- Two training delivery risk assessments for separate deliveries of the Aged Care course completed in 2011
- Confirmation of the RTO's registration with SAI Global Standards and Technical Information Services to receive standards updates

#### 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. | <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"/> |

### Condition 4 - Insurance

At time of audit:  Compliant  Not Compliant

<b>Description of evidence sighted:</b>		
<ul style="list-style-type: none"> <li>• Certificate of currency till 30 June 2012 for Directors &amp; Officers liability (Chubb Insurance Company of Australia Ltd)</li> <li>• Certificate of insurance currency till 30 June 2012 Fidelity guarantee (Chubb Insurance Company of Australia Ltd)</li> <li>• Certificates of insurance currency till 30 June 2012 for Personal accident Policy Nos. 42AO21993-PAD &amp; 42AO21994-PAD (QBE Insurance Australia Ltd)</li> <li>• Certificate of insurance currency till 30 June 2012 for Transit (Vero National Marine)</li> <li>• Certificate of currency till 30 June 2012 for Public and/or products Liability including excess to \$100,000,00 on any one occasion (Ansva Insurance Ltd and Allianz Australia Insurance Ltd)</li> <li>• Certificate of currency till 30 June 2012 for Fire and perils and combined risks (Ansva Insurance)</li> <li>• Certificate of currency till 30 June 2012 for Public and/or products Liability including excess to \$100,000,00 on any one occasion (Ansva Insurance Ltd - Policy No. 01.015.446959 and Allianz Australia Insurance Ltd – Policy No. 31.0096281-EXL)</li> <li>• Certificate of insurance currency till 30 June 2012 Professional indemnity (Chubb Insurance Company of Australia Ltd)</li> <li>• Employment Services Deed 2009-2012 Clause 100 regarding required insurances applying to all Job Services Australia Providers and their subcontractors</li> </ul>		
<b>Evidence checklist:</b>		
Evidence provided confirms:		
	Y	N
<ul style="list-style-type: none"> <li>▪ The RTO holds insurance for public liability throughout its registration period that is suitable for the size and scope of its operations.</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Condition 5 – Financial Management		
At time of audit:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
<b>Description of evidence sighted:</b>		
<ul style="list-style-type: none"> <li>• RTO's statement of compliance with Condition of Registration 5</li> <li>• Financial Management Policy CLI#010 document</li> <li>• Financial Management (Fees) Policy CLI#031 document</li> <li>• Refund Policy</li> <li>• Risk Identification and Management Policy</li> <li>• Completed student enrolment form</li> <li>• Student commencement checklists including student and employer signoff regarding knowledge of the RTO's Fees, Charges and Refunds Policy</li> <li>• Apprentice/traineeship fees information</li> <li>• Student handbook (fee for service clients)</li> </ul>		
<b>Evidence checklist:</b>		
Evidence provided confirms:		
	Y	N
<ul style="list-style-type: none"> <li>▪ 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.</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>▪ The RTO must clearly express the following fee information to each client in a language that clients understand:             <ul style="list-style-type: none"> <li>a) The total amount of all fees including course fees, administration fees, materials fees and any other charges</li> </ul> </li> </ul>	<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
- 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:

- 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.]

Cross which option is nominated on

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.

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

At time of audit:                       Compliant                       Not Compliant

Description of evidence sighted:

- Statement of how the RTO complies with Condition of Registration 6
- Certificate Issue/Reissue Policy
- Examples of a statement of attainment and a qualification
- Examples of the RTO's certificate and standard of attainment registers
- Skill sets procedure
- Student Records Management Policy CLI#026 and examples of reports of student numbers etc

**Evidence checklist:**

Evidence provided confirms:

	Y	N
<ul style="list-style-type: none"> <li>▪ 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"> <li>a. meets the Australian Qualifications Framework (AQF) requirements <input checked="" type="checkbox"/> <input type="checkbox"/></li> <li>b. identifies the RTO by its national provider number from the National Training Information Service <input checked="" type="checkbox"/> <input type="checkbox"/></li> <li>c. includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use. <input checked="" type="checkbox"/> <input type="checkbox"/></li> </ul> </li> <li>▪ 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"/></li> </ul>		
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"/>		
<ul style="list-style-type: none"> <li>• <del>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.</del> <input type="checkbox"/> <input type="checkbox"/></li> <li>[Not required by Department of Education and Training.]</li> <li>▪ <del>The RTO must meet the requirements for implementation of a national unique student identifier.</del> <input type="checkbox"/> <input type="checkbox"/></li> <li>[Not required until implementation plan is published on <a href="http://www.training.gov.au">www.training.gov.au</a>]</li> </ul>		

**Condition 7 – Recognition of Qualifications Issued by Other RTOs**

At time of audit:  Compliant  Not Compliant

**Description of evidence sighted:**

- Statement of how the RTO complies with Condition of Registration 7
- National Recognition Policy
- Application for credit transfer and qualification issued to the student
- Student Handbooks

**Evidence checklist:**

Evidence provided confirms:

	Y	N
<ul style="list-style-type: none"> <li>▪ The RTO recognises the AQF Qualifications and Statements of Attainment issued by any other RTO. <input checked="" type="checkbox"/> <input type="checkbox"/></li> </ul>		

**Condition 8 – Accuracy and Integrity of Marketing**

At time of audit:  Compliant  Not Compliant

**Description of evidence sighted:**

- Statement of how RTO complies with Condition of Registration 8

<ul style="list-style-type: none"> <li>• Marketing and Advertising Policy</li> <li>• Course information flyers</li> <li>• Wording for advertisements</li> </ul>		
<b>Evidence checklist:</b>		
Evidence provided confirms:	Y	N
<ul style="list-style-type: none"> <li>▪ 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.</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>▪ The NRT logo must be employed only in accordance with its conditions of use.</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Summary of non-compliances</b>		

<b>Condition 9 – Transition to Training Packages/Expiry of Accredited Courses</b>		
At time of audit:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
<b>Description of evidence sighted:</b>		
<ul style="list-style-type: none"> <li>• Statement of how RTO complies with Condition of Registration 9</li> <li>• Management of Scope of Registration Policy</li> <li>• Letter to Registration Services requestion transition to updated AHC10 Horticultural Training Package</li> <li>• Table regarding transitioning from RTF03 to AHC10</li> <li>• Transitioned Students report</li> <li>• Adjusted User Choice training plan</li> <li>• Training and assessment strategies</li> </ul>		
<b>Evidence checklist:</b>		
Evidence provided confirms:	Y	N
<ul style="list-style-type: none"> <li>▪ The RTO must manage the transition from superseded Training Packages within 12 months of their publication on <a href="http://www.training.gov.au">www.training.gov.au</a>.</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>▪ The RTO must also manage the transition from superseded accredited courses so that it delivers only currently endorsed Training Packages or currently accredited courses.</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

