

AQTF Audit Report - Continuing Conditions of Registration

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AUSTRALASIAN DRILLING INSTITUTE – NTIS # 31440

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

RTO details				
Legal name	Australasian Drilling Institute Pty Ltd		Registration expiry	9/4/12
RTO contact	Roz Gilroy, RTO Business Manager		Phone	(07) 4032 2175
Audit team				
Lead auditor	Amanda Fairweather			
Phone	(07) 3237 1764	E-mail	amanda.fairweather2@deta.qld.gov.au	
Audit details				
Audit number	31440-12	Conditions audited	1 - 9	
Other audit notes	<ul style="list-style-type: none"> The RTO applied to add RII30111 Certificate III in Surface Extraction Operations and BSB51307 Diploma of Occupational Health and Safety (assessment only) and RII60409 Advanced Diploma of Drilling Management (assessment only) to their scope. The RTO delivers face to face, within the workplace and online. The RTO delivers in Papua New Guinea, Thailand, Indonesia, Egypt, Zambia, Tanzania and Laos. The RTO intends to enter into a partnership and deliver under a training contract. 			
Audit date	24/2/12	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	20/3/12	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			
Opportunity for Improvement	It is recommended that the training product codes for all courses be included on the RTO's price list.			

Condition 1 - Governance

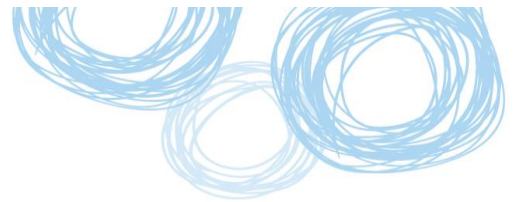
 At time of audit: **Compliant** **Not Compliant**

Description of evidence sighted:

- Trainers Conference held on 27 October 2011 with AQTF audit results, AQTF standards and risk management as agenda items.
- Continuous Improvement Register.
- Minutes of Management Meeting with the RTO's trainers and support staff.
- Fit and proper person requirements declaration for Jacqueline Wade - Office Manager, Rosalind Gilroy – RTO Business Manager, Rachel Fryer – Director and Ilisavani Cava – Director.

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. 	<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

Following rectification: Compliant Not Compliant

Description of evidence sighted:

- Copies of RTO Update Forms.
- Copy of 2011 audit report with minor compliance and compliant outcome following rectification.
- Emails regarding the provision of quality indicator data reports and AQTF Learner and Employer Surveys for 2010.
- Ownership, management structure and control of the organisation form.
- Student Records Procedure.

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

Summary of non-compliances

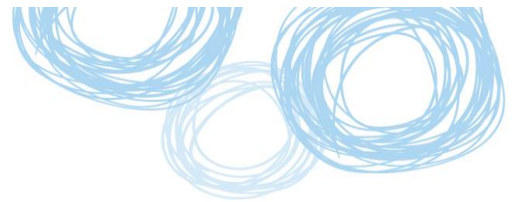
- The RTO's student records procedure is not consistent with the registering body's requirements.
- The RTO has not provided evidence of its financial viability.

Rectification required

- The RTO is required to provide evidence of its retention, archiving, retrieval and transfer of records which is consistent with the registering body's requirements.
- The RTO is required to provide a statement demonstrating its financial viability, and/or its annual financial statements, and/or a business plan.

Rectification received

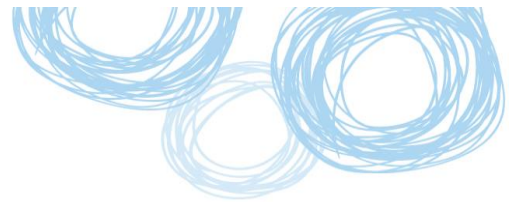
- Financial Statements for the year ended 2010 and 2011 prepared by WHK Pty Ltd Chartered Accountants.
- Statement of financial viability by WHK Pty Ltd Chartered Accountants.
- Archiving (Student Files and Computer Records) Procedure.
- Retrieval and Reprinting Issued Certificates Procedure.



- Management of Student Results and Assessment Records – Retention, Archiving and Retrieval Policy.
- Management of Student Results and Assessment Records – Change of Ownership / Cessation of Operations Policy.

Condition 3 – Compliance with Legislation		
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"> • New Employee Workplace Induction with reference to applicable legislation, AQTF standards and VET requirements. • Trainers Conference held by the RTO on 27 October 2011 with legislative requirements as an agenda item. • Student Orientation Checklist however there is no reference to VET legislation. 		
Evidence checklist:		
Evidence provided confirms:		Y N
<ul style="list-style-type: none"> ▪ 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"/>
<ul style="list-style-type: none"> ▪ 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		
<ul style="list-style-type: none"> • The RTO has failed to provide evidence of how it informs its clients of legislative and regulatory requirements that affect their participation in vocational education and training. 		
Rectification required		
<ul style="list-style-type: none"> • The RTO is required to provide evidence of how it informs its clients of legislative and regulatory requirements that affect their participation in vocational education and training. 		
Rectification received		
<ul style="list-style-type: none"> • Student Handbook detailing the legislative and regulatory requirements which affect clients' participation in vocational education and training. 		

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"> • Certificate of Currency for Public Liability Insurance to the value of \$10,000,000 for the period 31/8/11 to 31/8/12. 		
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: Compliant Not Compliant
 Following rectification: Compliant Not Compliant

Description of evidence sighted:

- Enrolment Form for the Drilling Pre-Industry Training Course

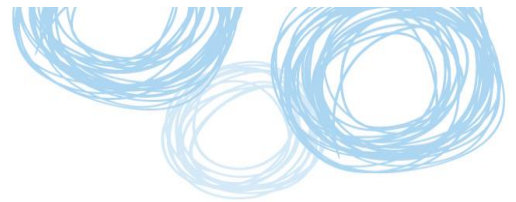
Evidence checklist:

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. 	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<ul style="list-style-type: none"> ▪ The RTO must clearly express the following fee information to each client in a language that clients understand: <ul style="list-style-type: none"> 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. 	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<ul style="list-style-type: none"> ▪ 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"/>

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:	Y	N
<ul style="list-style-type: none"> ▪ Where the RTO collects fees in advance it must ensure it complies with one of the following options: <ul style="list-style-type: none"> <input type="checkbox"/> Option 1 – The RTO is administered by a state, territory or commonwealth government agency, or <input type="checkbox"/> Option 2 – The RTO holds current membership of an approved Tuition Assurance Scheme, or [Option not currently possible] <input checked="" 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 	<input type="checkbox"/>	<input type="checkbox"/>



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.]

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.

Summary of non-compliances

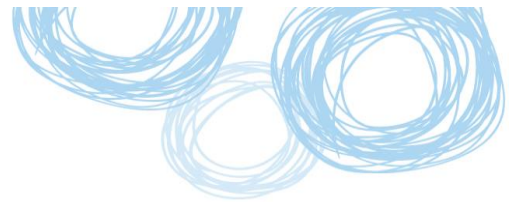
- The RTO has failed to provide:
 - The total amount of all fees including course fees, administration fees, materials fees and any other charges;
 - The nature of the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification 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 upon completion of training and assessment;
 - Financial accounts certified by a qualified Accountant to Australian Accounting Standards and a statement of financial viability.

Rectification required

- The RTO is required to provide:
 - The total amount of all fees including course fees, administration fees, materials fees and any other charges
 - 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 upon completion of training and assessment
 - Financial accounts certified by a qualified Accountant to Australian Accounting Standards and a statement of financial viability.

Rectification received

- Financial accounts certified by WHK Accountants Pty Ltd.
- Statement of financial viability by WHK Accountants Pty Ltd.
- Fees and charges for the issuance of a replacement qualification testamur, resit or additional tuition.
- Price list for all course fees, administration and material fees.
- Student Handbook detailing assistance provided for language, literacy and numeracy difficulties and meeting individual needs.



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:

- Statement of Attainment and Qualification Templates.
- AVETMISS Submission dated 31 October 2011.
- Policy and Procedures Manual.
- Student Records Procedure.

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"/> <input checked="" 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 type="checkbox"/> <input checked="" type="checkbox"/> 		
<p>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"/></p>		
<p>▪ 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. [Not required by Department of Education and Training.] <input type="checkbox"/> <input type="checkbox"/></p>		
<p>▪ The RTO must meet the requirements for implementation of a national unique student identifier. [Not required until implementation plan is published on www.training.gov.au] <input type="checkbox"/> <input type="checkbox"/></p>		

Summary of non-compliances

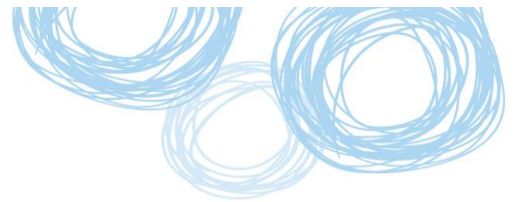
- The Statement of Attainment template provided does not meet Australian Qualification Framework requirements.
- The evidence provided does not specify that client records are retained by the RTO for a period of 30 years.

Rectification required

- The RTO is required to provide evidence that its Statements of Attainment meet AQF wording requirements.
- The RTO must provide evidence that it retains client records of attainment of units of competency and qualifications for a period of 30 years.

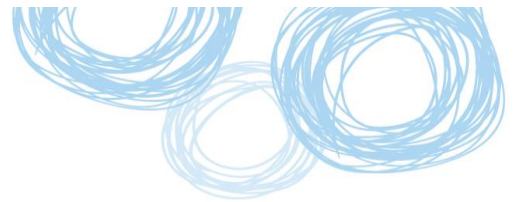
Rectification received

- Statement of Attainment template
- Management of Student Results and Assessment Records – Retention, Archiving and Retrieval Policy.



Condition 7 – Recognition of Qualifications Issued by Other RTOs		
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"> Enrolment Form 		
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 type="checkbox"/>	<input checked="" type="checkbox"/>
Summary of non-compliances		
<ul style="list-style-type: none"> The RTO's Enrolment Form refers to RPL information detailed in the Student Handbook however this was not included in the evidence provided. 		
Rectification required		
<ul style="list-style-type: none"> The RTO is required to provide a copy of its Student Handbook to support its evidence of RPL and credit transfer. 		
Rectification received		
<ul style="list-style-type: none"> Student Handbook details the recognition of AQF Qualifications and Statements of Attainment issued by other RTOs. 		

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"> Registration notice 78 regarding ethical and accurate marketing of RTO services signed by employees of the RTO. Photo release form. Newspaper advertisement. Certificate III in Drilling Operations brochure. 		
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. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> 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 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"> • Organisation Detail Report • Learning and Assessment Strategy for RII50609 Diploma of Drilling Operations 			
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. 	<input type="checkbox"/>	<input checked="" 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"> • The documentation provided did not include how the RTO would manage the transition of superseded training packages and accredited courses within 12 months. 			
Rectification required			
<ul style="list-style-type: none"> • The RTO must provide evidence of how the RTO would manage the transition of superseded training packages and accredited courses so that it delivers only currently endorsed training packages or accredited courses. 			
Rectification received			
<ul style="list-style-type: none"> • Policy for Transition to New Versions of Training Package Qualifications / Accredited Courses. 			