### RTO DETAILS

<table>
<thead>
<tr>
<th>RTO Name</th>
<th>Frontier Leadership Pty Ltd</th>
<th>NTIS #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address</td>
<td>14A Sycamore Street, Malvern East, VIC 3145</td>
<td>Website</td>
</tr>
<tr>
<td>Registration Contact</td>
<td>Justin Field</td>
<td></td>
</tr>
<tr>
<td>Phone Number</td>
<td>0419 661 946</td>
<td>E-mail</td>
</tr>
<tr>
<td>Student Numbers</td>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>

### AUDIT TEAM

<table>
<thead>
<tr>
<th>Lead Auditor</th>
<th>Mark Crawford</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technical Advisor/s</td>
<td></td>
</tr>
<tr>
<td>Observer/s</td>
<td></td>
</tr>
</tbody>
</table>

### NARA CONTACT DETAILS

<table>
<thead>
<tr>
<th>Contact Person</th>
<th>Julie Northbridge</th>
</tr>
</thead>
<tbody>
<tr>
<td>Official Order</td>
<td>2010/106</td>
</tr>
<tr>
<td>Phone Number</td>
<td>02 9409 3212</td>
</tr>
<tr>
<td>E-mail</td>
<td><a href="mailto:Julie.northbridge@tvetaustralia.com.au">Julie.northbridge@tvetaustralia.com.au</a></td>
</tr>
</tbody>
</table>

### AUDIT DETAILS

<table>
<thead>
<tr>
<th>Type of Audit</th>
<th>Initial ☒</th>
<th>Post-initial</th>
<th>Extension to scope</th>
<th>Renewal</th>
<th>Monitoring</th>
<th>Complaint</th>
<th>Strategic</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standards audited</td>
<td>All</td>
<td>Audit Date/s</td>
<td>2010-11-08</td>
<td></td>
<td>Site or Desk?</td>
<td>Site</td>
<td></td>
</tr>
<tr>
<td>Conditions audited</td>
<td>All + VRQA Guidelines 1.3, 1.5, 1.6, 2, 3.4, 4, &amp; 5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Audit outcome</td>
<td>Compliant ☒</td>
<td>Minor non-compliance</td>
<td>Significant non-compliance</td>
<td>Critical Non-compliance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other audit notes</td>
<td>Frontier Leadership is a registered company trust owned by Justin Field. Initially all training and assessment will be undertaken by the CEO. The core training activities will be delivered as traineeships to major retail clients such as Toys “R” Us. The CEO has and existing contract with Toys “R” Us for delivery of training under a MOU agreement with Diversitat until registration is gained as an RTO.</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

NARA QMS Ref: AR008a Version 1
Document uncontrolled when printed
5 August 2010
TVET Australia (National Audit and Registration Agency)
AUDIT REPORT – AQTF Essential Conditions & Standards for Initial Registration

FOCUS OF AUDIT

<table>
<thead>
<tr>
<th>NTIS Code</th>
<th>Qualification/Unit of Competence/Accredited Course (as per NTIS)</th>
<th>Delivery Site</th>
</tr>
</thead>
<tbody>
<tr>
<td>SIR30207</td>
<td>Cert III in Retail</td>
<td>All states</td>
</tr>
<tr>
<td>SIR40207</td>
<td>Cert IV in Retail Management</td>
<td>All states</td>
</tr>
</tbody>
</table>

INTERVIEWEE/S

<table>
<thead>
<tr>
<th>Staff - names and positions</th>
<th>Employers - name and position</th>
<th>Students - (by program, do not list by name)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Justin Field</td>
<td>CEO and trainer and assessor</td>
<td></td>
</tr>
</tbody>
</table>

CONDITIONS OF REGISTRATION – SUMMARY

CONDITION 1 – GOVERNANCE
Audit conclusion: Compliant ☒  Non-compliant ☐  Not audited ☐
Comment: The CEO has established sound governance arrangements for the operation of the ORGANISATION and has demonstrated financial viability through financial and business plans.

CONDITION 2 – INTERACTIONS WITH THE REGISTERING BODY
Audit conclusion: Compliant ☒  Non-compliant ☐  Not audited ☐
Comment: The CEO has procedures in place that describe how the organisation will cooperate with NARA.

CONDITION 3 – COMPLIANCE WITH LEGISLATION
Audit conclusion: Compliant ☒  Non-compliant ☐  Not audited ☐
Comment: The CEO has demonstrated that relevant legislation has been identified and incorporated into the policy and procedures for the operations of the organisation.

CONDITION 4 – INSURANCE
Audit conclusion: Compliant ☒  Non-compliant ☐  Not audited ☐
Comment: The CEO has taken out the required public liability insurance to cover training as an RTO.
CONDITION 5 – FINANCIAL MANAGEMENT
Audit conclusion: Compliant ☑ Non-compliant ☐ Not audited ☐
Comment: The CEO has documents that set out the fees and charges which is available to clients prior to entering into a contract. Fees collected in arrears.

CONDITION 6 – CERTIFICATION & ISSUING OF QUALIFICATIONS & STATEMENTS OF ATTAINMENT
Audit conclusion: Compliant ☑ Non-compliant ☐ Not audited ☐
Comment: Certificate and Statement of Attainment templates meet requirements.

CONDITION 7 – RECOGNITION OF QUALIFICATIONS ISSUED BY OTHER RTOs
Audit conclusion: Compliant ☑ Non-compliant ☐ Not audited ☐
Comment: The CEO has a policy for recognising qualifications issued by other RTOs.

CONDITION 8 – ACCURACY AND INTEGRITY OF MARKETING
Audit conclusion: Compliant ☑ Non-compliant ☐ Not audited ☐
Comment: The CEO has a procedure covering the accuracy and integrity of marketing.

CONDITION 9 – TRANSITION TO TRAINING PACKAGES/EXPIRY OF ACCREDITED COURSES
Audit conclusion: Compliant ☑ Non-compliant ☐ Not audited ☐
Comment: The CEO has developed a procedure for managing the transition of revised training packages.

CONDITIONS OF REGISTRATION

CONDITION 1 – GOVERNANCE
The applicant’s Chief Executive must identify how he or she will ensure he 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 its 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:
CONDITIONS OF REGISTRATION

- Organisational chart
- Job descriptions
- Business plan dated 8/11/2010 including information regarding marketing, financial projections, SWOT, business structure, strategies etc
- Police check
- Management system overview document
- Governance arrangements outlining senior management experience, management of operations, internal and external reviews.
- Statutory Declarations
- Cashflow manager accounting system
- Certificate of company registration

FINDING: The CEO has set out governance guidelines for the operations of the RTO in accordance to the requirements of the AQTF standards. Business and financial plans have been prepared to demonstrate a sound business strategy and financial viability. This is supported by existing business arrangements and contract with Toys “R” Us for the delivery of training on a national basis.

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
- 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: Compliance □ Non-compliance □ Not audited □

EVIDENCE:
<table>
<thead>
<tr>
<th>CONDITIONS OF REGISTRATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Notification of significant changes policy and procedure</td>
</tr>
<tr>
<td>• Job description</td>
</tr>
<tr>
<td>• Cooperation with the RTO’s registering body policy</td>
</tr>
<tr>
<td>• Business plan</td>
</tr>
</tbody>
</table>

**FINDING:** The CEO has defined his responsibilities for interaction with NARA and has agreed to the conditions of registration.

**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:**

• Access and equity policy and procedure

• Privacy policy

• OHS policy

• Compliance with AQTF 2010 legislation policy

• Policy and procedures addressing legislation requirements

• AQTF quarterly review

• Staff induction checklist

• Trainer and assessor handbook

• Student information handbook
## CONDITIONS OF REGISTRATION

**FINDING:** The CEO has established policy and procedures that incorporate relevant legislation requirements. Students will be informed of legislation through the student handbook as well as information sessions conducted during sign up. Staff job descriptions, staff handbooks and the staff induction checklist will inform new staff of the responsibilities regarding legislation.

### CONDITION 4 – INSURANCE
The applicant must hold insurance for public liability.

<table>
<thead>
<tr>
<th>Audit conclusion:</th>
<th>Compliant □</th>
<th>Non-compliant □</th>
<th>Not audited □</th>
</tr>
</thead>
</table>

**EVIDENCE:**
- Insurance policy with VERO exp 23-03-2011 policy SMK106029325

**FINDING:** The CEO has taken out public liability insurance for training as an RTO.

### 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:
- (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 ad 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 □ |
### CONDITIONS OF REGISTRATION

**EVIDENCE:**
- Business plan – 3 year financials
- Fee for service agreement
- Student information handbook
- Course outline brochure
- Fees and charges policy and procedure
- Enrolment policy and procedure
- Contract agreement
- Fees charged in arrears
- Accounts certification and compilation report

**FINDING:** The CEO has set out the RTO’s fees, charges, payment terms and delivery guarantees in service agreements and client contracts. Under traineeship arrangements fees are not charged in advance.

### 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.
### CONDITIONS OF REGISTRATION

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

<table>
<thead>
<tr>
<th>Audit conclusion:</th>
<th>Compliant ☒</th>
<th>Non-compliant ☐</th>
<th>Not audited ☐</th>
</tr>
</thead>
</table>

**EVIDENCE:**
- AQF Qualifications and statement of attainment policy and procedure
- Statement of attainment register
- Certificate and statement of attainment templates
- Records management policy and procedure

**FINDING:** Certificate and statement of attainment templates meet the requirements of the AQF. Procedures define the retention period for student results. A VETtrack student database has been purchased for the management of student records and reporting of AVETMISS data.

### 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.

<table>
<thead>
<tr>
<th>Audit conclusion:</th>
<th>Compliant ☒</th>
<th>Non-compliant ☐</th>
<th>Not audited ☐</th>
</tr>
</thead>
</table>

**EVIDENCE:**
- Student information handbook p7
- Credit transfer policy and procedure
- Credit transfer form

**FINDING:** The requirement to recognise qualifications issued by other RTOs has been defined in the Student information handbook.
### CONDITIONS OF REGISTRATION

<table>
<thead>
<tr>
<th>CONDITION 8 – ACCURACY AND INTEGRITY OF MARKETING</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

**Audit conclusion:** Compliant ✗ Non-compliant [ ] Not audited [ ]

**EVIDENCE:**
- Marketing and promotional policy and procedure
- Marketing / promotional material checklist

**FINDING:** The CEO has defined the requirements for marketing to ensure information is accurate and ethical. The use of the Marketing / promotional material checklist will ensure that materials are checked and approved prior to release.

<table>
<thead>
<tr>
<th>CONDITION 9 – TRANSITION TO TRAINING PACKAGES/EXPIRY OF ACCREDITED COURSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

**Audit conclusion:** Compliant ✗ Non-compliant [ ] Not audited [ ]

**EVIDENCE:**
- Training package policy and procedure
- Training package course register

**FINDING:** A procedure has been established to manage the transition of revised training packages.
### STANDARDS OF REGISTRATION

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

<table>
<thead>
<tr>
<th>Audit conclusion:</th>
<th>Compliant ☑️</th>
<th>Non-compliant ☐</th>
<th>Not audited ☐</th>
</tr>
</thead>
</table>

**Element 1.1** The organisation is compliant with Element 1.1. A strategy for continuous improvement has been defined and is based on the collection of data including student and employer feedback for analysis and improvement.

**Element 1.2** The organisation is compliant with Element 1.2. Training and assessment strategies have been developed based on the requirements of the training package and input from the target client, Toys “R” Us. Procedures include the ongoing review and monitoring of the delivery strategies for continuous improvement.

**Element 1.3** The organisation is compliant with Element 1.3. The organisation has demonstrated that it has determined, acquired and developed resources for the delivery of retail qualifications. Workplace and offsite training facilities will be utilised in the delivery strategy which is based on the job and off the job workshop training and assessment.

**Element 1.4** The organisation is compliant with Element 1.4. The CEO is the nominated trainer and assessor for the initial delivery of the retail qualifications. The CEO has a background in retail and has the necessary qualifications and vocational competencies for the delivery of the retail qualifications. Procedures define the process for recruiting new trainers and assessors and ensuring that checks are undertaken to verify their credentials. The CEO undertakes professional development and has maintained current industry skills in retail.

**Element 1.5** The organisation is compliant with Element 1.5. The organisation has strategies to ensure that assessment is conducted in accordance with principles of assessment and the rules of evidence. Assessment tools have been validated against the requirements of the training package and have been tailored to reflect the target client’s business model and operations.

**Strengths**

Delivery session plans and learning materials have been developed and tailored to meet client requirements. The new learning materials are of a high standard and have been put together in a professional manner.

**Opportunities for Improvement**

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

**Audit conclusion:** Compliant □ Non-compliant □ Not audited □

**Element 2.1** The organisation is compliant with Element 2.1. The organisation has defined strategies in place for the identification of student needs through client consultation and the pre-sign briefing sessions held with students.

**Element 2.2** The organisation is compliant with Element 2.2. The organisation has strategies in place for the regular review of training performance based on client and student feedback.

**Element 2.3** The organisation is compliant with Element 2.3. Information regarding training, assessment and support services is provided to students and clients through handbooks and other materials. This information includes the student’s rights and obligations.

**Element 2.4** The organisation is compliant with Element 2.4. Strategies are in place for client engagement during the initial proposal stages to tailor the delivery strategies to meet client’s needs. Agreement is also sought for the participation of the workplace supervisors in on-the-job training and assessment.

**Element 2.5** The organisation is compliant with Element 2.5. The organisation has defined its strategies for learner support and for the provision of tailored and flexible training to suit student needs.

**Element 2.6** The organisation is compliant with Element 2.6. Policies and procedures are in-place to ensure that students are informed about their rights to access records.

**Element 2.7** The organisation has a complaints and appeals procedure for the effectively and efficient handling of complaints and appeals.

**Strengths**

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

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 organisation is compliant with Element 3.1. The organisation has defined strategies in place for the ongoing review and monitoring of operations. This will be achieved through collection and analysis of feedback, regular formal management reviews as well as a systematic review of training delivery performance according to the verification schedule.

Element 3.2 The organisation is compliant with Element 3.2. The organisation has documented policies and procedures that outline how the RTO will be systematically managed based on quality principles of continuous improvement.

Element 3.3 Is not applicable as the organisation’s strategy for training and assessment is not based on any sub-contracted components.

Element 3.4 The organisation is compliant with Element 3.4. The organisation has a procedure for record management and has a student database for student records.

Strengths

Opportunities for Improvement
## 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 AQTF Essential Conditions and Standards for Continuing Registration and achieving outcomes over and above those previously achieved.

**Audit conclusion:**
- [x] Compliant
- [ ] Non-compliant
- [ ] Not audited
- [ ] Not Applicable

**Evidence reviewed at audit included:**
- Industry consultation forms completed for Toys “R” Us
- Learner and Employer Questionaries
- SMART software for survey inputs and reporting annually
- Quality Indicators policy
- RTO meetings to be undertaken monthly using agenda
- Action Request Forms
- Updated delivery strategies and materials in lead up to registration

**Findings**

The organisation is compliant against Element 1.1.

The organisation has established procedures and survey forms for the collection of student and client feedback. Regular monthly meetings will be undertaken to review and analyse feedback for the purpose of continual improvement. Improvements will be tracked and managed using the Action Request Form.
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.

Intent: On registration, all training and assessment strategies meet the requirements of the Training Package or accredited course. All training and assessment strategies are clearly informed by industry consultation and are systematically reviewed.

Audit conclusion:

<table>
<thead>
<tr>
<th>Evidence reviewed at audit included:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Training and assessment strategies for each qualification</td>
</tr>
<tr>
<td>• Both qualifications are delivered as workplace traineeships with off the job training sessions (two 2X3 day blocks), two workplace visits and phone contact.</td>
</tr>
<tr>
<td>• The strategies identify the entry requirements, target groups, pathways, core and elective units, delivery schedule, duration, assessment methods, resources, trainers, validation, industry consultation and training plan (timing of workshops, visits and assessments).</td>
</tr>
<tr>
<td>• Delivery outlines for each unit (trainer guide for classroom sessions)</td>
</tr>
<tr>
<td>• Session plans with detailed content, times and reference to learning resources.</td>
</tr>
<tr>
<td>• Contract for client with inclusions for agreed training hours covering on and off the job</td>
</tr>
<tr>
<td>• Victorian Purchasing Guide for SIR07 showing nominal hours for each unit</td>
</tr>
<tr>
<td>• Industry consultation forms completed for Toys “R” Us Australia for both qualifications</td>
</tr>
<tr>
<td>• Currently delivering training for another RTO in retail.</td>
</tr>
<tr>
<td>• Working with Coles delivering non-accredited leadership training.</td>
</tr>
</tbody>
</table>
### 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.

- Subscribe to Training Packages @ Work, RTO Mail, NCVER News, TVET and NARA.
- Verification schedule.

#### Findings

The organisation is compliant against Element 1.2.

Training and assessment strategies clearly set out the delivery arrangements for both qualifications. The strategies reflect the requirements of the training package and were developed in consultation with the client Toys “R” Us. The strategies are supported by delivery outlines and detailed session plans for all units. A review process is planned to ensure that strategies are kept up to date and reflect client requirements.

### 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:

<table>
<thead>
<tr>
<th>Compliant</th>
<th>Non-compliant</th>
<th>Not audited</th>
<th>Not Applicable</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

#### Evidence reviewed at audit included:

- Student workbooks – SmallPrint, Aspire and Frontier Leadership resources (workbooks developed and customised for Toys “R” Us)
- Session plans customised for the client Toys “R” Us
- Assessment tools reflecting training package requirements
- Mapping of assessment tools against training package specifications
- Client materials (policies, forms etc) used as learning resources
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.**

- Client retail workplace for learning and demonstration of skills
- PowerPoint presentations
- Workplace checklist
- Regus training centres (booked for off the job training workshops)
- Organisation Chart and job descriptions
- Home office with computers and file storage
- Staff files

**Findings**

The organisation is compliant against Element 1.3.

The CEO has acquired training and assessment materials that reflect the requirements of the training package. Customised workbooks incorporating materials from Toys “R” Us have been developed specifically for this client. The use of workplace facilities for delivery and release of trainees for training and assessment has been defined in the client contract. Off site training rooms with the required equipment are to be sourced from Regus.

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.

**Intent:** On registration, all trainers and assessors of nationally recognised training will meet nationally agreed competency requirements and continue to develop their competence.

<table>
<thead>
<tr>
<th>Audit conclusion:</th>
<th>Compliant ☒</th>
<th>Non-compliant ☐</th>
<th>Not audited ☐</th>
<th>Not Applicable ☐</th>
</tr>
</thead>
</table>
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.

Evidence reviewed at audit included:
- Mapping vocational experience for Justin Field
- TAA40104 – Monash Student Association, 2010
- Police check, 18-03-2010
- Resume showing 17 years experience in the retail field including Woolworths, Boarders and Bunnings
- Prospective Trainer Interview Questions
- Staff Checklist for qualifications completed for Justin Field
- Prospective employee reference check
- Staff induction checklist - completed
- Annual staff evaluation – trainer/assessor
- Sample employment letter
- Staff performance appraisal checklist
- Staff professional development log
- Staff professional development policy and procedure
- Staff recruiting policy and procedure
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.

- Staff self evaluation form
- Job descriptions

Findings

The organisation is compliant against Element 1.4.

The CEO has procedures and checks in place to ensure that trainers and assessors are recruited with the appropriate qualifications and experience. Evidence was sighted to show that the CEO has the required training qualifications and current vocational experience for the retail qualifications. The CEO's vocational competencies in retail were supported by an extensive mapping against the units of competency and CV. The professional development log demonstrated that the CEO has undertaken regular professional development.
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.

Intent: On registration, assessment will ensure that only learners who hold the requisite skills and knowledge are certified as competent.

| Audit conclusion: | Compliant ☒ | Non-compliant ☐ | Not audited ☐ | Not Applicable ☐ |

Evidence reviewed at audit included:
- SIR30207 - sampled SIRXLS004A Build relationships with customers and SIRXICT003A Operate retail information technology systems.
- SIR40207 – sampled SIRXMER004A Manage merchandise and store presentation and SIRXCLM002A Manage store facilities
- Assessment mapping against performance criteria, required knowledge and skills, critical aspects of evidence and employability skills.
- Assessment tools eg SIRXLS004A include unit outline, student instructions, required tasks eg workplace assignment, oral questions, supervisor report and practical demonstrations.
- Model answers to oral questions
- Trainer and assessor guides
- Assessment outcome record
- Student declaration and assessment task record sheet
- RPL Kit including provision for applicant to provide supporting evidence against unit elements
- Validation policy and procedure
- Validation schedule based every 3 months with nominated units
- Validation checklist
- Academic misconduct procedure
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.

- Student Declaration required for each assessment

Findings

The organisation is compliant against Element 1.5.

The CEO has sourced assessment tools for all units selected for delivery. Mapping documents demonstrate that the assessment tools have been checked against and meet the requirements of the training package. Assessment validation tools have been developed to systematically review these assessment tools over a scheduled time frame. Assessment activities and tools are supported by assessor guides and model answers. Students are provided with clear instructions and guidance regarding the assessment process. Assessment activities will be contextualised to suit the workplace environment. The CEO has prepared learner workbooks fully tailored for Toys “R” Us. An RPL kit has been developed for each unit for students wishing to apply.
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.

<table>
<thead>
<tr>
<th>Audit conclusion:</th>
<th>Compliant ☑</th>
<th>Non-compliant ☐</th>
<th>Not audited ☐</th>
<th>Not Applicable ☐</th>
</tr>
</thead>
</table>

**Evidence reviewed at audit included:**

- Meeting individual learner needs policy
- Access and equity policy
- LLN assessment to be conducted at sign up to determine student needs
- Client consultation details forms
- Meetings with clients to discuss learning needs (3 days spent in Sydney meeting with staff from Toys “R” Us)
- Sign up meeting held with new trainees to review training program and identify student needs
- Enrolment form includes provision for students to record special needs

**Findings**

The organisation is compliant against Element 2.1.

The organisation has demonstrated that it has a defined strategy for the identification and establishment of student needs through the initial client consultation and the initial engagement of the student. The LLN assessment tool will establish the student’s level of language, literacy and numeracy.

### 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.
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.

Audit conclusion:  
- Compliant ✓  
- Non-compliant □  
- Not audited □  
- Not Applicable □

Evidence reviewed at audit included:
- Quality management policy and procedure
- Quality indicator policy and procedure
- Student and employer questionnaires
- SMART program
- Mid point survey forms
- Monthly management meeting agenda
- Quarterly review schedule (checking compliance against all AQTF standards and conditions of registration)
- Action request form

Findings

The organisation is compliant against Element 2.2.

The organisation has a strategy in place for the collection and analysis of student and client feedback as a means of continuous improvement. Continuous improvement is also supported by the regular monthly meeting agenda and review of operations on a scheduled basis.

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 □
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.

<table>
<thead>
<tr>
<th>Evidence reviewed at audit included:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Course information flyers including information regarding entry requirements, course content, delivery arrangements, duration, cost (paid by client), enrolment and contact details.</td>
</tr>
<tr>
<td>• Student information handbook</td>
</tr>
<tr>
<td>• Student support services policy</td>
</tr>
<tr>
<td>• Student welfare policy and procedure including schedule of training hours within the VRQA guidelines</td>
</tr>
<tr>
<td>• Employer information handbook</td>
</tr>
<tr>
<td>• Employer course outlines</td>
</tr>
<tr>
<td>• Employer Engagement Policy</td>
</tr>
<tr>
<td>• Enrolment Process procedure</td>
</tr>
<tr>
<td>• Access and Equity policy and procedure</td>
</tr>
<tr>
<td>• Fees and charges policy</td>
</tr>
<tr>
<td>• Fee for Service Agreement</td>
</tr>
<tr>
<td>• Enrolment form</td>
</tr>
<tr>
<td>• Training environment checklist</td>
</tr>
<tr>
<td>• Student workplace OHS and suitability checklist</td>
</tr>
</tbody>
</table>

Findings
### 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.

The organisation is compliant against Element 2.3.

The organisation has demonstrated that it has a defined process to fully inform students with the required information prior to enrolment. Information is provided in course information flyers and student and employer handbooks.

### 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:**

- Client consultation form
- Meeting individual learner needs policy
- Course outline
- Employer information handbook
- Employer consultation forms
- Training plan summary
- Employer engagement policy
- Employer feedback questionnaire
- Supervisor observation check sheets used as part of the assessment process
### 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.

- Client contract

**Findings**

The organisation is compliant against Element 2.4.

The organisation has a defined strategy for the engagement of the employer during the initial consultation stage and development of the delivery proposal. Supervisor responsibilities for the support of the learners are defined and agreed upon with the client. Supervisors contribute to the learner’s training and assessment through the provision of on the job training and completion of 3rd party reports as well as verification of assessment events and results.

### 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:**

- Support services policy and procedure
- Support services referral list
- Individual learner needs policy
- LNN assessment
- Student information handbook
- Access and equity policy
- Flexible learning and assessment strategies
### 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.

- Monthly phone support and trainer contact through workshops and site assessments

**Findings**

The organisation is compliant against Element 2.5.

The organisation has defined its support services and strategies for ensuring that learner needs are met.

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### 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.

<table>
<thead>
<tr>
<th>Intent:</th>
<th>Learners will have access to their records.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Audit conclusion:</th>
<th>Compliant ☒</th>
<th>Non-compliant ☐</th>
<th>Not audited ☐</th>
<th>Not Applicable ☐</th>
</tr>
</thead>
</table>

**Evidence reviewed at audit included:**

- Student file and record management procedure
- Privacy and policy procedure
- Student information handbook – access to records p5
- VETtrack student database
- Assessment record summary

**Findings**

The organisation is compliant against Element 2.6.

The organisation’s policies ensure that students have access to their own records upon request. Mechanisms are in place for tracking student progress through assessment summaries and a student database.
## 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.

<table>
<thead>
<tr>
<th>Audit conclusion:</th>
<th>Compliant ☑</th>
<th>Non-compliant ☐</th>
<th>Not audited ☐</th>
<th>Not Applicable ☐</th>
</tr>
</thead>
</table>

Evidence reviewed at audit included:
- Complaints and appeals policy
- Complaints and appeals form
- Complaints and appeals register
- Student information handbook p4

### Findings

The organisation is compliant against Element 2.7.

The organisation has a defined complaints and appeals process that is fair. Students are provided information about the complaints and appeals process through the student handbook.

## 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.

<table>
<thead>
<tr>
<th>Audit conclusion:</th>
<th>Compliant ☑</th>
<th>Non-compliant ☐</th>
<th>Not audited ☐</th>
<th>Not Applicable ☐</th>
</tr>
</thead>
</table>

Evidence reviewed at audit included:
- Client contract
- Fee for service agreement
- Management system supported by policy and procedures and management reviews
- Mid point survey
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.

- Quality indicator student and employer surveys
- Student information handbook
- Employer information handbook

Findings

The organisation is compliant against Element 3.1.

The organisation has defined strategies in place for monitoring agreed service levels through student and employer feedback and routine review of training delivery performance via the monthly management review.

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

Intent: The management system ensures that the applicant will meet:
- The AQTF Essential Conditions and Standards for Continuing Registration
- Legislation and regulations under which it is registered, and that it will systematically improve performance against the AQTF Essential Conditions and Standards for Continuing Registration.

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

Evidence reviewed at audit included:
- Quality management policy and procedure
- Monthly management review agenda
- Validation schedule (for review of compliance)
- Internal audit – validation schedule
- Quality indicator surveys
- AQTF legislation policy and procedure
- Action request form

Findings

The organisation is compliant against Element 3.2.

The organisation has demonstrated that it has a policies and procedures for quality management system and strategies for continual improvement. This is achieved through scheduled review of operations and compliance with AQTF standards, regular monthly reviews, review of feedback from students and employers as well as a process for continuous improvement using the Action Request form.

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 ☒

No subcontracting of training and assessment services to other organisations
### 3.4 The applicant has a defined strategy and process to manage records to ensure their accuracy and integrity.

<table>
<thead>
<tr>
<th>Intent:</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit conclusion:</td>
<td>Compliant ✗ Non-compliant ☐ Not audited ☐ Not Applicable ☐</td>
</tr>
</tbody>
</table>

Evidence reviewed at audit included:
- Records management policy and procedure complying with VRQA guidelines.
- Student file record management policy and procedure
- VETtrack student database
- External hard drive backup
- Backup copy kept of site

**Findings**

The organisation is compliant against Element 3.4.

The organisation has a records management procedure to ensure that records are maintained to ensure their accuracy and integrity. The strategy includes the maintenance, protection, safeguarding and retention of student records in hard copy and electronic format.