

# AQTF Audit Report

## Initial Registration

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**J Hutchinson Pty Ltd/ t/a Gold Coast School of Construction**  
**- NTIS 32409**

FM-PMA-34e  
 TRIM No: 10/159096  
 Version 3.1 – 29 July 2011  
 Training and International Quality

Organisation details			
Principal address	584 Milton Road, Toowong QLD 4066		
Audit venue	153 Burnside Road, Yatala		
RTO contact	Alan Waldron	Phone number	07 3335 5143
Proposed operations	<ul style="list-style-type: none"> <li>The organisation intends training and assessing in-house apprentices (J Hutchinson Pty Ltd).</li> <li>Delivery will be face-to-face site based, flexible delivery to meet client needs.</li> <li>The organisation does not intend entering into any partnership arrangements in the near future; however, should the organisation have an interstate client it may enter into an agreement. The initial intent would be to send a trainer to the client site.</li> <li>It is the intention of the organisation to apply for User Choice, Preferred Supplier status after gaining registration as an RTO.</li> </ul>		
Audit team			
Lead auditor	Christine Williams	Auditor/s	N/A
Phone	07 3247 5304	Adviser/s	Paul Kearney
E-mail	<a href="mailto:Rebecca.grant@deta.qld.gov.au">Rebecca.grant@deta.qld.gov.au</a>	Observer/s	N/A
Audit details			
Reason/s for audit	INITIAL REGISTRATION		
Audit date/s	19 August 2011	Audit number/s	32409-1A
Risk considerations	No specific risk considerations noted.		
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.1; 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 3.1, 3.2, 3.4 (3.3 was included in the scoping; however, as the organisation does not intend entering into any partnering arrangements this Element was not applicable)		
Conditions audited	NIL		
Audit outcome on day of audit	Compliant <input type="checkbox"/> Minor non-compliance <input checked="" type="checkbox"/>		Significant non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>
Rectification received	27 August 2011		
Audit outcome following rectification	Compliant <input checked="" type="checkbox"/> Minor non-compliance <input type="checkbox"/>		Significant non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>
Other audit notes	<ul style="list-style-type: none"> <li>On the day of the audit site visit, the intended Lead Auditor took ill. Ms Christine Williams was to attend the audit in the capacity of observer. As a result of telephone conversations with the organisations representative and the technical advisor, it was agreed that the technical advisor would start to evaluate training and assessment materials with a condition that no feedback would be provided to the organisation until after the auditor had conducted the opening meeting. Due to transport issues, Ms Williams arrived at the audit site visit at approximately 11am.</li> </ul>		



Focus of audit			
Code	Qualification / Course / Unit title	Regulated	Delivery venues
CPC20111	Certificate II in Construction CPC30211 Certificate III in Carpentry	<input checked="" type="checkbox"/>	Yatala and employers' sites

Interviewees (incl. position)
Alan Waldron – Training Manager Cameron McConnell – Coordinator Peter Forsingdal – Apprentice Development Coordinator Tiffany Barnes – Team Administration Coordinator

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### Standard 1: The applicant has strategies in place to provide quality training and assessment across all its operations

Elements	Examined
1.1 The applicant has a defined continuous improvement strategy that allows for the collection and analysis of data. The strategy includes implementation of continuous improvement activities for training and assessment	<input checked="" type="checkbox"/>
1.2 Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry stakeholders.	<input checked="" type="checkbox"/>
1.3 Staff, facilities, equipment and training and assessment materials to be used by the applicant are consistent with the requirements of the Training Package or accredited course and the applicant's own training and assessment strategies.	<input checked="" type="checkbox"/>
1.4 The applicant has a defined strategy, procedures and measures to ensure training and assessment services are conducted by trainers and assessors who: <ol style="list-style-type: none"> <li>have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</li> <li>have the relevant vocational competencies at least to the level being delivered or assessed, and</li> <li>can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</li> <li>continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</li> </ol>	<input checked="" type="checkbox"/>
1.5 The applicant has a defined strategy and procedures in place to ensure that assessment, including Recognition of Prior Learning (RPL): <ol style="list-style-type: none"> <li>will meet the requirements of the relevant Training Package or accredited course</li> <li>will be conducted in accordance with the principles of assessment and the rules of evidence</li> <li>will meet workplace and, where relevant, regulatory requirements</li> <li>is systematically validated.</li> </ol>	<input checked="" type="checkbox"/>

### Audit findings

**At time of audit:**

- Compliant  
 Not Compliant

**Following rectification received 27/08/11:**

- Compliant  
 Not Compliant

Technical advice has been incorporated into the findings for this standard for the following qualifications:

- CPC20111 Certificate II in Construction
- CPC30211 Certificate III in Carpentry



### Findings:

The organisation currently employs in excess of 120 apprentices in the building and construction industry, with a majority in carpentry. At present the organisation's apprentices are under the auspices of SkillsTech Australia whereby the employer's (Hutchinson Builders, parent company of the applicant) apprentices are currently surveyed and issues addressed through Hutchinson. It is the intention of the organisation to continue with this feedback process plus it will rely on its quality indicator data. The organisation's relevant staff, including trainers/assessors will continue to meet on a monthly basis to discuss all issues relating to apprentices. Should a student complete a 'Task Feedback Form' which identifies an issue with training and assessment materials, the issue is discussed at these monthly meetings. Discussions take place with site supervisors and if they identify an issue with an apprentice the site supervisor will provide feedback to the meetings and is to mentor the apprentice.

To ensure its scope of registration is reviewed on a regular basis, through a risk managed process, the organisation will conduct internal audits annually. These audits will be informed by client/staff/apprentice feedback. The outcome of the audits, coupled with the feedback and outcomes addressed during the year, will be documented. The continuous improvement process will be a rolling process throughout the year. The organisation wants to be in a continuous position of readiness for the conduct of any external audits, including those conducted by the Department.

At its monthly meetings, the organisation will continue to keep a meeting book which will record all outcomes of the meetings plus any improvements to be made and reviewed at subsequent meetings.

The organisation's training and assessment strategies are a suite of documents which include all requirements of the Training Package. The training and assessment strategies define the required industry consultation plus allow for the recording of any consultation that took place. Further, the strategies also include a trainer/assessor matrix which allows for the notation of qualification/unit version changes within the current Training Package. This allows for alignment to any transition arrangements.

As the organisation will be the RTO for its parent company (Hutchinson Builders), it has full access to all of Hutchinson's building sites. Whilst the RTO will be managed from the organisation's Toowong office, the coordination of apprentices will be managed by its staff at its Yatala site training facilities. The technical advisor noted that the organisation has exceptional facilities for the training of apprentices. Further, the training materials evaluated at the audit site visit are sufficient to ensure its apprentices have the support materials required to enable a quality assessment outcome. The audit evaluation sighted TVET training materials plus an authorisation from Ms Elly Meldrum dated 15 August, giving J Hutchinson Pty Ltd/ t/a Gold Coast School of Construction, permission to adapt the material to suit the organisation's needs and ensure alignment with training package/unit of competency requirements.

The organisation has processes in place to ensure the engagement of suitably qualified staff. The audit site visit evaluated the profiles of Mr Peter Forsingdal and Mr Paul Read. Both trainers/assessors were able to evidence their industry currency, qualifications, licenses, professional development within the construction industry and the VET industry, credentials to demonstrate competency at the level they are training and assessing in plus evidence that the organisation will monitor their performance as a trainer/assessor.

The organisation was able to demonstrate that its assessment instruments meet the requirements of the Training Package/units of competency at the appropriate AQF level through written questionnaires and workplace assessment of allocated tasks which allow for the recording of sufficient evidence of observable behaviour. Assessment is supported by third party/supervisor reports and photographic evidence. The only gap identified was in the organisation's process for mapping of its questionnaire assessments.

### Non-compliances:

The mapping document provided at the audit site visit did not reflect the assessment questionnaires.

### Rectification required:

The organisation is required to provide its amended mapping of its assessment questionnaires to ensure the required outcomes are a true reflection of the assessment questionnaires.

### Rectification evidence received 27 August 2011:

The organisation provided the required rectification evidence to ensure that when an assessor is cross referencing the mapping against an assessment questionnaire, the required outcome is reflective of the questionnaire.





**Strengths**

- The organisation is applying for RTO status under its parent company Hutchinson Builders. This organisation has over 100 apprentices, and the staff to be engaged by the RTO are the same staff involved on a day-to-day operational basis for Hutchinson Builders. The intended RTO management staff have many years experience in the construction industry and the management of RTOs.
- The technical advisor noted in his report that the organisation has very good systems, documentation and procedures in place.
- Gold Coast School of Construction are to be complemented on the training methods they will engage and the experience an apprentice will gain during their training.

**Opportunities for Improvement**

- Training material could be expanded to ensure that when students are asked to conduct research on the Web, the training material could be more specific regarding the web sites. This will ensure students access the relevant materials for example, Qld legislation, Commonwealth legislation etc., and not an overseas sight inadvertently.
- When assessors are tutoring or assisting students through oral questioning, assessors ensure this information is succinctly recorded for evidence.

**Standard 2: The applicant has strategies in place to adhere to the principals of access and equity and to maximise outcomes for its clients**

Elements	Examined
2.1 The applicant has a strategy in place detailing how it will establish and meet the needs of clients.	<input checked="" type="checkbox"/>
2.2 The applicant has a strategy in place for the implementation of continuous improvement of client services informed by the analysis of relevant data.	<input checked="" type="checkbox"/>
2.3 The applicant has in place a process and mechanism to provide all clients information about the training, assessment and support services to be provided, and about their rights and obligations, prior to enrolment or entering into an agreement.	<input checked="" type="checkbox"/>
2.4 Where identified in the learning and assessment strategy, the applicant has engaged or has a defined strategy in place to engaged with employers or other parties who contribute to each learner's training and assessment on the development, delivery and monitoring of training and assessment.	<input checked="" type="checkbox"/>
2.5 The applicant has a defined process and mechanism in place to ensure learners receive training, assessment and support services that meet their individual needs.	<input checked="" type="checkbox"/>
2.6 The applicant has a defined process and mechanism in place to ensure learners have timely access to current and accurate records of their participation and progress.	<input checked="" type="checkbox"/>
2.7 The applicant has a defined complaints and appeals process that will ensure learner's complaints and appeals are addressed effectively and efficiently.	<input checked="" type="checkbox"/>

**Audit findings**

**At time of audit:**  
 **Compliant**  
 **Not compliant**

**Findings:**  
 As the organisation's clients are its own apprentices, client needs are established through apprentice application and induction. Literacy and numeracy is one of the first issues addressed. Attitude and drive is taken into account. The employer determines the nature of the apprentice' preference in the industry. Suitability is established with a preference for the apprentice to be allocated at one site for four years.

The analysis of relevant data to ensure continuous improvement of client services will be through the meetings and surveys as outlined in the findings against Standard 1 of this report. The organisation's representatives also sit on the *Apprentice Development Coordinator Committee, Construction Skills Queensland*. This will enable the organisation to have first hand access to other employers and funding capabilities and will place the organisation in a frontline position to provide excellent client services.

When a prospective apprentice is interviewed by the organisation; training, assessment and support services to be provided plus their rights and obligations, are all discussed at length. The 'Student Handbook' is worked through and all aspects discussed prior to the apprentice being engaged by the employer and prior to the prospective apprentice entering into the agreement between all parties.

The apprentice will be monitored through the 'Apprentice Development Coordinator' who is currently employed by Hutchinson Builders in this capacity, will continue to monitor apprentices and their progress. Apprentices who are intrastate will be monitored by an onsite supervisor. The 'Apprentice Development Coordinator' will fly to the relevant sites. Apprentices are currently contacted by the organisation on at least a weekly basis or when required. It is the intention of the organisation to contact the apprentices weekly and site visited monthly. All site visits will be recorded on the organisation's management system database.

The organisation has developed an 'Apprentice Study Plan' and apprentices are encouraged to meet with the 'Apprentice Development Coordinator' weekly to discuss any issues of concern including any assessment issues. During the audit process, three apprentices arrived for their meeting with the apprentice coordinator. Part of the meeting was to include concerns they had about a particular assessment. This was to be reviewed with a view to either providing further explanation or amending the assessment instrument. The students were invited into the audit where discussion took place with the technical advisor to ascertain the validity of the process which was to be implemented by the RTO. The students confirmed that the process to be implemented by the organisation was indeed already being implemented by the employer.

The organisation will maintain records of student participation and progress through a 'Training Record Book', 'Study Plan', completed assessments and VETtrak student database. The students retain possession of a copy of the 'Study Plan' and the 'Training Record Book' which is a record of their course progress. Learners are informed about how to gain access to their records in the 'Student Handbook'. Records are retained as per the organisation's *PRO06 Records management procedure*. Records management is monitored through *PRO02 Internal audit procedure*.

The 'Student Handbook' outlines the process a student is to go through if they have a complaint or an appeal. The handbook is worked through with the students at induction and recorded on the database against each student. The student is required to address any complaints or appeals within 20 days to the senior officer/Training Manager. Should the student require additional input by an independent person, the organisation will make arrangements for another RTO and/or qualified industry representative, whichever is relevant, at no cost to the student.

### Standard 3: The applicant has in place management systems that will be responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO will operate

Elements	Examined
3.1 The applicant has a strategy in place detailing how the management of its operations will ensure clients receive the services detailed in their agreement with the applicant.	<input checked="" type="checkbox"/>
3.2 The applicant has a defined strategy for the implementation of a systematic and continuous improvement approach to the management of operations.	<input checked="" type="checkbox"/>
3.3 Where applicable, the applicant has a defined process and mechanism to monitor training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the <i>AQTF Essential Conditions and Standards for Initial Registration</i> .	<input checked="" type="checkbox"/>
3.4 The applicant has a defined strategy and process to manage records to ensure their accuracy and integrity.	<input checked="" type="checkbox"/>

#### Audit findings

##### At time of audit:

- Compliant  
 Not Compliant

##### Findings:

The organisation will require the applicant to read and sign off on the 'Apprentice Induction Booklet', complete and sign an enrolment form. At induction the student will receive the record book and training plan.

The organisation has a quality management system which will allow for relevant and sufficient collection of data for the management of its operation. The organisation has purchased VETtrak. Procedure and quality manuals are fully developed, along with all relevant forms identified within these documents.

Student files are kept in lockable cabinets at the organisation's Toowong office. Staff and students at its Yatala site have access to relevant data held on the database base which sits on the organisation's server a Toowong.





# AQTF Audit Report - Initial Conditions of Registration

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**Gold Coast School of Construction - # 32409**

 TRIM 10/291434  
 Version 2 – 31 May 2011  
 Training and International Quality

Organisation details			
Legal name	J Hutchinson Pty Ltd		
RTO contact	Alan James Waldron	Phone	(07) 3335 5005
Audit team			
Lead auditor	Rebecca Grant		
Phone	(07) 3247	E-mail	Rebecca.grant@deta.qld.gov.au
Audit details			
Audit number	32409-1A	Conditions audited	1 - 9
Other audit notes	<ul style="list-style-type: none"> <li>As this is an initial application it is recommended that a site visit audit occurs against the organisation.</li> <li>A clarifying phone conversation occurred between the Chief Executive Officer (CEO) and the Lead Auditor on 15.08.2011.</li> </ul>		
Audit date	10.08.2011	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"/> Refer to site visit <input type="checkbox"/> Refer to RME		
Strengths	The organisation provided comprehensive evidence that demonstrated the amount of work that went into the preparation of the application.		
Opportunities for improvement	Nil		

## Condition 1 - Governance

 At time of audit:  Compliant  Not Compliant

### Description of evidence sighted:

- Duty Statements for the following officers: Training Manager, School Coordinator and Team Administration Coordinator
- Team structure
- Business plan
- Various industry awards for parent company Hutchinson Builders
- Risk assessment table
- Extract from Quality Manual stating that Gold Coast School of Construction will comply with the below points
- RTO 4 form – Fit and proper and statutory declarations provided for: Mr Alan Waldron (Senior Officer), Mrs Kellie Williams (Director), Mr Stephen Norton (Director), Mr John (Jack) Hutchinson (Director), Mr Scott Hutchinson (Executive Chairman) and Mr Greg Quinn (Managing Director).

### Evidence checklist:

Evidence provided confirms:	Y	N
<ul style="list-style-type: none"> <li>The applicant's Chief Executive must identify how he or she will ensure that it will comply with the AQTF <i>Essential Conditions and Standards for Initial Registration</i> and any national guidelines approved by the National Quality Council or its successors. This applies to all of the operations within the applicant's intended scope of registration.</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>The applicant must be able to demonstrate to its registering body what its intended objectives as an RTO are, that it has undertaken business planning, and demonstrates the continuing viability including financial viability of</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>





its proposed operations.

- The applicant's senior officers and directors or substantial shareholders who are in a position to influence the management of the applicant 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(a) form. Each of these people has completed and declared the RTO 4 form - Fit and proper person requirements declaration.]

- The applicant must also explicitly demonstrate how it will ensure 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:**

- Completed self-assessment report
- Extract from Quality Manual stating that Gold Coast School of Construction will comply with the below points
- Records management procedure
- Retention and disposal schedule

**Evidence checklist:**

Evidence provided confirms:	Y	N
▪ The applicant for initial registration must be accompanied by a self-assessment report of the applicant's compliance with the <i>AQTF Essential Conditions and Standards for Initial Registration</i> .	<input checked="" type="checkbox"/>	<input type="checkbox"/>
▪ The applicant's Chief Executive must identify how it will ensure that the applicant will cooperate 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 financial projections, and/or 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:**

- Extract from Quality Manual stating that Gold Coast School of Construction will comply with relevant legislation
- Student handbook
- Training materials contain legislative requirements where relevant
- Staff handbook
- Staff induction documents.

**Evidence checklist:**

Evidence provided confirms:	Y	N
▪ The applicant must identify how it will 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 identifies how it will ensure 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**

**Description of evidence sighted:**

- Certificate for Placement – Third Party Liability Annual (specific contract) Insurance
- Certificate for Placement – Industrial Special Risks (property damage) Insurance
- Certificate for Professional Indemnity Insurance.

Additional evidence

- Clarify conversation occurred to ensure that the insurance covers the RTO side of the organisation.

**Evidence checklist:**

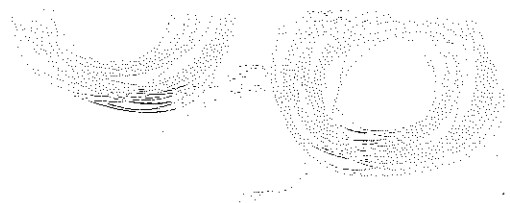
Evidence provided confirms:	Y	N
▪ The applicant holds insurance for public liability.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
▪ The insurance coverage held is at a level suitable for the planned size and scope of operations.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**Condition 5 – Financial Management**

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

**Description of evidence sighted:**

- Student handbook includes: the nature of the guarantee, course fees and charges, refund and cancellation policy.
- Course information brochure for *CPC10108 Certificate I in Construction* which includes the replacement of materials cost.
- Two year projection and a letter from BDO accountants that it has been audited by the accountants.
- The organisation does not intend to collect fees in advance however in the event that it does it will comply with Option 3.



**Evidence checklist:**

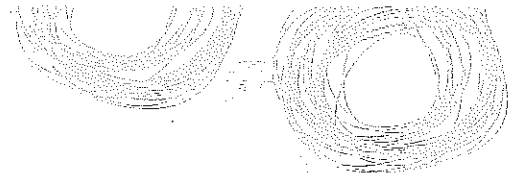
Evidence provided confirms:	Y	N
▪ The applicant must be able to demonstrate to its registering body, on request, that it will be financially viability at all times during the period of its registration.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
▪ The applicant must identify how it will clearly express the following fee information to each client in a language that each client understands:		
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 qualification testamur and the options available to students who are deemed not yet competent upon completion of training and assessment, and	<input checked="" type="checkbox"/>	<input type="checkbox"/>
e) The applicant's refund policy.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
▪ The evidence provided relating to fee information supports the applicant's intent regarding collection of fees in advance (below).	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Does the applicant intend to collect fees in advance from students?  
 Yes – continue                       No – bypass next dot point

**Evidence provided confirms how, after 3 January 2011:**

▪ Where the applicant intends to collect fees in advance it must ensure it complies with one of the following acceptable options:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Option 1 – The RTO will be administered by a state, territory or Commonwealth government agency, or <input type="checkbox"/> Option 2 – The RTO will hold current membership of an approved Tuition Assurance Scheme, or [Option not currently possible]		
<input checked="" type="checkbox"/> Option 3 – The RTO will not accept payment of 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		
<input type="checkbox"/> Option 4 – The RTO will hold 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		
<input type="checkbox"/> Option 5 – The RTO will have 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 applicant's proposal demonstrates equal rigour.]		

Cross which option is nominated on application



The applicant 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 applicant must provide financial projections for the first two years of operation and the outcome of a review of those projections by a qualified Accountant to Australian auditing and Assurance Standards, with its application for initial registration.

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

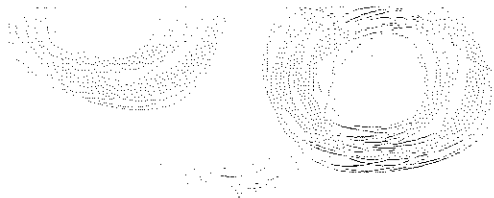
At time of audit:  Compliant  Not Compliant

**Description of evidence sighted:**

- Template statement of attainment
- Template qualification
- Certification and issuing of qualifications policy
- Certificate for VETtrak Training Management software
- Records management procedure
- Retention and disposal schedule.

**Evidence checklist:**

Evidence provided confirms:	Y	N
<ul style="list-style-type: none"> <li>▪ The applicant must identify how it will 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 service. <input checked="" type="checkbox"/> <input type="checkbox"/></li> </ul> </li> <li>▪ The applicant 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> <li>▪ The applicant must have a student records management system 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]</li> <li>▪ The applicant must identify how it will 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"/></li> <li>▪ <del>The applicant must meet the requirements for implementation of a national unique student identifier.</del> <input type="checkbox"/> <input type="checkbox"/>                [Not required until implementation plan is published on www.training.com.au]</li> </ul>		



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

At time of audit:  Compliant  Not Compliant

**Description of evidence sighted:**

- Recognition of qualification issued by other RTO's policy
- Credit transfer process included in the student handbook
- Credit transfer policy.

**Evidence checklist:**

Evidence provided confirms: Y N

- The applicant must confirm that it will recognise 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:**

- Accuracy and integrity of marketing policy
- Course information brochure for *CPC10108 Certificate I in Construction*
- Statement: 'The organisation will only be marketing training to apprentices from Hutchinson Builder or schools regarding CPC10108. Should marketing materials be required in the future it will be developed in accordance with the accuracy and integrity policy.'

**Evidence checklist:**

Evidence provided confirms: Y N

- The applicant must demonstrate that its proposed 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:**

- Transition to training packages/expiry of accredited course policy.

**Evidence checklist:**

Evidence provided confirms: Y N

- The applicant must identify how it will manage the transition from superseded Training Packages within 12 months of their publication on the National Training Information Service.
- The applicant must identify how it will manage the transition from superseded accredited courses so that it delivers only currently endorsed Training Packages or currently accredited courses.

