

AQTF Audit Report - Continuing Conditions of Registration

clever • skilled • creative

Success Resources International Pty Ltd - # 31335

 TRIM: 10/185641
 Version 3 – 2 November 2010
 Training and International Quality

RTO details			
Legal name	Success Resources International Pty Ltd atf The G & S Taylor-Edwards Trust t/a Success Resources International Pty Ltd	Registration expiry	11 April 2011
RTO contact	Mr Graham Taylor-Edwards	Phone	(07) 5546 5037
Audit team			
Lead auditor	Mr Dean Smoothy		
Phone	(07) 3235 4746	E-mail	Dean.smoothy@deta.qld.gov.au
Audit details			
Audit number	3133518026A	Conditions audited	1 - 9
Other audit notes	<ul style="list-style-type: none"> The last two audits have had significant non-compliance. The evidence submitted indicates non-compliance with seven of the <i>Essential Conditions and Standards for Continuing Registration</i>. The RTO is advised to refer to the Users' Guide to the <i>Essential Conditions and Standards for Continuing Registration</i> for types of evidence that could be included. 		
Audit date	4 July 2011	Audit outcome on day of audit	<input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Significant non-compliance <input type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance
Rectification received	19 July 2011	Audit outcome following rectification	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Significant non-compliance <input type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance
Audit advice			
Recommendation	<input checked="" type="checkbox"/> Approve application <input type="checkbox"/> Refer to site visit <input type="checkbox"/> Refer to RME		

Condition 1 - Governance

 At time of audit: Compliant Not Compliant

 Following rectification: Compliant Not Compliant

Description of evidence sighted:

- Fit and proper person declarations, (Mr Graham Taylor-Edwards and Mrs Shelley Taylor Edwards).
- Minutes of management meetings showing discussions for opportunities for improvement and the path moving forward.
- Print out of NTIS showing qualifications on scope, contacts and modification history.
- Written response to Condition 1 stating:
 - the Chief Executive holds monthly and quarterly meetings to inform staff of training needs, specific changes to AQTF, trends and feedback
 - an internal audit was conducted in September 2009
 - the CEO monitors several communications and newsletters relating to RTOs
 - staff have attended certain courses to maintain currency.

Evidence checklist:

Evidence provided confirms:	Y	N
<ul style="list-style-type: none"> The RTO's Chief Executive must ensure that the RTO complies with the AQTF <i>Essential Conditions and Standards for Continuing Registration</i> and any national guidelines approved by the National Quality Council or its successors. This applies to all of the operations within the RTO's scope of registration, as listed on the 	<input type="checkbox"/>	<input checked="" type="checkbox"/>

AQTF Audit Report - Continuing Conditions of Registration

clever • skilled • creative

Success Resources International Pty Ltd - # 31335

National Training Information Service.			
<ul style="list-style-type: none"> The RTO's senior officers and directors or substantial shareholders who are in a position to influence the management of the organisation must satisfy fit and proper person requirements unless these requirements have already been met through other legislative provisions. <p>[These are the people identified in section 2.1 of the RTO 1(b) form. Each of these people has completed and declared the RTO 4 form - Fit and proper person requirements declaration.]</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> The RTO must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors. 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Summary of non-compliances			
<ul style="list-style-type: none"> The organisation has not demonstrated it complies with the AQTF <i>Essential Conditions and Standards for Continuing Registration</i> as it has written policies and procedures based on AQTF 2005. Although a written statement and minutes of meetings have been provided they do not demonstrate how trainers and assessors have contributed to the decision making of senior management. 			
Rectification required			
<ul style="list-style-type: none"> Policies and procedures which reflect the current AQTF <i>Essential Conditions and Standards for Continuing Registration</i>. Evidence which demonstrates how the RTO explicitly ensures that decision making of senior management is informed by the experiences of its trainers and assessors. 			
Rectification received			
<ul style="list-style-type: none"> The RTO has provided: a code of practice stating how it will comply with the AQTF <i>Essential Conditions and Standards for Continuing Registration</i>. a staff meeting agenda template which incorporates all areas of legislative requirements and provides the opportunity for staff to provide feedback. a continuous improvement policy which outlines the tools used to gather feedback and how this will be moderated at the RTO meetings. 			

Condition 2 – Interactions with the Registering Body

At time of audit: Compliant Not Compliant

Following rectification: Compliant Not Compliant

Description of evidence sighted:

- Modification history printed from NTIS.
- Viewed 2010 Quality Indicator Reports held by DET to confirm submission of data.
- Written response outlining the RTO's cooperation with audit in 2008 and the advice of addition to scope.
- Written response regarding the retention and retrieval of records.
- Letter from Blue Rock accountants to demonstrate financial viability.
- Participants and status register.

Evidence checklist:

Evidence provided confirms:	Y	N
<ul style="list-style-type: none"> The RTO's Chief Executive must ensure that the RTO cooperates with its registering body: <ul style="list-style-type: none"> a. in the conduct of audits and in the monitoring of its operations 	<input checked="" type="checkbox"/>	<input type="checkbox"/>

AQTF Audit Report - Continuing Conditions of Registration

clever • skilled • creative

Success Resources International Pty Ltd - # 31335

b. by providing accurate and timely data relevant to measures of its performance	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c. by providing timely information about significant changes to its operations	<input checked="" type="checkbox"/>	<input type="checkbox"/>
d. by providing timely information about significant changes to its ownership	<input checked="" type="checkbox"/>	<input type="checkbox"/>
e. in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements	<input checked="" type="checkbox"/>	<input type="checkbox"/>
f. by providing a statement demonstrating its financial viability, and/or its annual financial statements, and/or a business plan on request of the registering body.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Condition 3 – Compliance with Legislation

At time of audit: Compliant Not Compliant

Following rectification: Compliant Not Compliant

Description of evidence sighted:

- Written response to Condition 3 stating:
 - the trainer/s and other staff are informed by RTO manager
 - newsletters are perused and staff attend various programs
 - the RTO manger attended a Preparing for Audit workshop in November 2010
 - there is a recruitment and induction policy and regular internal audits are conducted.

Evidence checklist:

Evidence provided confirms:	Y	N
▪ The RTO must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
▪ It ensures its staff and clients are fully informed of these requirements that affect their duties or participation in vocational education and training.	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Summary of non-compliances

- There is insufficient evidence to demonstrate the dissemination of information to staff.
- There is no evidence of the programs attended by management or staff.
- The RTO has not supplied evidence of how it complies with the relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration.
- There is no completed induction evidence.
- There is no evidence to demonstrate regular audits are conducted as outlined in the written response.

Rectification required

- Examples of documentation discussed in written response which identifies how your organisation complies with relevant legislation and how it ensures staff and clients are fully informed of their requirements.

Rectification received

- A compliance policy which outlines how the RTO will maintain compliance with all required legislation across its operations. The policy demonstrates how the RTO will gather knowledge of legislative updates and how this will be disseminated.
- A continuous improvement policy outlining how input from trainers/assessors will be received and moderated.
- The engagement of a consultant to conduct regular internal audit reviews.

AQTF Audit Report - Continuing Conditions of Registration

clever • skilled • creative

Success Resources International Pty Ltd - # 31335

Condition 4 - Insurance		
At time of audit:	<input type="checkbox"/> Compliant	<input checked="" type="checkbox"/> Not Compliant
Following rectification:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
Description of evidence sighted:		
<ul style="list-style-type: none"> Certificate of public liability insurance with a value of \$10 million which expired on 4 March 2011. 		
Evidence checklist:		
Evidence provided confirms:		Y N
<ul style="list-style-type: none"> The RTO holds insurance for public liability throughout its registration period that is suitable for the size and scope of its operations. 	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Summary of non-compliances		
<ul style="list-style-type: none"> The RTO must hold uninterrupted public liability insurance as stated in Condition 5 of the <i>Essential Conditions and Standards for Continuing Registration</i>. 		
Rectification required		
<ul style="list-style-type: none"> Evidence of current public liability insurance suitable for the size and scope of its operations. 		
Rectification received		
<ul style="list-style-type: none"> A certificate of currency for public liability insurance to the value of \$10 million and an expiry date of 4 March 2012. 		

Condition 5 – Financial Management		
At time of audit:	<input type="checkbox"/> Compliant	<input checked="" type="checkbox"/> Not Compliant
Following rectification:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
Description of evidence sighted:		
<ul style="list-style-type: none"> Letter advising the RTO's financial books have been prepared and verified by chartered accountants Blue Rock. Memorandum of agreement between the RTO and potential students. Letter from Blue Rock accountants to demonstrate financial viability of the RTO. Policies: <ul style="list-style-type: none"> Business financial management (states documents that are required to be retained) Financial source information management Financial statement management (states monthly financial reports sent to management) End of financial year procedure Participant fees and refunds Participant fees Participant fees and charges request Participant refunds – The policy is unclear as it states all fees paid will be refunded if a course is discontinued. It then states no refunds or transfers will be given for cancellations or discontinuations. 		
Evidence checklist:		
Evidence provided confirms:		Y N

AQTF Audit Report - Continuing Conditions of Registration

clever • skilled • creative

Success Resources International Pty Ltd - # 31335

- | | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------------|
| ▪ The RTO must be able to demonstrate to its registering body, on request, that it is financially viability at all times during the period of its registration. | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| ▪ The RTO must clearly express the following fee information to each client in a language that clients understand: | | |
| a) The total amount of all fees including course fees, administration fees, materials fees and any other charges | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| b) Payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee | <input type="checkbox"/> | <input checked="" 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 type="checkbox"/> | <input checked="" 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 type="checkbox"/> | <input checked="" type="checkbox"/> |
| e) The organisation's refund policy. | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| ▪ The evidence provided relating to fee information supports the RTO's statement regarding collection of fees in advance (below). | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

Does the organisation collect fees in advance from students?

- Yes – continue No – bypass next dot point

Evidence provided confirms **how, after 1 July 2011**:

- | | | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-------------------------------------|
| Cross which option is nominated on application | ▪ Where the RTO collects fees in advance it must ensure it complies with one of the following options: | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| | <input type="checkbox"/> Option 1 – The RTO is administered by a state, territory or commonwealth government agency, or | | |
| | Option 2 – The RTO holds current membership of an approved Tuition Assurance Scheme, or
[Option not currently possible] | | |
| | <input type="checkbox"/> Option 3 – The RTO may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500, or | | |
| | <input type="checkbox"/> Option 4 – The RTO holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the RTO which are prepayments from students (or future students) for tuition to be provided by the RTO to those students, or | | |
| | <input type="checkbox"/> Option 5 – The RTO has alternative fee protection measures of equal rigour approved by the registering body.
[A description of the alternative measures proposed must be provided and accompanied by a comprehensive explanation demonstrating how the proposed measures are of a rigour equal to Options 1 – 4. The Director, Training Quality, will determine whether the RTO's fee protection measures demonstrate equal rigour.] | | |
| <input type="checkbox"/> The RTO cannot yet demonstrate compliance with the fees paid in advance option 2 as it is awaiting advice from NQC regarding what constitutes an approved Tuition Approval Scheme. | | | |

Evidence provided confirms:

- | | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|
| ▪ The RTO must have its accounts certified by a qualified Accountant to Australian Accounting Standards at least annually, and provide the certificate to its registering body on request. If the registering body reasonably deems | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|

AQTF Audit Report - Continuing Conditions of Registration

clever • skilled • creative

Success Resources International Pty Ltd - # 31335

it necessary, the chief executive must provide a full audit report on the RTO's financial accounts from a qualified and independent accountant.

Summary of non-compliances

- Total fees for the courses are unclear as the payment option totals are inconsistent.
- There is no distinction between tuition, administration or material fees and any other charges.
- The RTO has indicated that it does not collect fees in advance, where as the student information indicates otherwise.
- The information supplied by the RTO (Policy and Procedures and the Memorandum of Agreement) suggests student fees are collected in advance and do not meet the requirement options listed in the above table.
- There is no guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course.
- There is no clear indication of 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.
- The refund policy is unclear and contains information which is not consistent with the information in other documentation.

Rectification required

- Documentation for students outlining total fees. This should clearly outline any additional fees including administration fees, material fees or any other charges.
- Payment terms and fees which are clear and align with the RTO's financial policies.
- A guarantee by the RTO which assures students, the RTO will complete the training and/or assessment once it has commenced.
- Student information must stipulate if fees are required for issuance of a replacement qualification/testamur and the options available to students who are deemed not yet competent.
- A revised refund policy which is clear and concise for all parties and aligns with the RTO's financial policies.
- Information in regards to fees paid in advanced is required to be re-written to ensure the information meets one of the options listed under Condition 5.
- Condition 5 – An original copy of the Financial Management evidence checklist with the Chief Executive signature is to be re-submitted. Clear selection of one option is to be completed. This must be in line with other RTO policies.

Rectification received

- Signed original of the financial management checklist.
- Participant fees and refund policy.
- Full fees list outlining payment structure and fees are required for issuance of a replacement qualification/testamur and the options available to students who are deemed not yet competent.
- An individual and company memorandum of agreement with the RTO which contain a guarantee the RTO will complete the training and/or assessment once it has commenced.
- A business financial management policy which stipulates that the RTO will manage a separate bank account to hold fees to meet the needs of any requested refunds.

AQTF Audit Report - Continuing Conditions of Registration

clever • skilled • creative

Success Resources International Pty Ltd - # 31335

Condition 6 – Certification & Issuing of Qualifications & Statements of Attainment		
At time of audit:	<input type="checkbox"/> Compliant	<input checked="" type="checkbox"/> Not Compliant
Following rectification:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
Description of evidence sighted:		
<ul style="list-style-type: none"> • A policy regarding the issuance of certificates and statement of attainments. • Sample Statement of Attainment. • Sample Qualification Certificate. • Viewed 2010 Quality Indicator Reports held by DET to confirm submission of date. 		
Evidence checklist:		
Evidence provided confirms:		Y N
<ul style="list-style-type: none"> ▪ The RTO must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or accredited course, a qualification or statement of attainment (as appropriate) that: <ul style="list-style-type: none"> a. meets the Australian Qualifications Framework (AQF) requirements <input type="checkbox"/> Y <input checked="" type="checkbox"/> N b. identifies the RTO by its national provider number from the National Training Information Service <input checked="" type="checkbox"/> Y <input type="checkbox"/> N c. includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use. <input checked="" type="checkbox"/> Y <input type="checkbox"/> N ▪ The RTO must retain client records of attainment of units of competency and qualifications for a period of 30 years. <input type="checkbox"/> Y <input checked="" type="checkbox"/> N ▪ The RTO must have a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data. <input checked="" type="checkbox"/> Y <input type="checkbox"/> N [Evidence required to demonstrate how the RTO plans to comply by 3 January 2011] ▪ The RTO must provide returns of its client records of attainment of units of competency and qualifications to its registering body on a regular basis, as determined by the registering body. <input checked="" type="checkbox"/> Y <input type="checkbox"/> N ▪ The RTO must meet the requirements for implementation of a national unique student identifier. <input type="checkbox"/> Y <input type="checkbox"/> N [Not required until implementation plan is published on www.training.com.au] 		
Summary of non-compliances		
<ul style="list-style-type: none"> • The certificate and statement of attainment do not meet the requirements of the AQF – issuance of qualifications. • The policy for issuance of certificates does not stipulate how the RTO will retain client records of attainment of units of competency and qualifications for a period of 30 years. 		
Rectification required		
<ul style="list-style-type: none"> • Completed sample certificates – please be aware of the new AQF guidelines - http://www.aqf.edu.au/ and a bulletin which has been issued to define the new AQF - http://www.nqc.tvetaustralia.com.au/nqc_publications/bulletins_and_communiques. Please also be aware of the new requirements for a testamur and record of results. • A policy to reflect the retainment of client records of attainment of units of competency and qualifications for a period of 30 years. 		
Rectification received		
<ul style="list-style-type: none"> • A new issuance of certificates policy inline with the new AQF and current AQTF outlining the retention of records. • The policy 'Layout of Record of Results' insuring accuracy of information supplied. 		

AQTF Audit Report - Continuing Conditions of Registration

clever • skilled • creative

Success Resources International Pty Ltd - # 31335

- Sample qualification certificate with records of results located on the back of the certificate.
- Sample statement of attainment.
- Qualifications register policy.

Condition 7 – Recognition of Qualifications Issued by Other RTOs

At time of audit: Compliant Not Compliant
 Following rectification: Compliant Not Compliant

Description of evidence sighted:

- Written statement identifying that the RTO will recognise qualifications from other RTOs and how this will be managed.

Evidence checklist:

Evidence provided confirms:	Y	N
▪ The RTO recognises the AQF Qualifications and Statements of Attainment issued by any other RTO.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Condition 8 – Accuracy and Integrity of Marketing

At time of audit: Compliant Not Compliant
 Following rectification: Compliant Not Compliant

Description of evidence sighted:

- Company profile.
- Memorandum of agreement.

Evidence checklist:

Evidence provided confirms:	Y	N
▪ The RTO must ensure that its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
▪ The NRT logo must be employed only in accordance with its conditions of use.	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Summary of non-compliances

- The names of qualifications stated in the company profile are incorrectly name compared with listed qualifications on NTIS.
- Not all the qualifications for which the RTO is registered are listed in the Memorandum of Agreement. These would be required if enrolling students into those qualifications.
- The NRT logo is required to be used in accordance with conditions of use. The logo has been used incorrectly in the company profile and on the Memorandum of Agreement.

Rectification required

- A company profile which reflects correct qualification names.
- A Memorandum of Agreement which includes all qualifications listed on NTIS and which are currently delivered.
- The NRT logo in the company profile and the Memorandum of Agreement must be seen as directly linked to qualifications and used according to the conditions of use.

Rectification received

- Revised company profile and memorandum of agreement which complies with the rectification requirements.

AQTF Audit Report - Continuing Conditions of Registration

clever • skilled • creative

Success Resources International Pty Ltd - # 31335

Condition 9 – Transition to Training Packages/Expiry of Accredited Courses		
At time of audit:	<input type="checkbox"/> Compliant	<input checked="" type="checkbox"/> Not Compliant
Following rectification:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
Description of evidence sighted:		
<ul style="list-style-type: none"> Written response of how the RTO manages transition to training packages/expiry of accredited courses. 		
Evidence checklist:		
Evidence provided confirms:		Y N
<ul style="list-style-type: none"> The RTO must manage the transition from superseded Training Packages within 12 months of their publication on the National Training Information Service. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> The RTO must also manage the transition from superseded accredited courses so that it delivers only currently endorsed Training Packages or currently accredited courses. 	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Summary of non-compliances		
<ul style="list-style-type: none"> There is no mention of accredited courses in the policy which is apart of this Condition. 		
Rectification required		
<ul style="list-style-type: none"> The policy is to be re-written to include the expiry of accredited courses. 		
Rectification received		
<ul style="list-style-type: none"> Issuance of certificates policy which outlines the RTOs intention regarding the transition to training packages and accredited courses. 		