

TVET Australia (National Audit and Registration Agency)

AUDIT REPORT – AQTF Essential Conditions & Standards for Initial Registration

RTO DETAILS			
RTO Name	Organisational Learning Australia Pty. Ltd.	NTIS #	
Address	Level 2 Rm 51/ 1 Halford Street Castlemaine 3450 Victoria	Website	www.olaustralia.com.au
Registration Contact	Ujjval Goble		
Phone Number	1300 683 456	E-mail	ujjval.goble@olaustralia.com.au
Student Numbers	N/A		
AUDIT TEAM			
Lead Auditor	Jacqui Hodge	Auditor/s	
Technical Advisor/s		Observer/s	
NARA CONTACT DETAILS			
Contact Person	Lorelle Johnson	Official Order	2010/127
Phone Number	(02) 9409 3211	E-mail	Lorelle.Johnson@tvetaustralia.com.au
AUDIT DETAILS			
Type of Audit	Initial <input checked="" type="checkbox"/> Post-initial <input type="checkbox"/> Extension to scope <input type="checkbox"/> Renewal <input type="checkbox"/> Monitoring <input type="checkbox"/> Complaint <input type="checkbox"/> Strategic <input type="checkbox"/>		
Standards audited	All AQTF Standards	Audit Date/s	8-9 December 2010
Conditions audited	All AQTF Conditions of Registration	Site or Desk?	Site
Audit outcome	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	In its application the RTO indicated that it intended to deliver to students under the age of 18 and that it planned to deliver using government funded training.		

TVET Australia (National Audit and Registration Agency)
AUDIT REPORT – AQTF Essential Conditions & Standards for Initial Registration

FOCUS OF AUDIT		
NTIS Code	Qualification/Unit of Competence/Accredited Course (as per NTIS)	Delivery Site
CHC42008	Certificate IV in Employment Services	Victoria, New South Wales
BSB51107	Diploma of Management	Victoria, New South Wales
CHC51608	Diploma of Employment Services	Victoria, New South Wales
INTERVIEWEE/S		
Staff -names and positions	Employers- name and position	Students - (by program, do not list by name)
Ujjval Goble- CEO		

CONDITIONS OF REGISTRATION - SUMMARY

CONDITION 1 – GOVERNANCE

Audit conclusion: Compliant Non-compliant Not audited

Comment:

OLA demonstrated that sound governance arrangements were in place.

Work Development Plan was updated before the audit and was completed to meet requirements.

Business and financial plan is being audited by Grant Thornton as part of the audit process.

Rectification required: None

CONDITION 2 – INTERACTIONS WITH THE REGISTERING BODY

Audit conclusion: Compliant Non-compliant Not audited

Comment:

OLA presented a self-assessment that matched its audit evidence. OLA demonstrated that it has reporting arrangements in place as well as capacity to archive, retrieve, and transfer records consistent with registering body requirements.

Business and financial plan is being audited by Grant Thornton as part of the audit process.

Rectification required: None

CONDITION 3 – COMPLIANCE WITH LEGISLATION

Audit conclusion: Compliant Non-compliant Not audited

Comment:

OLA identified relevant legislation and its process for communicating requirements of this condition with clients and staff.

Rectification required: None

CONDITION 4 – INSURANCE

Audit conclusion: Compliant Non-compliant Not audited

Comment:

Records of appropriate insurance were sighted.

Rectification required: None

CONDITION 5 – FINANCIAL MANAGEMENT

Audit conclusion: Compliant Non-compliant Not audited

Comment:

Evidence was presented that OLA will use Option 3 available under this condition and that it has processes in place to record and document the fees payment arrangements with clients.

OLA's Business and financial plan is being audited by Grant Thornton as part of the audit process.

Rectification required: None

CONDITION 6 – CERTIFICATION & ISSUING OF QUALIFICATIONS & STATEMENTS OF ATTAINMENT

Audit conclusion: Compliant Non-compliant Not audited

Comment:

OLA demonstrated capacity to issue persons whom it has assessed as competent in accordance with the relevant Training Package or accredited course, a compliant qualification or statement of attainment in compliance with this condition.

Rectification required: None

CONDITION 7 – RECOGNITION OF QUALIFICATIONS ISSUED BY OTHER RTOs

Audit conclusion: Compliant Non-compliant Not audited

Comment:

OLA demonstrated that it will recognise qualifications issued by other RTOs however it is recommended that a clear statement of its intent in this regard is made.

Rectification required: None

Opportunity of improvement: It is suggested that OLA makes a clear statement of its intent to recognise qualifications issued by other RTOs.

CONDITION 8 – ACCURACY AND INTEGRITY OF MARKETING

Audit conclusion: Compliant Non-compliant Not audited

Comment:

OLA demonstrated 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 will be used only in accordance with its conditions of use.

Rectification required: none

CONDITION 9 – TRANSITION TO TRAINING PACKAGES/EXPIRY OF ACCREDITED COURSES

Audit conclusion: Compliant Non-compliant Not audited

Comment:

OLA has identified how it will manage the transition from superseded Training Packages within 12 months of their publication on the National Training Information Service and the transition from superseded accredited courses so that it will deliver only currently endorsed Training Packages or currently accredited courses.

Rectification required: none

CONDITIONS OF REGISTRATION

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CONDITION 1 – GOVERNANCE

The applicant's Chief Executive must identify how he or she will ensure how it will comply with the AQTF Essential Conditions and Standards for Initial Registration 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.

The applicant must be able to demonstrate to its registering body what it's intended objectives as an RTO are, that it has undertaken business planning, and demonstrates the continuing viability including financial viability, of 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.

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.

Audit conclusion: Compliant Non-compliant Not audited

EVIDENCE:

- POL 010 Corporate Governance Policy –outlines the Chief Executive Officer's roles and responsibilities and in regard to AQTF Essential Conditions and Standard for Initial and Continuing Registration. CEO is mandated to act upon the recommendations of the Academic Reference Group.
- POL 008 Statement of Compliance against VRQA guidelines for VET Providers
- CEO Position Description confirming role in RTO governance
- CEO and Senior Management Police Checks and Working with Children Checks (WWCC) for :
 - Mathew James Goble also known as Ujval Gopal Police check Ref no 499/2814535 and WWCC No 02339861-01

CONDITIONS OF REGISTRATION

○ Joanne Mie Kuan Kian AFP Check ref no : 499/2815707 and WWCC No: 0122134201

- POL 013 Organisational Business & Strategic Plan – which included OLA's Vision mission and values, strategic goals and planned alliances, org chart, facilities workforce development plan, SWOT and Five Forces Analysis, Risk Management Strategy and a situational analysis including key objectives, critical roadblocks and KPI's .
- POL 018 Academic Reference Group Policy - identifies a trainer representative as contributing to decision-making
- FRM 062 Senior Management Meeting Agenda Items & Minutes – Evidence of how Senior Managers maintain compliance with AQTF Essential Conditions and Standards for Registration on a monthly basis.
- Policy 0011 Continuous improvement and feedback
- PRC 001 Quality assurance procedure
- PRC 003 FISH Form shows how trainers inform decision making
- FRM 005 FISH Improvement plan register
- PRC 003 Fix it Some How (FISH) - Trainer Position Description – This document confirms the role of trainer's in relation to participating in the decision-making processes of senior management.
- Discussions with CEO on research and industry evaluation undertaken

FINDING:

Compliant: All requirements of this Condition were met

During the process of the audit the RTO updated the business plan to ensure the Workforce Development Plan covered the 3 year period of the business plan

A continuous improvement plan was also not part of the business plan. However OLA presented the following documents that as its continuous improvement plan.

- Policy 0011 Continuous improvement and feedback
- PRC 001 Quality assurance procedure
- PRC 003 FISH Form
- FRM 005 FISH Improvement plan register

These were sufficient and appropriate for its operation as an RTO

CONDITION 2 – INTERACTIONS WITH THE REGISTERING BODY

The application for initial registration must be accompanied by a self-assessment report of the applicant's compliance with the AQTF Essential Conditions and Standards for initial Registration.

The applicant's Chief Executive must identify how it will ensure that the applicant will co-operate with its registering body:

- in the conduct of audits and the monitoring of its operations
- by providing accurate and timely data relevant to measures of its performance

CONDITIONS OF REGISTRATION

- by providing information about significant changes to its operations
- by providing information about significant changes to its ownership
- in the retention, archiving, retrieval and transfer of records consistent with its registering body 's requirements
- 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.

Audit conclusion: Compliant Non-compliant Not audited

EVIDENCE:

Self-assessment against the AQTF Essential Conditions and Standard's for Registration.

POL 010 Corporate Governance Policy - Section 5 details senior management meeting structure: agenda items includes items that may need to be reported

FRM 062 Senior Management Meeting minutes and agenda items show a regular review of this commitment

CEO Position Description - reflects his obligation to cooperate with registering body

PRC 006 Student Records Procedure which shows that AVETMISS compliant records can be supplied to NARA on request.

FINDING: OLA 's Financial Plan and documentation has been submitted to NARA as part of this application and is being assessed for financial viability by Grant Thorton

All other aspects of this condition are compliant.

CONDITION 3 – COMPLIANCE WITH LEGISLATION

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. It will also identify how it will ensure that its staff and clients are fully informed of these requirements that affect their duties or participation in vocational education and training..

Audit conclusion: Compliant Non-compliant Not audited

EVIDENCE:

FRM 051 Legislation Log

POL 002 Student Welfare Policy - shows RTO responsibility to meeting student welfare needs

POL 004 Audit Policy - does not include legislative requirement other than AQTF.

POL 005 OH&S Policy - complies with OLA responsibility to protect staff and students OH&S

POL15 Access and Equity Policy

CONDITIONS OF REGISTRATION

POL 007 *Company Seal Policy* - protects OLA from entering into agreements beyond what is financially responsible and protects OLA from potential fraud.
 POL 010 *Corporate Governance Policy* - outlines senior management roles, decision mandates and reporting obligations and complies with relevant AQTF legislation.
 POL 012 *Human Resource Policy and Procedure* - covers a range of legislative issues i.e. EEO Intellectual property
 Discussion with CEO plans to be made available on staff and student through secure log-in on OLA intranet

FINDING: OLA is compliant with this condition.

OLA identified relevant legislation and its process for communicating requirements of this condition with clients and staff.
 FRM 051 *Legislation Log* says it will be reviewed as part of the Audit policy (POL4) however this is not reflected in the schedule provided as part of this policy. This should be checked at post initial audit

CONDITION 4 – INSURANCE

The applicant must hold insurance for public liability.

Audit conclusion: Compliant Non-compliant Not audited

EVIDENCE:

Insurance Certificate of Currency from Qbe56A013723PID for the period from 28/07/10 – 28/7/11 showing \$20 m Fidelity cover and Civil liability \$1 million

FINDING: OLA is compliant with this condition.

CONDITION 5 – FINANCIAL MANAGEMENT

The applicant must be able to demonstrate to its registering body, on request, that it is financially viable at all times during the period of its registration.

The applicant must identify how it will provide the following fee information to each client:

- the total amount of all fees including course fees, administration fees, materials fees and any other charges
- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee
- 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
- 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
- the applicant’s refund policy.

Where the applicant intends collecting student fees in advance it must ensure it complies with one of the following acceptable options:

CONDITIONS OF REGISTRATION

- (Option 1) the RTO will be administered by a state, territory or commonwealth government agency, or
- (Option 2) the RTO will hold current membership of an approved Tuition Assurance Scheme, or
- (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
- (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
- (Option 5) the RTO will have alternative fee protection measures of equal rigour approved by the registering body.

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.

Audit conclusion: Compliant Non-compliant Not audited

EVIDENCE:

FRM 033 Student Fees and Charges Agreement - shows fees are to be charged quarterly in arrears for training already provided and that no deposit is to be taken.
POL 010 Corporate Governance Policy - shows the financial plan is to be monitored monthly.

Marketing materials communicates the course fees to be

- Certificate IV in Employment Services - \$4060 (\$290 per unit) Same fee for RPL –
- Diploma of Employment Services - \$5600 (\$350 per unit) Same fee for RPL
- Diploma of Management - \$2800 (\$350 per unit) Same fee for RPL

FINDING:

OLA is compliant with this condition.

OLA has selected to comply with Option 3 of Condition of Registration 5

OLA has a refund policy that offers refunds if Cancellation occurs 48 hours prior to a course commencing.

OLA 's Financial Plan and documentation has been submitted to NARA as part of this application and is being assessed for financial viability by Grant Thornton

CONDITIONS OF REGISTRATION

CONDITION 6 – CERTIFICATION & ISSUING OF QUALIFICATIONS & STATEMENTS OF ATTAINMENT

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:

- meets the Australian Qualifications Framework (AQF) requirements
- identifies the RTO by its national provider number from the National Training Information Service
- includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.

The applicant must retain client records of attainment of units of competency and qualifications for a period of thirty years.

The applicant must have a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data.

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.

The applicant must meet the requirements for implementation of a national unique student identifier.

Audit conclusion: Compliant Non-compliant Not audited

EVIDENCE:

POL 003 SOA & SOQ Style Guide Policy – complies with the AQF implementation handbook a

PRC 006 Student Records Procedure – details storage and confirmation of results

POL 010 Corporate Governance Policy section 9.2.3 (CEO responsibilities in this regard) and 9.3.2 (Training manager responsibilities in this regard)

AVETMISS compliant Student Management system VETTRAK sighted

FINDING: OLA is compliant with this condition.

CONDITION 7 – RECOGNITION OF QUALIFICATIONS ISSUED BY OTHER RTOs

The applicant must confirm that it will recognise the AQF qualifications and Statements of Attainment issued by any other RTO.

Audit conclusion: Compliant Non-compliant Not audited

EVIDENCE:

FRM 023 Student Enrolment Form asks students for evidence of prior qualifications to be considered for Credit Transfer. Enrolment form is to be completed on a one to one basis as part of an entry interview between the trainer and the learner

CONDITIONS OF REGISTRATION

All Marketing flyers outline the opportunity for Credit transfer and RPL.
 CEO OLA indicated no fees are charged for this
FINDING: OLA is compliant with this Condition. Recognition of any credit transfer will occur before training commences.
 This commitment is not reflected in OLA’s Student Guide to Learning and Assessment or payment agreement
 See Opportunity for Improvement in the summary.

CONDITION 8 – ACCURACY AND INTEGRITY OF MARKETING

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.

Audit conclusion: Compliant Non-compliant Not audited

EVIDENCE:
 FRM 063 Advertising Approval Form ensures that all advertising is checked for accuracy and integrity prior to circulation
 POL 014 Advertising Policy details the types of content to be included in advertising materials
 CEO Position Description outlines the CEO responsibility to ensure accuracy and integrity of marketing materials
FINDING: OLA is compliant with this condition.

CONDITION 9 – TRANSITION TO TRAINING PACKAGES/EXPIRY OF ACCREDITED COURSES

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 RTO must also manage the transition from superseded accredited courses so that it delivers only currently endorsed Training Packages or currently accredited courses.

Audit conclusion: Compliant Non-compliant Not audited

EVIDENCE:
 FRM 028 Critical Dates Register - shows TP expiry dates and shows this will be monitored by OLA
 FRM 008 Training Package File Index - notes Expiry dates
 PRC 004 Approved Qualifications Procedures - includes developing a transition processes when new Training packages are brought in
 POL 006 Learning & Assessment Policy - notes transition and expiry of training packages as a driver of change

CONDITIONS OF REGISTRATION

PRC 005 Learning and Assessment Procedures - is a processing showing how learning and assessment is reviewed and updated with the organisation. Responsibility for Transition arrangements delegated to the training manager who must communicate the process and outcomes with all stakeholders

POL 004 Audit Policy

FINDING: OLA is compliant with this Condition.

STANDARDS OF REGISTRATION

Standard 1: The applicant has strategies in place to provide quality training and assessment across all of its operations			
Audit conclusion:	Compliant <input checked="" type="checkbox"/>	Non-compliant <input type="checkbox"/>	Not audited <input type="checkbox"/>
Element 1.1			
The RTO is compliant against Element 1.1.			
Relevant and sufficient stakeholders are identified and are in line with the scope of the RTO’s proposed operations. A range of data is collected in relation to training and assessment activities and this is sufficient to provide OLA with valuable improvement opportunities. Data collection includes surveys, the ACER data, improvement request FISH forms, complaints and appeals, results from audits, industry consultation and the Academic Reference Group.			
Element 1.2			
The RTO is compliant against Element 1.2.			
The Learning and Assessment Strategies (LAS) were developed and reviewed based on consultation and feedback from industry. OLA’s plans for ongoing industry consultation will see it collect a great deal of valuable data and feedback that it can use as part of its continuous improvement of learning and assessments. Staff are provided with the LAS so that they can use it as a guide to the OLA’s training and assessment practice.			
Element 1.3			
The RTO is compliant against Element 1.3.			
Training resources met the requirements of the training package.			
Element 1.4			
The RTO is compliant against Element 1.4.			
At the post-initial audit the auditor should check that <i>FRO 35 Individual Action Plan</i> is being used to plan and record the professional development and it demonstrates development of VET skills and knowledge, trainer and assessor competencies and industry currency. All professional development activities must be signed and verified by trainers. Currently this form is not structured to meet this requirement.			
Element 1.5			
The RTO is compliant against Element 1.5.			
Assessments and systems in use within the RTO should see assessments being conducted within the rules and principles of assessment.			
Validation is systematic and will result in all units and assessment tools being subject to the process.			

Standard 1: The applicant has strategies in place to provide quality training and assessment across all of its operations
Processes are in place to ensure validation and moderation activity is linked to management reviews and will be used to drive continuous improvements.
Strengths
NA
Opportunities for Improvement
1.3 It is suggested that OLA seek feedback from learners about the variety of resources proposed for learning and assessment in the two employment services qualifications and to make improvements were identified in the feedback provided.

Standard 2: The applicant has strategies in place to adhere to principles of access and equity and to maximise outcomes for its clients.
Audit conclusion: Compliant <input checked="" type="checkbox"/> Non-compliant <input type="checkbox"/> Not audited <input type="checkbox"/>
<p>Element 2.1</p> <p>The RTO is compliant against Element 2.1.</p> <p>OLA has a mechanism for establishing and responding to its clients’ needs. The CEO identified that the effectiveness of this approach will be monitored by its trainers and the training manager and that the processes will be subject to continuous improvement and feedback. The post-initial audit should check for evidence of this monitoring and link to its continuous improvement.</p> <p>Element 2.2</p> <p>The RTO is compliant against Element 2.2.</p> <p>OLA has a clear plan to collect, analyse and act on data on and improve client services that includes AQTF quality indicators and well as additional data sources</p> <p>OLA will use a range of data sources which are sufficient to provide it with valuable improvement opportunities.</p> <p>Element 2.3</p> <p>The RTO is compliant against Element 2.3.</p> <p>The information is clear and sufficient and will allow informed choice and provides for an agreement between the RTO and the learner.</p>

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

Element 2.4

The RTO is compliant against Element 2.4.

OLA has processes in place to ensure that learners including trainees and apprentices will have support from all parties engaged in their training and assessment.

Element 2.5

The RTO is compliant against Element 2.5.

OLA has processes in place that show that learners should have every reasonable opportunity to complete their training program and that they should receive training and support services that meet their individual needs.

Element 2.6

The RTO is compliant against Element 2.6.

OLA has shown evidence that learners should have access to accurate records of their participation.

Element 2.7

The RTO is compliant against Element 2.7.

OLA has separated the process for appeals and complaints in its policy. This information is available on the OLA website. The RTO has a process that ensures complaints and appeals will be managed fairly, efficiently and effectively. Complaints and appeals are linked to continuous improvement.

Strengths

N/A

Opportunities for Improvement

N/A

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.

Audit conclusion: Compliant Non-compliant Not audited

Element 3.1

The RTO is compliant against Element 3.1.

The RTO has a strategy that will ensure clients’ rights as consumers will be protected.

Element 3.2

The RTO is compliant against Element 3.2.

A range of data is collected, sufficient to provide the applicant with valuable improvement opportunities. This includes surveys, AQTF quality indicator data improvement requests - FISH forms, complaints and appeals, results from audits, industry consultation and the Academic Reference Group.

Element 3.3

The RTO is compliant against Element 3.3.

CEO confirmed no partnerships.

Element 3.4

The RTO is compliant against Element 3.4.

OLA has a procedure to ensure it will meet record keeping requirements.

Strengths

n/a

Opportunities for Improvement

- 3.2 It is suggested that the critical dates register used by OLA should monitor its obligations including submission of AQTF data in line with registration authority requirements
- 3.4 It is suggested that OLA develops practices to ensure its record keeping system is kept up to date
- 3.4 It is suggested that OLA modify *PRC 006 Student Records Procedure* to clarify the planned approach to record keeping and sampling and to monitor this approach to assess if it delivers useful data for continuous improvement purposes.

STANDARDS AND ELEMENTS

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

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.			
Intent:	The applicant has a clear plan to collect data and improve training and assessment in response to the data collected. Continuous improvement processes will lead to performance over and above compliance with the <i>AQTF Essential Conditions and Standards for Continuing Registration</i> and achieving outcomes over and above those previously achieved.			
Audit conclusion:	Compliant <input checked="" type="checkbox"/>	Non-compliant <input type="checkbox"/>	Not audited <input type="checkbox"/>	Not Applicable <input type="checkbox"/>
Evidence reviewed at audit included:				
<ul style="list-style-type: none"> • <i>POL 011 Feedback & Continuous Improvement Policy</i> • <i>PRC 003 FISH procedure</i> • <i>FRM 062 Senior Management Meeting Agenda Items & Minutes Actions</i> – shows senior managers are to review all outstanding improvement requests and actions to be completed. • <i>FRM 005 Improvement Plan FISH Register</i> - which will be used to record improvement activities • <i>FRM 062 Senior Management Meeting Agenda Items & Minutes</i> insures that <i>POL 004 Audit Policy</i> - tool to collect data from areas of the RTO operations • <i>POL 016 Complaints and Appeals Policy</i> - shows data will be collected and fed into the continuous improvement process. • Academic reference Group Feedback <ul style="list-style-type: none"> - AQTF Learner Questionnaire - AQTF Employer Questionnaire - FRM 034 Student Satisfaction Survey - FRM 006 Industry Consultation Form- with all new clients (employers) 				
Findings				
The RTO is compliant against Element 1.1.				
<ul style="list-style-type: none"> • Relevant and sufficient stakeholders are identified and are in-line with the scope of the RTO’s proposed operations. A range of data is collected in relation to training and assessment activities and this is sufficient to provide OLA with valuable improvement opportunities. Data collection includes surveys, the ACER data, improvement request FISH forms, complaints and appeals, results from audits, industry consultation and the Academic Reference Group. 				
Rectification required 1.1: None				

1.2 Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and have been developed in consultation with industry.

Rectification required: 1.2 None

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.

Intent: The resources to be used by the applicant when it gains registration as an RTO across all of its operations are consistent with current industry standards and Training Package requirements.

Audit conclusion: Compliant Non-compliant Not audited Not Applicable

Evidence reviewed at audit included:

- Learning and Assessment Strategy (LAS)
 - BSB51107 - Diploma of Management V2 & V3
 - CHC42008 - Certificate IV in Employment Services - V2 & V3
 - CHC51608 - Diploma of Employment Services - V2 & V3 Version three shows dual qualification outcome
- *FRM 020 Assessment Plan and Outcome* used by OLA to discuss training and assessment plans with learners prior to commence of each unit and to record outcomes
- Updated *FRM 020 Assessment Plan and Outcome* for
 - CHCNET501A
 - BSBLED501A
 - BSBFIM501A
- *FRM 049 Independent Resource Mapping* - This form is used by OLA staff to map and validate resources it has purchased
 - CHCNET501A
 - BSBLED501A
 - BSBFIM501A
- Email from CEO 9 December 2010 regarding updated assessment plans are fully completed
- *PRC 007 Independent Resource Mapping Procedure* - documents the process commercial resources meet Training Package requirements.
- CEO discussed plans for Website with staff log-in: To provide log-in access to trainer and assessors with the training and assessment material and to disseminate these materials – Not currently set up
- *LAS 001-003 Delivery & Assessment Strategy* which document the following
- *FRM 012 Short Walk Through OH&S Inspection* – This is a venue checklist that is completed prior to the commencement of a training section to ensure that the training rooms are adequate and safe and fit for purpose

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.
	<ul style="list-style-type: none"> • <i>Workforce Development Plan</i> – which showed current and proposed staff numbers • Email from CEO 12 December 2010 regrading learning resources.
Findings	
<p>The RTO is compliant against Element 1.3.</p> <p>Updated learning and assessment strategies were provided to accurately describe the intended delivery and assessment practices. LAS contained assessment descriptions or an assessment matrix which reflected the learning and assessment resources. The LAS for the CHC51608 Diploma of Employment Services indicated OLA’s intention to deliver this course as a dual qualification outcome ie. OLA plans that students will exit with both the CHC51608 Diploma of Employment Services and the BSB51107 Diploma of Management.</p> <p>Updated learning and assessment strategies provide by OLA accurately described the staff resources.</p> <p>Individual assessment plans reflect the assessments provided in the learning and assessment resources.</p> <p>OLA’s CEO confirmed by email that all assessment plans had been completed before the audit was completed and therefore OLA meet the requirements of in that instructions to learners were accurate and clear, that all assessment tasks were listed on the record as per the mapping document supplied.</p> <p>Each LAS identified that training would be delivered as ‘workplace tutorial sessions for one full day class per month’ however OLA did not have delivery plans to support its intended delivery model i.e. no class or tutorial session plans or supporting student handouts.</p> <p>Resources have been sampled by the auditor to check that they meet training package requirements. The LAS indicates students and trainers will use commercial resources (student workbooks). OLA did not provide evidence of contextualisation of commercial resources.</p> <p>OLA’s LAS for the Certificate IV and the Diploma of Employment services shows that OLA is using a combination of learning and assessment resources for the delivery of these courses. The combination of resources used may lead to confusion for the learner. OLA is advised to seek feedback from learners about this and to make improvement were identified in the feedback provided.</p> <p>Rectification required: 1.3 none</p>	

1.4 The applicant has a defined strategy, procedures and measures to ensure training and assessment services are conducted by trainers and assessors who:

- a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and**
- b) have the relevant vocational competencies at least to the level being delivered or assessed, and**
- c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and**
- d) continue to developing their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.**

- Masters Professional Practice Latrobe University 2008 - *Verified*
- Diploma of Frontline Management Melbourne University 2004 - *Verified*

Training and assessing qualifications:

- Diploma of Training and Assessment Melbourne University 2007 - *Verified*
- Cert IV in Training and Assessment Melbourne University 2006 - *Verified*
- Diploma of Training and Assessment systems Melbourne University 2000 - *Verified*

Working with Children's Checks – (WWCC) *sighted*

Position Description – Employment contract - *sighted*

Vijay Dasam

Skills matrix mapping to units for both qualifications- *signed and dated*

CV - *Signed and dated*

- Detailed and matches skill matrix
- Shows currently training with another RTO (since 2009)
- Worked in Employment Services provider 2007 – 2009
- Worked as trainer since 2005 in disability and employment services

Vocational Qualifications

- Bachelors of Business Administration Osmania University – INDIA, Passed in First Division April 1996 – April 1999
- Diploma of Business – VBC – 2001
- Certificate IV in Employment Services RCSA – Australia August 2009
- Certificate IV in Mental Health Work - Mediquest Pty Ltd – Australia - July 2008 – July 2009

1.4 The applicant has a defined strategy, procedures and measures to ensure training and assessment services are conducted by trainers and assessors who:

- a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and**
- b) have the relevant vocational competencies at least to the level being delivered or assessed, and**
- c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and**
- d) continue to developing their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.**

- Advanced Diploma of Disability Work - NMIT TAFE – Australia - April 2004 – April 2006
- Diploma of Community Services Management - NMIT TAFE – Australia - April 2004 – April 2006
- Certificate Four Community Services – Disability Work - Careforce Pty Limited – Australia November 2004

Training and assessing qualifications

- Certificate IV Assessment and Workplace Training Mission Australia – Australia - October 2005

Working with Children’s Checks – (WWCC) *sighted*

Position Description – Employment contract - *sighted*

Professional Development records – variety 2001 -2009

Findings

The RTO is compliant against Element 1.4.

At post-initial audit the auditor should check that *FRO 035 Individual Action Plan* is being used to plan and record the professional development and its demonstrates development of VET skills and knowledge, trainer and assessor competencies and industry currency. All professional development activities must be signed and verified by trainers. Currently this form is not structured to meet this requirement.

Rectification required: 1.4 None

- 1.5 The applicant has a defined strategy and procedures in place to ensure that assessment, including Recognition of Prior Learning (RPL);**
- a) will meet the requirements of the relevant Training Package or accredited course**
 - b) will be conducted in accordance with the principles of assessment and the rules of evidence**
 - c) will meet workplace and, where relevant, regulatory requirements**
 - d) is systematically validated.**

Findings

The RTO is compliant against Element 1.5.

Assessments and systems in use within the RTO should see assessments being conducted within the rules of evidence and principles of assessment.

Validation is systematic and will result in all units and assessment tools being subject to the process.

Processes are in place to ensure validation and moderation activity is linked to management reviews and will be used to drive continuous improvements.

Rectification required: 1.5 None

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

2.1	The applicant has a strategy in place detailing how it will establish and meet the needs of clients.			
Intent:	On registration, client services will meet clients' needs.			
Audit conclusion:	Compliant <input checked="" type="checkbox"/>	Non-compliant <input type="checkbox"/>	Not audited <input type="checkbox"/>	Not Applicable <input type="checkbox"/>
Evidence reviewed at audit included:				
<ul style="list-style-type: none"> • <i>FRM 006 Industry Consultation Form</i> – This document was used to identify and establish potential client (employer) needs. • <i>Enrolment form</i> – This document is used to identify individual learner needs • <i>FRM 059 LLN Pre-Training Questionnaire</i> - This document is used on a one to one basis (between trainer and learner) to identify learner training/support needs • <i>FRM 10 Student Welfare Directory - as a referral source</i> • <i>POL 002 Student Welfare Policy</i> - Information for staff and learners about OLA's approach • <i>POL 015 Student Access & Equity Policy</i> - outlines the approached used by OLA to establish and meet needs of clients in regards to potential barriers to accessing our learning programs. • <i>Interview with CEO</i> 				
Findings				
<p>The RTO is compliant against Element 2.1.</p> <p>OLA has a mechanism for establishing and responding to its clients' needs. The CEO identified that the effectiveness of this approach will be monitored by its trainers and the training manager and that the processes will be subject to continuous improvement and feedback. The post-initial audit should check for evidence of this monitoring and link to its continuous improvement.</p> <p>Rectification required: 2.1 None</p>				

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.

Intent: The applicant has a clear plan to collect, analyse and act on data on and improve client services when it commences operation.
 Continuous improvement processes refer to the continual enhancement of an RTO's performance so that the changing needs of clients and industry continue to be met. Continuous improvement does not relate to actions to achieve compliance as such actions are considered rectifications.

Audit conclusion: Compliant Non-compliant Not audited Not Applicable

Evidence reviewed at audit included:

- *POL 011 Feedback & Continuous Improvement Policy* - identifies learners, trainers, administration staff and employers as stakeholders that will involve in the continuous process
- *FRM 005 Improvement Plan*
- *PRC 003 FISH Procedure* – provides for data to be collected from staff across the RTO including client services
- *FISH Register*
- *Academic Reference Group*
- *FRM 062 Senior Management Meeting Agenda Items & Minutes* – shows data will be analysed by OLA and that recommendations and action will be monitored
- *POL 004 Audit Policy* – OLA plans use this tool to collect data and feed into the continuous improvement process.
- *POL 016 Complaints and Appeals Policy* – shows data is linked into the continuous improvement process.
- *FRM 006 Industry Consultation Form* – OLA plans to use this tool with each new employer and link into the continuous improvement process.
- *FRM 034 Student Satisfaction Survey* – OLA plans use this tool to collect additional learner feedback and to link this into the continuous improvement process
- *ACER AQTF Learner Questionnaire* – is a tool to collect data and feed into the continuous improvement process
- *ACER AQTF Employer Questionnaire* - is a tool to collect data and feed into the continuous improvement process

Findings

The RTO is compliant against Element 2.2.

OLA has a clear plan to collect, analyse and act on data on and improve client services that includes AQTF quality indicators and well as additional data sources

OLA will use a range of data sources which should be sufficient to provide it with valuable improvement opportunities.

Rectification required: 2.2 None

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.

Intent: On registration, clients will be provided with accurate and sufficient information to make an informed choice about their enrolment and/or entering into an agreement.

Audit conclusion: Compliant Non-compliant Not audited Not Applicable

Evidence reviewed at audit included:

- Marketing flyers – provides information prospective clients including cost, training and assessment arrangements including RPL, course outcomes and entry requirements pathways and enrolment information.
- Review of the OLA website showed the following
 - Learners will have a pre enrolment interview to discuss the training and assessment services and processes.
 - The following documents are available on the website
 - *POL 002 Student Welfare Policy*
 - *POL 015 Student Access & Equity Policy*
 - *POL 016- Complaints and appeals*
 - *POL 09 Plagiarism*
 - *FRM 057 Student Guide to Learning & Assessment* - an enrolment and training flowchart
 - *FRM 023 Enrolment Form* – includes refunds info privacy info student declaration
- *FRM 058 Employer Guide to Training & Assessment* - An enrolment and training flowchart
- *FRM 033 – Fees and charges agreement (V2)* – includes info on accessing records, refunds, plagiarism, submitting work, complaints and appeals and a student declaration
- CEO interview

Findings

The RTO is compliant against Element 2.3.

The CEO confirmed that even though the enrolment form is on the website learners cannot enroll without going through the pre-enrolment interview. He also confirmed that fees are discussed, agreed and documented at this pre-enrolment interview. The information is clear and sufficient and will allow informed choice and provides for an agreement between the RTO and the learner.

Rectification required: 2.3 None

2.4 Where identified in the learning and assessment strategy, the applicant has engaged or has a defined strategy in place to engage with employers or other parties who contribute to each learner’s training and assessment on the development, delivery and monitoring of training and assessment.

Intent: On registration, learners, including apprentices and trainees, receive support from all parties engaged in their training and assessment.

Audit conclusion: Compliant Non-compliant Not audited Not Applicable

Evidence reviewed at audit included:

- *FRM 058 Employers guide to training and assessment*
- *FRM 006 Industry Consultation Form* –Employers review sample training materials and the learning and assessment strategy. OLA plans to use this processes to provide employers with an overview of the training and assessment and the roles and responsibilities of all parties in the training process.
- *FRM 031 Workplace Study Log*- signed monthly by employer
- Third Party Assessment tools - will be used to monitor the contribution of the workplace personnel in supporting the training progress and assessment of the learner.
- *FRM 030 Verification of authenticity* –signed by employer
- *FRM 020 Assessment Plan & Outcome* – OLA plans monitors the learner using this tool
- Interview with CEO – in which he described a process for monitoring student progress using Student Fees and Charges processing
- *POL 011 Feedback and Continuous Improvement Policy* – workplace feedback is fed into the continuous improvement processes.
- *FRM 052 AQTF surveys* – to be used every 3 months

Findings

The RTO is compliant against Element 2.4.

OLA has processes in place to ensure that learners including trainees and apprentices will have support from all parties engaged in their training and assessment.

Rectification required: 2.4 None

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.

Intent: On registration, learners will have every reasonable opportunity to complete their training program.

Audit conclusion: Compliant Non-compliant Not audited Not Applicable

Evidence reviewed at audit included:

- *FRM 020 Assessment Plan and Outcome - Record Learners' training and learning processes and support needs. Used on a one to one basis with each learner prior to commencement their training and assessment.*
- *FRM 059 LLN Pre Training Questionnaire*
- *FRM 23 Enrolment Form.*
- *FRM 010 Student Welfare Directory*
- *POL 015 Student Access and Equity Policy*
- *POL 002 Student Welfare Policy – referral list for support services (e.g. mentoring, disability support, job search, career guidance by providing information)*

Findings

The RTO is compliant against Element 2.5.

OLA presented evidence that learning, assessment and support services will be monitored and improved through the data it collects.

The learning will be in small group workplace tutorials with a monthly one to one assessment or planning process that will also trainees to meet individual student needs.

OLA has processes in place that show that learners should have every reasonable opportunity to complete their training program and that they should receive training, and support services that meet their individual needs.

Rectification required: 2.5 None

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.

Intent: Learners will have access to their records.

Audit conclusion: Compliant Non-compliant Not audited Not Applicable

Evidence reviewed at audit included:

- *PRC 006 Student Records Procedure*
- *FRM 033 Student Fees and Charges Agreement* –provides learners with information on rights access records.
- *FRM 07 Unit submission checklist*
- *FRM 11 student file completion*
- *FRM 21 archiving register*
- *FRM 15 Register of SOA issued*
- *FRM 16 Register Qualifications issued*
- VETTrak sighted

Findings

The RTO is compliant against Element 2.6.

OLA has shown evidence that learners should have access accurate records of their participation.

Rectification required: 2.6 None

2.7 The applicant has a defined complaints and appeals process that will ensure learners' complaints and appeals are addressed effectively and efficiently.

Intent: Complaints and appeals will be managed fairly, efficiently and effectively.

Audit conclusion: Compliant Non-compliant Not audited Not Applicable

Evidence reviewed at audit included:

- *POL 016 Complaints & Appeals Policy* - shows that clients are informed about how to complain or appeal at induction and at each assessment event.
- *POL 011 Feedback and Continuous Improvement Policy* - Monitoring and review of complaints and appeals is included in OLA continuous improvement strategies
- *FRM 005 Improvement Plan*
- FISH Register
- *FRM 062 Senior Management Meeting Agenda Items & Minutes*
- OLA Website

Findings

The RTO is compliant against Element 2.7.

OLA has separated the process for appeals and complaints in its policy. This information is available on the OLA website. The RTO has a process that should ensure complaints and appeals will be managed fairly, efficiently and effectively. Complaints and appeals are linked to continuous improvement.

Rectification required: 2.7 None

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

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.			
Intent:	Clients’ rights as consumers will be protected.			
Audit conclusion:	Compliant <input checked="" type="checkbox"/>	Non-compliant <input type="checkbox"/>	Not audited <input type="checkbox"/>	Not Applicable <input type="checkbox"/>
Evidence reviewed at audit included:				
<ul style="list-style-type: none"> • <i>FRM 033 Student Fees and Charges Agreement</i> - documents the agreement • <i>FRM 23 Enrolment form</i> - student declaration also documents the agreement • <i>PRC 008 Fee Payments & Refunds Procedure</i> • <i>POL 011 Feedback and Continuous Improvement Policy</i> • <i>POL 04 Audit Policy</i> • <i>POL 10 Corporate Governance policy</i> • <i>POL 18 Academic Governance Committee</i> • <i>FRM 62 Senior Management Meeting Agenda Items & Minutes</i> • <i>FRM 28 Critical dates register</i> 				
Findings				
The RTO is compliant against Element 3.1.				
The RTO has a strategy that will ensure consumers clients’ rights as consumers will be protected				
Rectification required: 3.1 None				

3.2 The applicant has a defined strategy for the implementation of a systematic continuous improvement approach to the management of operations.

Rectification required: 3.2 None

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 aspect of the AQTF Essential Conditions and Standards for Initial Registration.

Intent: On registration, services delivered under partnering arrangements will comply with the *AQTF Essential Conditions and Standards for Continuing Registration*.

Audit conclusion: Compliant Non-compliant Not audited Not Applicable

Evidence reviewed at audit included:

- CEO interview – CEO confirmed that no partnerships will be entered into.

Findings

The RTO is compliant against Element 3.3.

Rectification required: 3.3 None

3.4 The applicant has a defined strategy and process to manage records to ensure their accuracy and integrity.

Intent: On registration, records maintained by the applicant support the continuous improvement of its operations and provide evidence of compliance with the *AQTF Essential Conditions and Standards for Continuing Registration*.

Audit conclusion: Compliant Non-compliant Not audited Not Applicable

Evidence reviewed at audit included:

- *PRC 001 Quality Assurance Procedure* – shows Numbering and system for used by OLA for all documents developed and approved for use
- *FRM 001 Quality Assurance Register* (FRM, POL, PRC) shows that OLA will maintain a register of its approved documents
- *PRC 006 Student Records Procedure* describes what records will be kept and how they will be accessed and disposed of. It also describes how records will be backed up, protected and archived.
- *FRM 002 Approved Trainer Checklist* – helps ensure that the trainer records are accurate complete and current
- *POL 004 Audit Policy* shows that records management is monitored and reviewed systematically
- Application evidence

3.4 The applicant has a defined strategy and process to manage records to ensure their accuracy and integrity.

- Records presented on the day
- *PRC006 Student records procedure* – which showed that a sample for student records will be kept

Findings

The RTO is compliant against Element 3.4.

Rectification required: 3.4

The Quality Assurance register that OLA uses to list each policy, procedure and form it has approved for use were not up to date.

E.g. *FRM 001- Quality assurance register (PRC)* - lists PRC 002 as version 1 dated 16th May 2010 but the folder of evidence presented to NARA in its application contains a new version - V2 dated 19th May. There are other examples of this practice. This same register lists 7 procedures but 8 were presented with the application.

See Opportunity for Improvement in the summary