

AUDIT DATE	4 TH JULY 2011	RECTIFICATION RECEIVED	19 JULY 2011
------------	---------------------------	------------------------	--------------

QUALIFICATIONS AUDITED

AUDIT OUTCOME							RECTIFICATION			
QUALIFICATION CODE	QUALIFICATION NAME	WAS NON-COMPLIANCE IDENTIFIED?		IF YES NON-COMPLIANCE TYPE			SUMMARY OF NON-COMPLIANCE	ACTIONS TAKEN TO RECTIFY THE NON-COMPLIANCE	HAS THE NON-COMPLIANCE BEEN RECIFIED?	
		<input type="checkbox"/> YES	<input type="checkbox"/> NO	MINOR	SIGNIFICANT	CRITICAL			<input type="checkbox"/> YES	<input type="checkbox"/> NO
	ALL QUALIFICATIONS ON SCOPE AT THIME OF AUDIT	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO
							<p>There is no clear indication of 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</p>	<p>Signed original of the financial management checklist.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Participant fees and refund policy. <input type="checkbox"/> Full fees list outlining payment structure and fees are required for issuance of a replacement qualification/testamur and the options available to students who are deemed not yet competent. <input type="checkbox"/> An individual and company memorandum of agreement with the RTO which contain a guarantee the RTO will complete the training and/or assessment once it has commenced. <input type="checkbox"/> A business financial management policy which stipulates that the RTO will 	<input checked="" type="checkbox"/> YES	

								manage a separate bank account to hold fees to meet the needs of any requested refunds.			
								Certificate of public liability insurance with a value of \$10 million which expired on 4 March 2011.	A certificate of currency for public liability insurance to the value of \$10 million and an expiry date of 4 March 2012.	<input checked="" type="checkbox"/> YES	
		<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Some policies and procedures relating to staff meetings, to include how trainers and assessors contribute to decision making. Staff meeting agenda, insufficient evidence to demonstrate the dissemination of information to staff.	A compliance policy which outlines how the RTO will maintain compliance with all required legislation across its operations. The policy demonstrates how the RTO will gather knowledge of legislative updates and how this will be disseminated. A continuous improvement policy outlining how input from trainers/assessors will be received and moderated The engagement of a consultant to conduct regular internal audit reviews	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO

Explanatory notes:

- Minor: minimal or no serious adverse impact on students and/or persons affected by the outcomes of the training and assessment services provided
- Significant: serious or potentially serious adverse impact on students and/or persons affected by the outcomes of the training and assessment services provided.
- Critical: an actual or potential critical adverse impact on students and/or persons affected by the outcomes of the training and assessment services provided

