

# AQTF Audit Report - Continuing Conditions of Registration

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## Whitsunday Sailing Club t/a Whitsunday Maritime Training Centre - # NTIS 6028

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

RTO details				
Legal name	Whitsunday Sailing Club		Registration expiry	11/02/2012
RTO contact	Mrs Kaye Williams		Phone	(07) 4946 6138
Audit team				
Lead auditor	Janet Maxwell			
Phone	0404 847 803	E-mail	plp888@bigpond.com	
Audit details				
Audit number	6028-7A	Conditions audited	1 - 9	
Other audit notes	<ul style="list-style-type: none"> <li>Risk advice indicated that a successful desk audit would preclude the need for a site visit.</li> <li>In relation to Condition 8 the RTO website indicated that first aid courses were being delivered. The units of competency are not on the scope of the RTO. A clarifying discussion with the CEO, Mrs Kay Williams verified that these courses are being delivered by a fully accredited external agent. This person is simply using the facilities of the sailing club.</li> <li>In relation to Condition 8 the RTO had submitted a policy that was not current. The revised version was forwarded by email following a clarifying discussion with Mrs Kay Williams.</li> </ul>			
Audit date	24/11/2011	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	
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:

- Duty statements for Chief Executive Officer and senior staff.
- Duty statements for trainer/assessors including requirements with regard to industry currency.
- Matrix of trainers/assessors delivering specific courses on scope.
- Governance policy which identifies specific.
- Organisational chart demonstrating structure and reporting lines.
- Competency requirements for trainers/assessors.
- RTO4 Fit and proper person requirements declarations.
- Management committee minutes of the executive committee 26/07/2011 which included a specific training report indicating involvement of trainers/assessors on the decision making processes of the organisation.
- Training committee terms of reference and nomination forms.

#### 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</li> </ul>  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |





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:

- Duty statement for Chief Executive Officer that identifies requirements relating to interaction with the registering body to ensure timely management of information regarding compliance and financial management.
- The duty statement identifies the processes for ensuring the organisation complies with the AQTF Essential Standards and Conditions for continuing registration as an RTO.
- Policy and procedures relating to the management of financial matters; complaints management; student records management; marketing and advertising.
- Audited financial statement (also refers to Condition 5)

### 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:

- Compliance with legislation policy that incorporates links to current websites
- Staff handbook.
- Student handbook that includes comprehensive information relating to fees and refunds; course cancellations; issuing of qualifications and statements of attainment; complaints management; requirements regarding implementation of legislation for maritime safety and OHS.
- Trainer/assessor induction procedures and checklist that includes coverage of relevant legislation.
- Trainer/assessor code of practice.



- Instructor suitability application form.
- New student details form.
- Course information guide sample.
- Fees schedule.
- Sample agreement for other organisations providing training and assessment services on site.

#### 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:

- Certificate of currency Aon Risk Services Australia Limited, Public and Products Liability cover to 11 March 2012 to the value of \$20,000,000. Note that insurers require audited financial details prior to the issuance of the insurance policy.
- Professional Indemnity with CGU Steadfast - cover to 15/09/2012.

#### 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

#### Description of evidence sighted:

- Financial management – policy and procedure covering administration of financial records.
- Administration of student records – policy and procedure.
- Enrolment fees and services policy.
- Enrolment fees and charges schedule (indicating most expensive course is \$1550).
- Staff handbook.
- Student handbook and personal details form. Clear information regarding payment methods; exemptions; refund policy.
- Current audited financial statements to 30/06/2011, prepared by Fahey Ponti, Bowen Queensland.
- Course information guide sample for Certificate III in Transport and Distribution (Coastal Maritime Operations) Coxswains.
- Refund policy.

#### 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 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.

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

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

#### Description of evidence sighted:

- Duty statement for Chief Executive Officer identifies responsibilities in relation to the issuance of certificates and statements of attainment.
- RTO 'Issuing AQF qualifications and statement of attainment policy and procedure' which specifies the use of national and state logos. This document correctly identifies the elements to be included in the RTO statements and testamurs.
- Procedure for the re-issue of statements and testamurs.
- Procedure for maintaining appropriate records of student results and documents issued.
- Sample testamurs and statement indicate position for all relevant logo=, information and unique identifiers.

#### 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  | <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.<br>[Evidence required to demonstrate how the RTO plans to comply by 3 January 2011] | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| ▪ 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"/> |
| ▪ <del>The RTO must meet the requirements for implementation of a national unique student identifier.</del><br>[Not required until implementation plan is published on <a href="http://www.training.com.au">www.training.com.au</a> ]    | <input type="checkbox"/>            | <input type="checkbox"/> |

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

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

#### Description of evidence sighted:

- Recognition of qualifications issued by other RTOs policy. Clear information is provided to ensure that students are able to have any existing formally achieved competency recognised.
- Staff handbook- includes reference to ensuring the authenticity of any documentation provided by students.
- Student handbook – includes information and forms to enable students to apply for credit transfer.



<ul style="list-style-type: none"> <li>Schedule of fees indicating costs for RPL</li> </ul>		
<b>Evidence checklist:</b>		
Evidence provided confirms:	<b>Y</b>	<b>N</b>
<ul style="list-style-type: none"> <li>The RTO recognises the AQF Qualifications and Statements of Attainment issued by any other RTO.</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<b>Condition 8 – Accuracy and Integrity of Marketing</b>		
At time of audit:	<input checked="" type="checkbox"/> <b>Compliant</b>	<input type="checkbox"/> <b>Not Compliant</b>
<b>Description of evidence sighted:</b>		
<ul style="list-style-type: none"> <li>Ethical marketing and advertising policy. The new document outlines appropriate procedures to ensure that all marketing is ethical and meets AQTF requirements.</li> <li>Training course calendar identifies information used for advertising purposes.</li> </ul>		
<b>Evidence checklist:</b>		
Evidence provided confirms:	<b>Y</b>	<b>N</b>
<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>Condition 9 – Transition to Training Packages/Expiry of Accredited Courses</b>		
At time of audit:	<input checked="" type="checkbox"/> <b>Compliant</b>	<input type="checkbox"/> <b>Not Compliant</b>
<b>Description of evidence sighted:</b>		
<ul style="list-style-type: none"> <li>Issuing AQF qualifications and statements of attainment policy and procedure identifying how the organisation will ensure that any superseded training packages or accredited course are replaced by current ones.</li> <li>Duty statement for the CEO that indicates responsibilities in relation to ensuring all training packages being delivered are current and that transition arrangements are in place for replacement of any training packages.</li> </ul>		
<b>Evidence checklist:</b>		
Evidence provided confirms:	<b>Y</b>	<b>N</b>
<ul style="list-style-type: none"> <li>The RTO must manage the transition from superseded Training Packages within 12 months of their publication on the National Training Information Service.</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"/>