

# AQTF Audit Report – Continuing Conditions of Registration

TRIM No: 10/185641  
Version 4 – 12 March 2012  
Training and International Quality

The Operator School – NTIS 31513

<b>RTO details</b>			
Legal name	Mygo Pty Ltd trustee for the Mygo Trust	Registration expiry	08/07/2012
RTO contact	Mr Christopher Slade	Phone	07 5537 9244
<b>Audit team</b>			
Lead auditor	Ms Kavita Dayal		
Phone	07 3224 6950	E-mail	Kavita.Dayal@deta.qld.gov.au
<b>Audit details</b>			
Audit number	31513-6	Conditions audited	1 - 9
Other audit notes	<ul style="list-style-type: none"> <li>Risk advised given a post-initial audit in 2008 identified minor non-compliance; a desk audit should be conducted on this application and the application be approved under delegation without a site visit pending the outcome of the desk audit activity.</li> <li>On Thursday 24 May 2012, a clarifying conversation was held with Mrs Jane Mace, Marketing, Quality and Admin Manager.</li> </ul>		
Audit date	24 May 2012	Audit outcome on day of audit	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Significant non-compliance <input type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance
<b>Audit advice</b>			
Recommendation	<input checked="" type="checkbox"/> Approve application <input type="checkbox"/> Refer to site visit <input type="checkbox"/> Refer to RME		

## Condition 1 - Governance

At time of audit:  Compliant  Not Compliant

### Description of evidence sighted:

- Position Description Director/Training Manager
- Position Description Administration Manager & Quality Manager & Marketing Manager
- Organisational chart
- Audit Policy and Procedure
- RTO 4 forms for Mr Slade, Ms Mace and Ms Araki
- Minutes of meeting (14 March 2012)
- Extract of daybook (28 and 30 March 2012)

### Evidence checklist:

Evidence provided confirms:

- |                                                                                                                                                                                                                                                                                                                                                                                                                                   | Y                                   | N                        |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|
| <ul style="list-style-type: none"> <li>▪ The RTO's Chief Executive must ensure that the RTO complies with the AQTF <i>Essential Conditions and Standards for Continuing Registration</i> and any national guidelines approved by the National Quality Council or its successors. This applies to all of the operations within the RTO's scope of registration, as listed on the National Training Information Service.</li> </ul> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>▪ The RTO's senior officers and directors or substantial shareholders who are in a position to influence the management of the organisation must satisfy fit and proper person requirements unless these requirements have already been met through other legislative provisions.</li> </ul>                                                                                               | <input checked="" type="checkbox"/> | <input type="checkbox"/> |



[These are the people identified in section 2.1 of the RTO 1(b) form. Each of these people has completed and declared the RTO 4 form - Fit and proper person requirements declaration.]

- The RTO must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.

### Condition 2 – Interactions with the Registering Body

At time of audit:  Compliant  Not Compliant

#### Description of evidence sighted:

- Audit Policy and Procedure
- Quality Indicators (policy)
- Evidence of email submissions to DET regarding change of address and follow-up emails
- Registering body reports (2010 and 2011)
- Archiving Policy
- Archiving Procedure
- Business Plan (2009-2012)

#### Evidence checklist:

Evidence provided confirms:	Y	N
▪ The RTO's Chief Executive must ensure that the RTO cooperates with its registering body:		
a. in the conduct of audits and in the monitoring of its operations	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b. by providing accurate and timely data relevant to measures of its performance	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c. by providing timely information about significant changes to its operations	<input checked="" type="checkbox"/>	<input type="checkbox"/>
d. by providing timely information about significant changes to its ownership	<input checked="" type="checkbox"/>	<input type="checkbox"/>
e. in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements	<input checked="" type="checkbox"/>	<input type="checkbox"/>
f. by providing a statement demonstrating its financial viability, and/or its annual financial statements, and/or a business plan on request of the registering body.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

### Condition 3 – Compliance with Legislation

At time of audit:  Compliant  Not Compliant

#### Description of evidence sighted:

- Process for 'when new employee starts'
- Suite of policies and procedures outlining staff responsibilities
- Attendance extract – Professional Development and Training Courses for Staff
- Improvement communication slip

#### 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 checked="" type="checkbox"/>	<input 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.

#### Condition 4 - Insurance

At time of audit:  Compliant  Not Compliant

#### Description of evidence sighted:

- Certificate of currency

#### Evidence checklist:

Evidence provided confirms:

- The RTO holds insurance for public liability throughout its registration period that is suitable for the size and scope of its operations.  Y  N

#### Condition 5 – Financial Management

At time of audit:  Compliant  Not Compliant

#### Description of evidence sighted:

- Financial statements (year ended 30 June 2011)
- Course information and Price Guide
- Nature of Guarantee to complete training and assessment (policy)
- Email communiqués to confirm the completion of students at other RTOs
- Student guide and code of practice
- Independent Auditor Report

#### Evidence checklist:

Evidence provided confirms:

- |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Y                                   | N                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|
| <ul style="list-style-type: none"> <li>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"/></li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>The RTO must clearly express the following fee information to each client in a language that clients understand:               <ul style="list-style-type: none"> <li>a) The total amount of all fees including course fees, administration fees, materials fees and any other charges <input checked="" type="checkbox"/> <input type="checkbox"/></li> <li>b) Payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee <input checked="" type="checkbox"/> <input type="checkbox"/></li> <li>c) The nature of the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course <input checked="" type="checkbox"/> <input type="checkbox"/></li> <li>d) The fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent upon completion of training and assessment, and <input checked="" type="checkbox"/> <input type="checkbox"/></li> <li>e) The organisation's refund policy. <input checked="" type="checkbox"/> <input type="checkbox"/></li> </ul> </li> <li>The evidence provided relating to fee information supports the RTO's statement regarding collection of fees in advance (below). <input checked="" type="checkbox"/> <input type="checkbox"/></li> </ul> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Does the applicant intend to collect fees in advance from individual students? *Note: Fees paid in advance from*



other clients (e.g. companies, incorporated bodies, government agencies) on behalf of the student are not intended to be covered by Condition 5.

Yes – continue

No – bypass next dot point

Evidence provided confirms:

▪ Where the RTO collects fees in advance it must ensure it complies with one of the following options:

Option 1 – The RTO is administered by a state, territory or commonwealth government agency, or

~~Option 2 – The RTO holds current membership of an approved Tuition Assurance Scheme, or~~  
[Option not currently possible]

Option 3 – The RTO may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500, or

Option 4 – The RTO holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the RTO which are prepayments from students (or future students) for tuition to be provided by the RTO to those students, or

Option 5 – The RTO has alternative fee protection measures of equal rigour approved by the registering body.

[A description of the alternative measures proposed must be provided and accompanied by a comprehensive explanation demonstrating how the proposed measures are of a rigour equal to Options 1 – 4. The Director, Training Quality, will determine whether the RTO's fee protection measures demonstrate equal rigour.]

Cross which option is nominated on

Evidence provided confirms:

▪ The RTO must have its accounts certified by a qualified Accountant to Australian Accounting Standards at least annually, and provide the certificate to its registering body on request. If the registering body reasonably deems it necessary, the chief executive must provide a full audit report on the RTO's financial accounts from a qualified and independent accountant.

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

At time of audit:  Compliant  Not Compliant

#### Description of evidence sighted:

- Issuing of Qualifications – Policy
- Issuing of Qualifications - Procedure
- Template of Statement of Attainment
- Archiving Policy
- Archiving Procedure
- AVETMISS Collection Policy and Procedure
- AVETMISS Collection form
- AVETMISS Collection Table 2012

#### Evidence checklist:

Evidence provided confirms:

Y N

▪ The RTO must issue to persons whom it has assessed as competent in accordance with the requirements of the



Training Package or accredited course, a qualification or statement of attainment (as appropriate) that:

- |                                                                                                                                                                                                                                                                        |                                     |                          |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|
| a. meets the Australian Qualifications Framework (AQF) requirements                                                                                                                                                                                                    | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| b. identifies the RTO by its national provider number from the National Training Information Service                                                                                                                                                                   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| c. includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use.                                                                                                                                                            | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| ▪ The RTO must retain client records of attainment of units of competency and qualifications for a period of 30 years.                                                                                                                                                 | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| The RTO must have a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data.                                                                                                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| <del>▪ 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.<br/>[Not required by Department of Education and Training.]</del> | <input type="checkbox"/>            | <input type="checkbox"/> |
| <del>▪ The RTO must meet the requirements for implementation of a national unique student identifier.<br/>[Not required until implementation plan is published on <a href="http://www.training.gov.au">www.training.gov.au</a>]</del>                                  | <input type="checkbox"/>            | <input type="checkbox"/> |

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

At time of audit:  Compliant  Not Compliant

##### Description of evidence sighted:

- Course information and price guide
- Application form for the consideration of Recognised Prior Learning or a Credit Transfer from other Registered Training Organisation
- Student Guide and Code of Practice

##### Evidence checklist:

Evidence provided confirms:	<b>Y</b>	<b>N</b>
▪ 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

##### Description of evidence sighted:

- Copies of advertisements
- Course information and price guide
- website

##### Evidence checklist:

Evidence provided confirms:	<b>Y</b>	<b>N</b>
▪ 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 checked="" type="checkbox"/>	<input type="checkbox"/>
▪ The NRT logo must be employed only in accordance with its conditions of use.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

#### Condition 9 – Transition to Training Packages/Expiry of Accredited Courses



<b>At time of audit:</b>	<input type="checkbox"/> Compliant	<input checked="" type="checkbox"/> Not Compliant
<b>Following rectification:</b>	<input type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
<b>Description of evidence sighted:</b>		
• Transition to Training Packages / Expiry of Accredited Courses – Policy and Procedure		
<b>Evidence checklist:</b>		
Evidence provided confirms:		<b>Y</b> <b>N</b>
▪ The RTO must manage the transition from superseded Training Packages within 12 months of their publication on <a href="http://www.training.gov.au">www.training.gov.au</a> .	<input checked="" type="checkbox"/>	<input type="checkbox"/>
▪ 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 checked="" type="checkbox"/>	<input type="checkbox"/>