

**RTO NAME:** Flexible Training Solution Pty Ltd **TOID:** 6333

**CONTACT:** Pat Sincock

**CONTACT PHONE NUMBER:** 03 9857 7852

**AUDIT TYPE (please tick):**

Application for Registration

Compliance

Providers registered to deliver Vocational  
Education and Training to Overseas Students

Extension to Scope

Strategic Industry Audit

Special

COURSE/QUALS (Code and title)	SITE/S	AUDIT DATE	AUDITOR/S (initials)
TDT30202 Certificate III in Transport (Road Transport) TDT30102 Certificate III in Transport and Distribution (Warehousing and Storage)	4 Parkview Pl, Doncaster. Startrack Express, Tullamarine	3-4 May 04	GD

**FINDINGS:**

Fully compliant.

The audit was conducted with the assistance of Vince Rio as industry expert.

The RTO is ISO quality assured.

An outstanding example of how traineeships should work, particularly in regard to individual planning, delivery and assessment.

**AUDITOR/S SIGNATURE/S:**

**DATE:** 11 May 2004

**AUDITOR/S NAME/S:** Gordon Dadswell

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	a. The RTO must keep written policies and procedures for ensuring quality training and assessment consistent with its scope of registration and scale of operations.	Yes		Policy and Procedures written in the format required for ISO.
	b. The Chief Executive must ensure that the policies and procedures are circulated, understood and implemented consistently throughout the RTO.	Yes		Requirement in CEO position description. Evidence clearly demonstrated during interviews with staff.
<b>1.2</b>	The RTO must designate a person, with direct access to the RTO's Chief Executive, who has defined responsibility and authority to:	Yes		
	I. Ensure that the RTO complies with the <i>Standards for Registered Training Organisations</i> across all of its operations and in all of its training/assessment activities, including those undertaken by other persons or bodies on its behalf;	Yes		
	II. Ensure that the RTO provides for examination of documentation and reasonable access to all areas, records (including internal audit reports) and staff as required by the registering body for the purposes of audit;	Yes		
	III. Report to the Chief Executive on the RTO's compliance with the <i>Standards for Registered Training Organisations</i> ; for review and as a basis for improvement;	Yes		
	IV. Apply to the State or Territory registering body that has registered it for any extension to scope of registration;	Yes		
	V. Provide details, upon the request of the State or Territory registering body that has registered it, of all operations within its scope of registration including operations in other States or Territories and outside Australia;	Yes		
	VI. Advise the State and Territory registering body that has registered it that the RTO has commenced operations in any other State or Territory within 21 days of commencing the interstate operations; and	Yes		
	VII. Provide the State or Territory registering body that has registered it with accurate and timely information regarding registration and compliance (including major changes to the RTO's system or staffing profile, relocation of the RTO, financial difficulties and transfer of client records).	Yes		

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1.3	a. The RTO must have an organisational chart and duty statements or terms of reference that show the lines of authority in the RTO, the responsibility and allocation of functions.	Yes		
	b. The organisational chart and duty statements must set out the role that each staff member of the RTO has in implementing and maintaining the RTO's training and/or assessment system.	Yes		
1.4	a. The RTO must conduct an internal audit* of its compliance with these Standards and the policies and procedures mentioned in 1.1 a at least annually.	Yes		
	b. The RTO's Chief Executive must review the RTO's compliance with these Standards at least annually.  <i>AS 39 11:1 provides guidance on conducting internal audits (see Useful Resources), alternatively the RTO may conduct self-assessments of equivalent rigour.</i>	Yes		
1.5	The RTO must document and implement policies and procedures for dealing with customer complaints, grievances and appeals in a constructive and timely manner. The policies and procedures must ensure that:			Procedure from RTO fully understood by Trainees.
	I. Each complaint, grievance, appeal and its outcome is recorded in writing;	Yes		
	II. Each appeal is heard by an independent person or panel; and	Yes		
	III. Each appellant:			
	a) has an opportunity to formally present his or her case; and	Yes		
	b) is given a written statement of the appeal outcomes, including reasons for the decision.	Yes		
1.6	a. The RTO must have, and comply with, a written agreement with each organisation that provides training and/or assessment on behalf of the RTO***.	N/A		No agreements
	b. The agreement must specify how each party to the agreement will discharge its responsibilities for compliance with the Standards for Registered Training Organisations.	N/A		As above
	c. The RTO must maintain a register of all agreements made under subsection 1.6 a.  <i>***For example through partnership arrangements with industry, schools, other providers of education and training. It is not intended that such partnership arrangements be used by the RTO as the mechanism for expanding its scope of registration.</i>	N/A		As above
1.7	I. The RTO must have a written plan for its business that is consistent with its scope of registration and scale of operations.	Yes		

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<b>1.8</b>	The RTO must document and implement procedures to:			
	I. Identify and manage risks concerned with compliance with the <i>Standards for Registered Training Organisations</i> ; and	Yes		
	II. Correct and prevent any failure to comply with the <i>Standards for Registered Training Organisations</i> and the RTO's quality system, policies or procedures.	Yes		
<b>1.9</b>	a) The RTO must collect and analyse stakeholder and client feedback and satisfaction data on the services it provides; and	Yes		Outstanding collection and analysis of stakeholder information. Particularly from employers.
	b) The RTO must use the information mentioned in Standard 1.9 a to review its policies and procedures.	Yes		
<b>1.10</b>	The RTO must develop and implement written procedures relating to:			
	I. Acting on opportunities for improvement identified by any means; and	Yes		
	II. Continuous improvement of its systems.	Yes		

<b>2.1</b>	The RTO must identify and comply with relevant State or Territory laws including Commonwealth or State/Territory legislation on:	N/A		Not audited
	I. Occupational Health and safety;	N/A		As above
	II. Workplace harassment, victimisation and bullying;	N/A		As above
	III. Anti-discrimination, including equal opportunity, racial vilification, disability discrimination;	N/A		As above
	IV. Vocational education and training; and	N/A		As above
	V. Apprenticeships and traineeships.	N/A		As above
<b>2.2</b>	The RTO must ensure that its policies and procedures meet the requirements of Commonwealth or State/Territory legislation which are relevant to the RTO's operations and that:			
	I. Staff are provided with information about legislation that significantly affects their duties; and	Yes		Staff provided information through induction and weekly meetings.

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	II. Clients are provided with information about legislation that significantly affects their participation in vocational education and training,	Yes		Students provided with information through student handbook.
2.3	The RTO must ensure that it has all the insurance cover necessary to carry out its business, including insurance for workers compensation, public liability, professional indemnity, building and contents.	Yes		

3.1	The RTO must designate a person, with direct access to the RTO's Chief Executive, who has defined responsibility and authority to:	Yes		
	I. Ensure that the RTO complies with its financial management policies;	Yes		
	II. Monitor and report on compliance with its financial management policies and procedures, for review and as a basis for improvement; and	Yes		
	III. When requested, provide the State or Territory registering body that has registered it with a formal assurance that the RTO has sound financial management standards for matters related to the RTO's scope of registration and scale of operations.	Yes		
3.2	The RTO's accounts must be certified, at least annually, by a qualified accountant with membership of Certified Practicing Accountants Australia or the Institute of Chartered Accountants of Australia and, on request, the report must be made available to the State or Territory registering body that has registered the organisation.	Yes		
3.3	The RTO, if requested by the State or Territory registering body that has registered it, must obtain, and make available to the State or Territory registering body, a full audit report from a qualified independent accountant with membership of Certified Practicing Accountants Australia or the Institute of Chartered Accountants of Australia.	N/A		Not requested
3.4	The RTO must document and implement systems to protect fees paid in advance.	N/A		No fees in advance
3.5	The RTO must have fair and reasonable refund policies.	N/A		As above and no fees charged to students.

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4.1	The RTO must document and implement procedures to assure the integrity, accuracy and currency of records that include, but are not limited to:	Yes	
	I. Secure storage, including backup of electronic records;	Yes	
	II. Retention, archiving and retrieval of student results for a period of 30 years and transfer consistent with State or Territory registering body requirements;	Yes	
	III. Retention, archiving, retrieval and transfer of all other records consistent with contractual and legal requirements and the requirements of the State or Territory registering body that has registered the organisation;	Yes	
	IV. Compliance with external reporting requirements (for example the Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS));	Yes	
	V. Safeguarding any confidential information obtained by the RTO and committees, individuals or organisations acting on its behalf;	Yes	
	VI. Ensuring that, except as required under the <i>Standards for Registered Training Organisations</i> or by law, information about a client is not disclosed to a third party without the written consent of the client; and	Yes	
	VII. Access by clients to their personal records.	Yes	
4.2	The RTO must maintain up-to-date records of:		
	I. The verified qualifications and experience of all staff and persons working on behalf of the RTO as trainers and assessors;	Yes	Signatures of trainers/assessors line up with CV and other documentation
	II. Enrolments and participation and;	Yes	
	III. Fees paid and refunds given.	N/A	No fees paid by students.
4.3	The RTO must develop and implement version control procedures for managing materials that relate to its scope of registration (including Training Packages, accredited course documents and learning/assessment materials) so that:		
	I. Materials are reviewed for currency by authorised and competent staff prior to issue or re-issue;	Yes	
	II. A list of materials with the respective issue and/or amendment status identified is maintained; and	Yes	

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	III. All persons required to perform any function under the RTO's scope of registration have ready access to all necessary current materials.	Yes		

5.1	The RTO's policies and procedures must include a requirement that the RTO recognises the AQF qualifications and Statements of Attainment issued by any other RTO.	Yes		
5.2	The RTO must include its mutual recognition obligations in information to clients.	Yes		
5.3	The RTO must provide information to staff on the requirements for mutual recognition of the AQF qualifications and Statements of Attainment awarded by other RTOs.	Yes		

6.1	The RTO's policies and procedures must incorporate access and equity principles.	Yes		
6.2	a) The RTO must set out its access and equity policies in a code of practice or similar document.	Yes		
	b) The RTO must ensure that copies of any instruments developed under Standard 6.1 are provided and adhered to by staff.	Yes		
6.3	The RTO must disseminate clear information to each client, prior to enrolment, about each of the following:			Student handbook client-contextualised with excellent information on access and equity and all other requirements.
	I. Client selection, enrolment and induction/orientation procedures;	Yes		
	II. Course information, including content and vocational outcomes;	Yes		
	III. Fees and charges, including refund policy and exemptions (where applicable);	Yes		Information explains no fees charged to students.
	IV. Provision for language, literacy and numeracy assessment;	Yes		
	V. Client support, including any external support the RTO has arranged for clients;	Yes		
	VI. Flexible learning and assessment procedures;	Yes		

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	VII. Welfare and guidance services;	Yes		
	VIII. Appeals, complaints and grievance procedures;	Yes		
	IX. Disciplinary procedures;	Yes		
	X. Staff responsibilities for access and equity; and	Yes		
	XI. Recognition of Prior Learning (RPL) arrangements.	Yes		

<b>7.1</b>	The RTO must develop and implement written procedures for the recruitment, induction, and ongoing development of each member of its staff who is involved in training, assessment or client service, encourage and provide relevant opportunities for their professional development, and monitor their performance.	Yes		Exemplary process and evidence of operation. Professional development a continuous process.
<b>7.2</b>	The RTO's induction program and materials for new staff must contain information, where relevant to their job role, on each of the following:	Yes		Induction process excellent and signed off by staff.
	I. Training Packages;	Yes		Copy of packages sighted in workplace.
	II. Competency-based training and assessment;	Yes		
	III. Vocational education and training requirements and policies; and	Yes		
	IV. Requirements for New Apprenticeships/Traineeships.	Yes		
<b>7.3</b>	<b>a</b> The RTO must ensure that assessments are conducted by a person who has:			
	I. The following competencies from the Training Package for Assessment and Workplace Training, or demonstrated equivalent competencies: a BSZ401A Plan Assessment b BSZ420A Conduct Assessment; c BSZ430A Review Assessment; and	Yes		Evidence of three competencies sighted and signed off by Management.



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	II. Relevant vocational competencies at least to the level being assessed	Yes	Vocational competencies found to be current and relevant.
	<b>b</b> However if a person does not have all of the competencies in Standards 7.3 a (i) and 7.3 a (ii), one person with the competencies listed in Standard 7.3 a (i), and one or more person who have the competencies listed in Standard 7.3 a (ii) may work together to conduct assessments.	N/A	No used
<b>7.4</b>	The RTO must ensure that training is delivered by a person who:		
	I. Has all the competencies in the Certificate IV from the Training Package for Assessment and Workplace Training (or has demonstrated the equivalent competencies) or who is under the direct supervision* of a person with these competencies; and	Yes	Evidence of competencies sighted and signed off by Management.
	II. Is able to demonstrate vocational competencies at least to the level of those being delivered.  <i>Direct supervision is achieved when a person delivering training on behalf of the RTO has regular guidance, support and direction from a person designated by the RTO who has the competencies in Standard 7.4 (i) and who monitors and is accountable for the training delivery. It is not necessary for the supervising person to be present during all training delivery.</i>	Yes	Vocational competencies found to be current and relevant.

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<b>8.1</b>	<b>The RTO must ensure that assessments, regardless of whether through a training and assessment pathway or an assessment-only pathway:</b>			Assessment tools developed and designed exclusively for each employer.
	I. Comply with the Assessment Guidelines included in the applicable nationally endorsed Training Packages or the assessment requirements specified in accredited courses;	<b>Yes</b>		
	II. Lead to the issuing of a Statement of Attainment or qualification under the AQF when a person is assessed as competent against nationally endorsed unit(s) of competency in the applicable Training Package or modules specified in the applicable accredited course.	<b>Yes</b>		
	III. Comply with the principles of validity, reliability, fairness and flexibility;	<b>Yes</b>		Variety of tools used.
	IV. Provide for applicants to be informed of the context and purpose of the assessment and the assessment process;	<b>Yes</b>		Participants advised at commencement of program and reminded during course.
	V. Where relevant, focus on the application of knowledge and skill to the standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills;	<b>Yes</b>		Outstanding examples of assessment in workplace directly related to requirements of workplace performance.
	VI. Involve the evaluation of sufficient evidence to enable judgements to be made about whether competency has been attained;	<b>Yes</b>		Excellent relationship between theoretical and practical requirements.
	VII. Provide for feedback to the applicant about the outcomes of the assessment process and guidance on future options;	<b>Yes</b>		Feedback documented.
	VIII. Are equitable for all persons, taking account of cultural and linguistic needs; and	<b>Yes</b>		No translators required.
	IX. Provide for reassessment on appeal	<b>Yes</b>		

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<b>8.2</b>	<b>a</b>	The RTO must ensure that RPL is offered to all applicants on enrolment.	<b>Yes</b>		
	<b>b</b>	The RTO must have an RPL process that:	<b>Yes</b>		
		I. Is structured to minimise the time and cost to applicants; and	<b>Yes</b>		
		II. Provides adequate information and support to enable applicants to gather reliable evidence to support their claim for recognition of competencies currently held, regardless of how, when or where the learning occurred.	<b>Yes</b>		RPL kit sighted and where an existing employee the procedure and documentation was excellent.

<b>9.1</b>	<b>a)</b>	The RTO must develop and implement strategies for training delivery and assessment for each Training Package qualification and accredited course within the RTO's scope of registration*. <i>*alternatively, for partial qualification, if the RTO's scope is defined by one or more units of competency rather than a complete qualification.</i>	<b>Yes</b>		The RTO has an overall strategy. There is also an individual training program for each trainee that actually reflects the specific strategies to be used for that trainee.
	<b>b)</b>	The assessment strategies referred to in Standard 9.1 a, must be developed in consultation with enterprises/industry.	<b>Yes</b>		Consultation with industry occurs weekly, monthly and annually depending on client.
	<b>c)</b>	The delivery and assessment strategies referred to in Standard 9.1 a should identify proposed target groups, delivery and assessment modes and strategies, assessment validation processes and pathways.	<b>Yes</b>		
	<b>d)</b>	The RTO must document the strategies referred to in Standard 9.1 a on application for registration and on extension of scope.	<b>N/A</b>		No additions to Scope undertaken.
<b>9.2</b>		The RTO must validate its assessment strategies by:			
	<b>I.</b>	Reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgements made by a range of assessors against the same competency standards**, at least annually; and	<b>Yes</b>		Reviewing process is outstanding with involvement from industry experts. Reviewing is on-going.
	<b>II.</b>	Documenting any action taken to improve the quality and consistency of assessment. <i>**These may be internal processes with stakeholder involvement or external validations with other providers and/or stakeholders.</i>	<b>Yes</b>		

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9.3			
<b>9.3</b>	The RTO must ensure that in developing, adapting or delivering training and/or assessment products and services:		
	I. Methods used to identify learning needs, and methods for designing training and assessment, are documented;	<b>Yes</b>	Documentation sighted indicating intensive discussions with employers and trainees in terms of requirements.
	II. The requirements of the Training Package or accredited course are met;	<b>Yes</b>	
	III. Core and elective units, as appropriate, are identified;	<b>N/A</b>	Not applicable as all competencies are electives.
	IV. Customisation meets the requirements specified in the relevant Training Package or, for accredited courses, meets the NTQC customisation policy;	<b>N/A</b>	No customisation carried out. Strong evidence of contextualisation see VIII below.
	V. Language, literacy and numeracy requirements develop the learning capacity of the individual and are consistent with the essential requirements for workplace performance specified in the relevant units of competency or outcomes of accredited courses;	<b>Yes</b>	Language and literacy process linked to employers procedures.
	VI. Delivery modes and training and assessment materials which meet the needs of a diverse range of clients are identified;	<b>Yes</b>	See VIII below
	VII. Where assessment or training is conducted in the workplace, the RTO negotiates the delivery and assessment strategy with the employer and learners; works with the employer to integrate any on-the-job training and assessment; and schedules workplace visits to monitor/review the training and assessment;	<b>Yes</b>	Excellent documentation of negotiated strategies.
	VIII. Where an Apprenticeship/Traineeship Training Contract is in place or being negotiated, individual Training Plans are developed, documented, implemented and monitored for each apprentice or trainee, encompassing all relevant off-the-job training and structured workplace training; and	<b>Yes</b>	Training plan is absolutely individualised. There is also excellent evidence of plans changing as needs change within the organisation.
	IX. Where assessment or training is conducted on-line or by distance, the RTO has effective strategies for learner support, monitoring and assessment.	<b>N/A</b>	No online or distance assessment or training.

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<b>9.4</b>	The RTO must have access to the staff, facilities, equipment, training and assessment materials required to provide the training and/or assessment services within its scope of registration and scale of operations, to accommodate client numbers, client needs, delivery methods and assessment requirements (including off-campus and on-line).	<b>Yes</b>		Documentation sighted demonstrating that requirements of package are met.
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<b>10.1</b>	The RTO must only issue AQF qualifications and Statements of Attainment that are within its scope of registration and that certify the achievement of:			
	I. Qualifications or industry/enterprise competency standards from nationally endorsed Training Packages; or	<b>Yes</b>		
	II. Qualifications, competency standards or modules specified in accredited courses	<b>Yes</b>		No courses delivered.
<b>10.2</b>	The RTO must issue, record and report AQF qualifications and Statements of Attainment that:			
	I. Meet the requirements in the current <i>AQF Implementation Handbook</i> , including the national codes;	<b>Yes</b>		
	II. Identify the units of competency from Training Packages, or competencies or modules from accredited courses, that the client has attained; and	<b>Yes</b>		
	III. Identify the RTO by its national provider number.	<b>Yes</b>		

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<b>11.1</b>	The RTO must use the Nationally Recognised Training (NRT) logo:			
	I. On AQF qualifications and Statements of Attainment issued within its scope of registration; and	<b>Yes</b>		
	II. In accordance with the Nationally Recognised Training Logo Specifications.	<b>Yes</b>		
<b>11.2</b>	The RTO uses the NRT logo in advertisements only where it complies with the requirements of Standard 11.1 (ii) and Standard 12.	<b>Yes</b>		
<b>11.3</b>	The RTO uses any of the following statements in advertisements only in respect of training and/or assessment within its scope of registration:			No advertising.
	I. 'Nationally Recognised Training';	<b>N/A</b>		Not used
	II. '(recognition authority) Recognised Training;' and	<b>N/A</b>		Not used
	III. Registered by (the recognition authority) to issue the following qualifications....'	<b>N/A</b>		Not used
<b>11.4</b>	The RTO must use the logo of the recognition authority only in accordance with the recognition authority's conditions of use.	<b>N/A</b>		Not used

<b>12.1</b>	The RTO's marketing material must be accurate and approved by a duly authorised member of the RTO's staff.	<b>Yes</b>		
<b>12.2</b>	The RTO must obtain prior written permission from any person or organisation for use of any marketing or advertising material, which refers to that person or organisation, and abides by any conditions of that permission.	<b>N/A</b>		Not used as no advertising or marketing carried out.
<b>12.3</b>	The RTO must accurately represent to prospective clients training products and services that lead to AQF qualifications or Statements of Attainment, and ensure that advertised outcomes are consistent with these qualifications.	<b>Yes</b>		
<b>12.4</b>	The RTO must advertise AQF qualifications only if they are included in the RTO's scope of registration and must not state or imply that services are within that scope if they are not.	<b>Yes</b>		

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12.5	The RTO's marketing and advertising material must identify training and assessment services leading to AQF qualifications and/or Statements of Attainment separately from any other training/assessment			
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No recommendations	
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**DECLARATION OF CONFIDENTIALITY AND NO CONFLICT OF INTEREST**

AUDIT OF FLEXIBLE TRAINING SOLUTIONS

I, GORDON DADSWELL of P.O. Box 277, WARRAGBUL.

- (a) Declare that to the best of my knowledge I do not have:
- Any personal bias or inclination which would in any way affect my judgement in relation to the audit.
  - Any personal obligation, allegiance or loyalty which would in any way affect my recommendations in relation to the audit.
- (b) Undertake to keep confidential any information that comes into my possession or under my control in connection with this audit.



Signature of Auditor: .....

Date: 3/5/04 .....

**ACKNOWLEDGEMENT by Organisation** being audited that the Declaration has been sighted.

Signature of representative of Organisation being audited:

P Sincock .....

Name of representative of Organisation being audited:

PAT SINCOCK .....

Date: 3/5/04 .....

**DECLARATION OF CONFIDENTIALITY AND NO CONFLICT OF INTEREST**

AUDIT OF Flexible Training Solutions

I, Vince Rio of AUS Consulting Pty Ltd

- (a) Declare that to the best of my knowledge I do not have:
- Any personal bias or inclination which would in any way affect my judgement in relation to the audit.
  - Any personal obligation, allegiance or loyalty which would in any way affect my recommendations in relation to the audit.
- (b) Undertake to keep confidential any information that comes into my possession or under my control in connection with this audit.

Signature of Auditor: [Signature]

Date: 3/5/04

**ACKNOWLEDGEMENT by Organisation** being audited that the Declaration has been sighted.

Signature of representative of Organisation being audited:

[Signature]

Name of representative of Organisation being audited:

PAT SINCOCK

Date: 3/5/04