



Audit report – VET Quality Framework

Continuing registration as a national VET regulator (NVR) registered training organisation

ORGANISATION DETAILS

Organisation's legal name	Licensed Training Australia Pty Ltd
Trading name/s	n/a
RTO number	40514
CRICOS number	n/a

AUDIT TEAM

Lead auditor	Amanda Fairweather
Auditor/s	n/a
Technical adviser/s	n/a

AUDIT DETAILS

Application number/s	n/a	
Audit number/s	1002327	
Audit reason 1	Post initial	
Audit reason 2	n/a	
Audit reason 3	n/a	
Activity type	Site visit	
Address of site/s visited	1/99 Brighton Road, Sandgate QLD	
Date/s of audit	18/09/2014	
Organisation's contact for audit	Wendy Timms wendytimms@me.com	CEO 0407027736
NVR standards audited	Selected Standards for Continuing Registration: SNRs 15, 16, 17, 18, 20.2, 21.1, 22.2, 22.3, 23.1, 24.1, 25	

BACKGROUND

- Licensed Training Australia Pty Ltd is formerly known as The Drawing Board (QLD) Pty Ltd. The RTO was purchased in August 2014, with a change of name, ownership and CEO. Registered Training International is the new owner of the RTO.
- The RTO's organisational structure consists of Wendy Timms – Director / CEO, Education Manager – Jenny Conlon, Education Coordinator, Student Administration Officer, Trainers and Assessors – Prudence Bessant, Jenny Conlon, Paul Timms (under supervision arrangements).
- The RTO has no partnership arrangements.
- The RTO is currently not providing any training and assessment. At the time of audit, the organisation had only recently had registration granted for BSB40407 Certificate IV in Small Business Management



for approximately two weeks. The RTO's strategy is to commence training for this qualification in March 2015.

- Core clients consist of small business owners and individuals wanting to start a small business
- The RTO's delivery venue is located at 1/99 Brighton Road, Sandgate, QLD.
- Fee revenue sources consist of fee for service payable by individuals or employers.

Total number of current enrolments in RTO as at audit date:

- 0

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB40407	Certificate IV in Small Business Management	Face to Face, Online	0

*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Wendy Timms	Director / CEO	n/a
Jenny Conlon	Commercial Manager	n/a
Prudence Bessant	Trainer and Assessor	BSB40407 Certificate IV in Small Business Management

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 18/09/2014: Significant non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 11/11/2014: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Not compliant	Compliant
SNR 17	Not compliant	Compliant
SNR 18	Not compliant	Compliant



SNR 19	Not audited	n/a
SNR 20	Not compliant	Compliant
SNR 21	Compliant	n/a
SNR 22	Compliant	n/a
SNR 23/AQF	Not compliant	Compliant
SNR 24	Compliant	n/a
SNR 25	Compliant	n/a



SNR 15 The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:

15.1 The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.

Original finding: Compliant

Following rectification: n/a

15.2 Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry.

Original finding: Compliant

Following rectification: n/a

15.3 Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

BSB40407 Certificate IV in Small Business Management

- The RTO advised that it did not have training materials for:
 - *BSBMKG413A Promote products and services*
 - *BSBCUS401B Coordinate implementation of customer service strategies*
 - *BSBREL402A Build client relationships and business networks.*

The RTO also advised that it was considering amending its training and assessment strategy to deliver alternative elective units to those listed above.

BSBCUS402B Address customer needs

BSBCM401A Make a presentation

- The RTO did not provide evidence to demonstrate that it has assessment materials for the above units that meet the requirements of the relevant Training Package. Refer to SNR 15.5 for further detail.

In order to become compliant, the organisation is required to:

BSB40407 Certificate IV in Small Business Management

- Provide evidence to demonstrate that the RTO has access to training materials for:
 - *BSBMKG413A Promote products and services*
 - *BSBCUS401B Coordinate implementation of customer service strategies*
 - *BSBREL402A Build client relationships and business networks.*

Alternatively, where the RTO has implemented a change to its strategy, as advised at audit, the organisation is required to provide evidence of the amended strategy and evidence to support it has access to training materials for the substitute electives nominated in place of the above listed units.



BSBCUS402B Address customer needs

BSBCMM401A Make a presentation

- provide evidence to demonstrate that it has assessment materials for the above units that meet the requirements of the relevant Training Package. Refer to SNR 15.5 for further detail.

Analysis of rectification evidence:

BSB40407 Certificate IV in Small Business Management

- The RTO provided an assessment workbook, assessor guide, learner guide and RPL kit for:
 - *BSBMKG413A Promote products and services*
 - *BSBINN301A Promote innovation in a team environment (Replaces BSBCUS401B Coordinate implementation of customer service strategies)*
 - *BSBMGT401A Show leadership in the workplace (Replaces BSBREL402A Build client relationships and business networks).*

The RTO provided an amended strategy for BSB40407 Certificate IV in Small Business which included the substitute electives above.

BSBCUS402B Address customer needs

BSBCMM401A Make a presentation

- The RTO provided evidence to demonstrate that it has assessment materials for the above units that meet the requirements of the relevant Training Package. Refer to SNR 15.5 for further detail.

15.4	<p>Training and assessment is delivered by trainers and assessors who:</p> <p>(a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and</p> <p>(b) have the relevant vocational competencies at least to the level being delivered or assessed; and</p> <p>(c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and</p> <p>(d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>
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Original finding: Compliant

Following rectification: n/a

15.5	<p>Assessment including Recognition of Prior Learning (RPL):</p> <p>(a) meets the requirements of the relevant Training Package or VET accredited course; and</p> <p>(b) is conducted in accordance with the principles of assessment and the rules of evidence; and</p> <p>(c) meets workplace and, where relevant, regulatory requirements; and</p> <p>(d) is systematically validated.</p>
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Original finding: Not compliant

Following rectification: Compliant

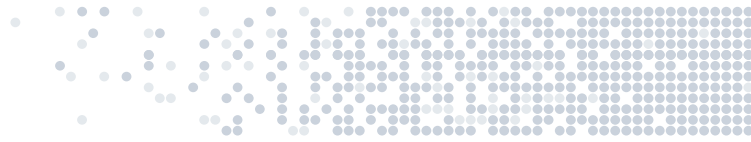
Reasons for finding of non-compliance:

BSB40407 Certificate IV in Small Business Management

BSBCUS402B Address customer needs

BSBCMM401A Make a presentation

- The RTO provided its face to face and RPL assessment tools consisting of written questions, projects, practical observation, portfolio and third party observation.



- Assessment tools for the above units did not meet the principles of assessment and rules of evidence (SNR 15.5b). The third party observation only incorporated a 'yes' or 'no' tick box, which did not allow the observer to record sufficient detail of the evidence observed to ensure that sufficient assessment evidence is gathered in order to determine competency.

Further, the practical observation did not include sufficient detail of the task required which did not ensure fairness and consistency in performance across a range of assessors and students.

In order to become compliant, the organisation is required to:

BSB40407 Certificate IV in Small Business Management

BSBCUS402B Address customer needs

BSBCMM401A Make a presentation

- provide evidence to demonstrate that assessment meets the principles of assessment and rules of evidence (SNR 15.5b).
- provide evidence to demonstrate that the third party observation will include sufficient detail of the evidence observed to ensure that sufficient assessment evidence is gathered to substantiate a competency judgement.
- provide evidence to demonstrate that the practical observation includes sufficient detail of the task required and sufficient instruction to assessors and students.

Analysis of rectification evidence:

BSB40407 Certificate IV in Small Business Management

BSBCUS402B Address customer needs

BSBCMM401A Make a presentation

- The RTO provided its updated assessment tools for the above units consisting of written questions, projects, practical observation, portfolio and third party observation.
- The updated assessment tools meet the principles of assessment and rules of evidence (SNR 15.5b).
- The updated third party observation includes an area to record details of the evidence observed to ensure that sufficient assessment evidence is gathered to substantiate a competency judgement.
- The updated practical observation includes sufficient detail of the task required and sufficient instruction to assessors and students.

SNR 16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:
16.1	The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.
	Original finding: Compliant Following rectification: n/a
16.2	The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.
	Original finding: Compliant Following rectification: n/a



16.3 Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.

Original finding: Compliant

Following rectification: n/a

16.4 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The RTO provided a training plan.

The evidence provided did not support compliance with the requirements of SNR 16.4 as the evidence provided did not include the details of how and when the training plan will be implemented to engage employers in the development, delivery and monitoring of training and assessment.

In order to become compliant, the organisation is required to:

- provide evidence to demonstrate how and when the training plan will be implemented to engage employers in the development, delivery and monitoring of training and assessment.

Analysis of rectification evidence:

- The RTO provided an Employer Engagement Policy and Procedure, employer log book, training plan and employer feedback form to demonstrate how and when the training plan will be implemented to engage employers in the development, delivery and monitoring of training and assessment.

16.5 Learners receive training, assessment and support services that meet their individual needs.

Original finding: Compliant

Following rectification: n/a

16.6 Learners have timely access to current and accurate records of their participation and progress.

Original finding: Compliant

Following rectification: n/a

16.7 The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.

Original finding: Compliant

Following rectification: n/a

SNR 17 Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:

17.1 The NVR registered training organisation's management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.

Original finding: Compliant

Following rectification: n/a



17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.

Original finding: Compliant

Following rectification: n/a

17.3 The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

Original finding: Not audited

Following rectification: n/a

17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.

Original finding: Compliant

Following rectification: n/a

SNR 18 The NVR registered training organisation has governance arrangements in place as follows:

18.1 The NVR registered training organisation's Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation's scope of registration, as listed on the National Register.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The non-compliances identified at audit demonstrated that the RTO's Chief Executive had not ensured that it complies with the VET Quality Framework across all of the operations within the RTO's scope of registration as listed on the National Register.

In order to become compliant, the organisation is required to:

- rectify all non-compliances identified in the audit report as evidence of rectifying SNR 18.1.

Analysis of rectification evidence:

- The RTO provided evidence to rectify all non-compliances identified in the audit report which is sufficient evidence to rectify SNR 18.1.

18.2 The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.

Original finding: Compliant

Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

19.1 The NVR registered training organisation must co-operate with the National VET Regulator: (a) in the conduct of audits and the monitoring of its operations;



(b) by providing accurate and timely data relevant to measures of its performance;
(c) by providing information about significant changes by its operations;
(d) by providing information about significant changes to its ownership; and
(e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The RTO provided its Records Management Policy and Procedure.

The evidence provided did not support compliance with the requirements of SNR 19.1(e) as it did not demonstrate how student assessment is securely retained in a manner that safeguards it against fire or flood and ensures that copies of records can be produced if the originals are destroyed.

The evidence provided did not demonstrate that it maintains its records in accordance with ASQA's General direction: *Retention requirements for completed student assessments*.

In order to become compliant, the organisation is required to:

- provide evidence to demonstrate that it maintains its records in accordance with ASQA's General direction: Retention requirements for completed student assessments.

Analysis of rectification evidence:

- The RTO provided its updated Record Management Policy and Procedure to demonstrate that it maintains its records in accordance with ASQA's General direction: Retention requirements for completed student assessments.

SNR 20 Compliance with legislation

20.1 The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.

Original finding: Not audited

Following rectification: n/a

20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The RTO provided its Staff Handbook and Minutes of Management Meetings.
- The evidence provided did not support compliance with the requirements of SNR 20.2.

The Student Handbook referred to the VETE Act and did not include information regarding current legislative and regulatory requirements that affect clients' participation in vocational education and training.

In order to become compliant, the organisation is required to:

- provide evidence to demonstrate that clients are fully informed of current legislative and



regulatory requirements that affect their participation in vocational education and training.

Analysis of rectification evidence:

- The RTO provided an updated Student Handbook to demonstrate that clients are fully informed of current legislative and regulatory requirements that affect their participation in vocational education and training.

SNR 21 Insurance

21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.

Original finding: Compliant

Following rectification: n/a

SNR 22 Financial management

22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.

Original finding: Not audited

Following rectification: n/a

22.2 The NVR registered training organisation must provide the following fee information to each client:

- (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 NVR registered training organisation 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 on completion of training and assessment; and**
- (e) the organisation's refund policy.**

Original finding: Compliant

Following rectification: n/a

22.3 Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:

- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;**
- (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;**
- (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation 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;**



(d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or

(e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.

Original finding: Compliant

Following rectification: n/a

SNR 23 Certification, issuing and recognition of qualifications & statements of attainment

23.1 The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:

(a) meets the Australian Qualifications Framework (AQF) requirements;

(b) identifies the NVR registered training organisation by its national provider number from the National Register and

(c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The RTO provided its qualification, statement of attainment and record of results templates.
- The evidence provided did not support compliance with the requirements of SNR 23.1.

The Statement of Attainment template did not meet the Australian Qualification Framework (AQF)'s requirements because it did not meet the *Application of the AQF Qualifications Issuance Policy within the VET Sector*.

- The RTO advised that it would include a seal on its qualifications, statements of attainment and record of results to reduce the changes of fraudulent use however did not provide evidence to demonstrate this.

In order to become compliant, the organisation is required to:

- provide evidence to demonstrate that its Statement of Attainment template meets the Australian Qualification Framework (AQF)'s requirements and *Application of the AQF Qualifications Issuance Policy within the VET Sector*.
- provide evidence that it maintains a register of all AQF qualifications issued.
- provide evidence to demonstrate how it develops qualifications, statements of attainment and record of results to reduce the changes of fraudulent use.

Analysis of rectification evidence:

- The RTO provided an updated Statement of Attainment template and Qualifications Register.
- The updated Statement of Attainment template met the Australian Qualification Framework (AQF)'s requirements and *Application of the AQF Qualifications Issuance Policy within the VET Sector*.
- The Qualifications Register demonstrates that the RTO maintains a register of all AQF



qualifications issued.

- The company seal and unique watermark demonstrates how the RTO develops qualifications, statements of attainment and record of results to reduce the changes of fraudulent use.

23.2	The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.
Original finding: Not audited	Following rectification: n/a

23.3	The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.
Original finding: Not audited	Following rectification: n/a

23.4	The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]
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This element was not audited.

23.5	The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]
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This element was not audited.

SNR 24 Accuracy and integrity of marketing

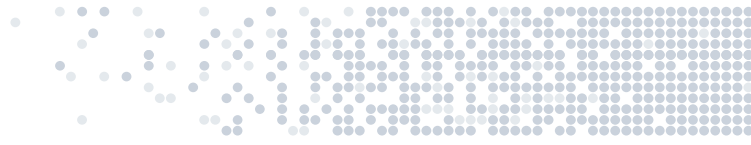
24.1	The NVR registered training organisation must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.
Original finding: Compliant	Following rectification: n/a

24.2	The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.
Original finding: Not audited	Following rectification: n/a

SNR 25 Transition to Training Packages/expiry of VET accredited courses

25.1	The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.
Original finding: Compliant	Following rectification: n/a

25.2	The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.
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Original finding: Compliant

Following rectification: n/a
