

AQTF Audit Report - Continuing Conditions of Registration

clever • skilled • creative

Peter Pan Literacy Club Inc trading as Maisie Kaufmann Learning Centre – NTIS 5205-9A

 TRIM: 10/185641
 Version 3.2 – 29 July 2011
 Training and International Quality

RTO details			
Legal name	Peter Pan Literacy Club Inc	Registration expiry	03/03/2012
RTO contact	Sylvia Collins	Phone	0402150459
Audit team			
Lead auditor	Denise Middleton		
Phone	07 46 872 858	E-mail	Denise.MIDDLETON@deta.qld.gov.au
Audit details			
Audit number	5205-9	Conditions audited	1 - 9
Other audit notes	<ul style="list-style-type: none"> The risk assessment recommended that this application can be approved under delegation without a site visit pending the outcome of the desk audit. Ms Sylvia Collins was the contact who provided clarification of issues pertaining to the audit. 		
Audit date	01/02/2012	Audit outcome on day of audit	<input type="checkbox"/> Compliant <input type="checkbox"/> Significant non-compliance <input checked="" type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance
Rectification received	22/02/2012	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

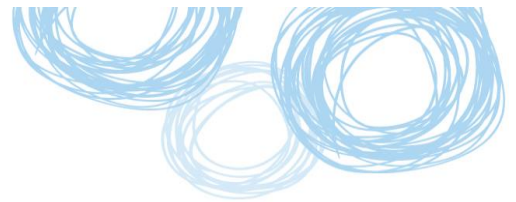
 At time of audit: Compliant Not Compliant

Description of evidence sighted:

- The resume of the Chief Executive Officer outlines the duties of the CEO which require him to ensure that the RTO complies with all conditions of registration and standards for continuing registration.
- Fit and proper person declarations were provided for Lance Stone, Chief Executive Officer and Sylvia Elizabeth Collins, Operations Manager.
- Minutes of meetings demonstrate that trainers and assessors have an input into the decision making processes of senior management.

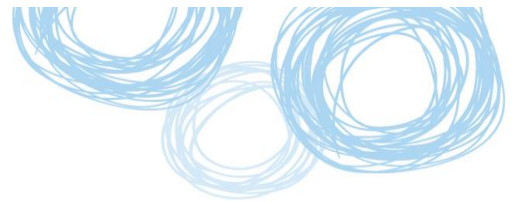
Evidence checklist:

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 National Training Information Service. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<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 checked="" type="checkbox"/>	<input type="checkbox"/>



Condition 4 – Insurance	
At time of audit:	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
Description of evidence sighted:	
<ul style="list-style-type: none">The organisation provided the following information regarding insurance coverage:<ul style="list-style-type: none">Insurer: QBEPolicy Number: 18A 193339 PLBCoverage: \$30,000,000Expiry: 31 May 2012	
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 checked="" type="checkbox"/> <input type="checkbox"/>

Condition 5 – Financial Management	
At time of audit:	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
Description of evidence sighted:	
<ul style="list-style-type: none">This organisation is a not for profit community based organisation which is dependent on State and Federal Government funding to support learners through their training.A small fee is charged for reprints of qualifications and statements of attainment.As this organisation caters for people with learning difficulties and disabilities, the organisation offers the following support services to ensure that the learner can complete their studies:<ul style="list-style-type: none">modified documents to assist the visually impairedliteracy and numeracy supportadult based learning materials for learner with low literacy levelslarge screen keyboardsopen door policysupport for learners with left/right brain dominancepost participant supportadjustment to programs to cater to individual learning stylesThe organisation provided a copy of a refund policy (QP27) which provided sufficient detail to demonstrate that the refund is fair and equitable.A financial statement /balance sheet for the end of the 2010 financial year showed that the organisation made a profit during this financial year. This report had been prepared by John McD. Carroll CPA, John McD. Carroll & Associates and the report states that the organisation is in a sound financial position.	
Evidence checklist:	
Evidence provided confirms:	Y N
<ul style="list-style-type: none">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.The RTO must clearly express the following fee information to each client in a language that clients understand:	<input checked="" type="checkbox"/> <input type="checkbox"/>



- a) The total amount of all fees including course fees, administration fees, materials fees and any other charges
- b) Payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee
- c) The nature of the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course
- d) The fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent upon completion of training and assessment, and
- e) The organisation's refund policy.
- The evidence provided relating to fee information supports the RTO's statement regarding collection of fees in advance (below).

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

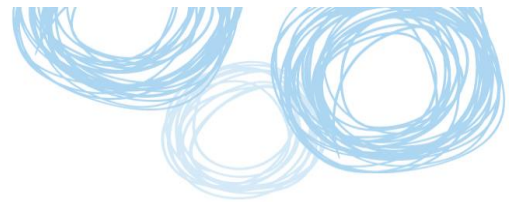
Evidence provided confirms:

- 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 7 – Recognition of Qualifications Issued by Other RTOs		
At time of audit:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
Description of evidence sighted:		
<ul style="list-style-type: none"> The orientation booklet provided contained a statement that the organisation recognised Statements of Attainment and qualifications issued by other registered training organisation. The Recognition of Prior Learning (QP9) outlines the requirements. 		
Evidence checklist:		
Evidence provided confirms:		Y N
<ul style="list-style-type: none"> 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:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
Description of evidence sighted:		
<ul style="list-style-type: none"> A Marketing and Advertising Policy (QP30) was provided which stated that the CEO of the organisation is responsible for reviewing all advertised prior to the materials being released. The organisation does not use the NRT logo on its advertising documentation. 		
Evidence checklist:		
Evidence provided confirms:		Y N
<ul style="list-style-type: none"> 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. 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		
At time of audit:	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
Description of evidence sighted:		
<ul style="list-style-type: none"> The organisation provided a Transition to Training Packages/Expiry of Accredited Courses (QP37) stating the organisation will transition to new training packages and accredited courses in accordance with the registering body's transition policy. The operations manager is responsible for ensuring that the transition policy is adhered to by the organisation. 		
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 www.training.gov.au. 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"/>