



NSW Vocational  
Education & Training  
Accreditation Board

# **AQTF 2007 Compliance Audit Report**

Targett Retail Training Pty Ltd

15 September 2010

## AQTF AUDIT REPORT

RTO DETAILS					
RTO Legal Name	Targett Retail Training Pty Ltd		NTIS Number	90731	
Trading name	Targett Training		Business No		
	ACN	086 170 998	ABN	25 086 170 998	
Street address	24 Southwood Place, WEST PENNANT HILLS NSW			Postcode	2125
Postal address	P O Box 1772 CASTLE HILL NSW			Postcode	1765
Phone	1300 736 005, 02 9659 5313		Fax	02 9659 5314	
E-mail	info@targettraining.com.au		Website	<a href="http://www.targettraining.com.au">www.targettraining.com.au</a>	
Registration contact <small>Person responsible for registration matters</small>	Name	Marie Yardin Louise Targett	Position	Training Supervisor CEO	
Student numbers <small>Currently enrolled</small>	BSB30504 49 SIR20207 71	BSB40807 34 SIR40207 10	BSB41004 40 TAA40104 32	WRR30102 119	

AUDIT TEAM			
Lead auditor	Blaine Gordon	Auditor(s)	Robyn Trigg
Technical advisor(s)	N/A	Observer(s)	N/A

REGISTERING BODY DETAILS			
Contact person	Gwendoline Bennett		
Phone	02 9244 5305	E-mail	Gwendoline.Bennett@det.nsw.edu.au

AUDIT DETAILS	
Type of audit	Renewal
Standards audited	AQTF 2007 stds 1, 2, 3
Conditions audited	1 - 9
Audit date(s)	15 September 2010

INTRODUCTION
<p>Louise Targett, the CEO of Targett Retail Training was employed by various shopping centres such as AMP, Lendlease and Westfield centres prior to becoming an RTO operator. In that role, she had received a number of professional awards. She established the RTO with the intention of delivering training to the retail sector. Louise was the main sales person and trainer/assessor and she received some assistance from apprenticeship centres.</p> <p>The first traineeship enrolments came on line in 2004 /2005. Then, once the RTO was generating around \$50, 000 a year and starting to grow, Louise employed other trainer/assessors and she became office manager. She continued to do a level of training until 2007 when her first child was born. Targett Retail Training now has 20 trainer/assessors, all of which are on contract on an as needed basis. These staff have been employed via Seek.com and personal recruitment by Louise who says that she recruits at a high level of ability and experience and pays \$100 + per hour.</p> <p>Now 90% of training business is Nationally Recognised Training and the main candidates are existing workers. The RTO focuses on delivery of hands-on workshops and is proud of its high completion rates. Major clients include Blackwoods (Bunnings), WIS (Wesfarmers Industrial Safety), Pet Barn (NSW only) Charlie Brown and Bally. Other clients include About Life (an organic supermarket), Showcase Group (Australia's largest independent jeweller buying group that sells to small retail jewellers), Pool Werx (independent poolwork franchisers) and Qantas (for delivery of Certificate IV in Business). Flower Power Nurseries and Souvenir World Group have also been major clients.</p> <p>Nursing Homes are a new client target group for delivery of front line management training programs. The first call for</p>

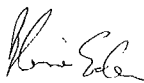
training came from Bosley Park Nursing Home, (owned by the Domain Group) who requested front line management training for 20 staff. The RTO currently has Bankstown Aged Care and Goondee Aged Care (3 – 4 facilities) and is rolling out their monthly workshop sessions.

Targett Retail Training has partnerships with Training Experts Australia and National Retail Association. The second partnership has proven unsuccessful but it has maintained a relationship with Food Works. Louse has always had a professional relationship with the national and Australian Retail Associations and she lectures to them at various times.

FOCUS OF AUDIT		
NTIS Code	Qualification(s), Unit(s) of competency, Accredited course(s) as per NTIS	Delivery site(s)
TAA40104	Certificate IV in Training & Assessment	Corporate client workplace/ training venues throughout Australia
TAE40110	Certificate IV in Training & Assessment	
BSB40807	Certificate IV in Frontline Management	
SIR20207	Certificate II in Retail	
SIR40207	Certificate IV in Retail Management	
WRR30102	Certificate III in Retail Supervision	

INTERVIEWEES		
Staff (name and position), Employers (name and position), Students (by program only; do not list by name)		
Name	Position	Program (qualification, course, etc)
Louise Targett	CEO	All
Jennifer Hindmarsh	Training Administrator	All
Kathryn Holder	Administration Co-ordinator	All

SUMMARY OF AUDIT
<p>This audit was conducted under Section 22 of the NSW Vocational Education and Training Act 2005 (the VET Act) to assess compliance with the Australian Quality Training Framework Essential Standards for Registration. The Conditions of Registration were also audited.</p> <p><b>Audit Outcome</b>  <b>2010-09-30</b> The organisation <b>has</b> demonstrated compliance with the relevant AQTF Essential Standards and Conditions of Registration.</p>

AUDITOR'S RECOMMENDATION					
<p><b>2010-09-30</b> That, under the relevant section of the VET Act 2005, the organisation's application be <b>approved</b> .</p>					
Auditor's Name	Blaine Gordon	Signature		Date of Report	30 September 2010

## ESSENTIAL STANDARDS

### Standard 1: The RTO provides quality training and assessment across all of its operations

Audit conclusion	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

The RTO has a well-controlled system of delivering training and assessment through an Australia-wide network, which ensures a quality outcome for its clients.

#### Strengths:

The CEO's many years experience in retail operations provide a solid background and ensures the RTO remains closely aligned with on-going industry needs.

### Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients

Audit conclusion	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

The RTO ensures that individual student needs remain a foremost focus, and that principles of access and equity are major drivers in the RTOs' delivery.

### Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates

Audit conclusion	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

The RTO has in place appropriate management systems which are continually monitored and improved, in response to input from all stakeholders.

#### Opportunities for Improvement:

The AQTF Risk Identification Register could include Conditions of Registration (especially with the new AQTF standards). Future documented agreements with partnered RTOs should include more details about specifics of delivery, and about monitoring arrangements.

## ESSENTIAL STANDARDS AND ELEMENTS

### Standard 1: The RTO provides quality training and assessment across all of its operations

#### 1.1 The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Sighted attendance record from sessions with trainer comments attached (one page report) eg BSBCUS401A 4/6/09, BSBMTG401A 26/5/10. Progress reports are sent to client with any actions noted. Trainer evaluation forms sampled evaluate the training/ assessment as delivery of session introduction, body of the session, the various session activities conducted, a summary of findings and assessment of micro-skills such as speech volume, clarity, pace, rhythm, pauses, mannerisms and a number of additional comments not directly linked to criteria

Learner evaluation & feedback form (sighted examples, see std 3.3). Generally if an unsatisfactory opinion was expressed, the form has notes on it from RTO about reason/ action.

When national quality indicators (QI) were introduced, the RTO moved entirely to the ACER system instead of their previous evaluation form. The RTO found the quality of feedback from QI was insufficient to provide basis of continual improvement. So they have moved back to old system for mid-course evaluation and use QI for end of course.

#### Findings:

The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.

#### 1.2 Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry stakeholders.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Register of Training Packages (version control for TPs)

#### Retail (training packages WRR02 and SIR07)

Learning and Assessment Strategy (LAS) for SIR20207 Certificate II in Retail/ SIR30207 Certificate III in Retail/ SIR40207 Certificate IV in Retail Management (single document), and similarly for WRR02 (being phased out).

Includes unit packaging (which is training package compliant), Target Audience, Consultation Contributing to Development of Learning and Assessment Strategy, Delivery Arrangements, Assessment Arrangements, Schedule, Infrastructure Requirements, Department of Immigration & Citizenships, Delivery and Assessment Staff, Assessment Validation Process, Pathways, Monitoring and Evaluation, Underpinning Skills, Resources, Course Content.

#### Business - BSB31207 Certificate III in Frontline Management and BSB40807 Certificate IV in Frontline Management (V1 Sept 2009)

Learning and Assessment Strategy for BSB31207 Certificate III in Frontline Management/ BSB40807 Certificate IV in Frontline Management (single document.)

- Strategies show correct packaging, clearly identify target audience and explains consultation (with other RTOs and with relevant existing clients contributing to the strategy development and the delivery arrangements. The program will typically be delivered over a minimum 10 month period using a blend of on and off the job approaches, combined group learning sessions with self directed reading, summative assessment projects and research activities allowing 238 hours BSB31207 and 380 hours for BSB40807. For trainees there is a minimum of 16 hours of face to face group training sessions for BSB31207 and 20 hours of face to face group training sessions for BSB40807. Assessment arrangements are also clearly explained. Infrastructure requirements are listed and D/A staff are identified in a matrix attachment.
- Other items sighted include Training Schedule Calendars showing dates, times, client title, program group and venue all colour coded to specific trainer/assessors. (sighted for September/October/November 2010)

Industry consultation: history included in LAS, eg. SIR07: Wesley Institute, Training Specialists Australia, Independent industry consultants, Bias Boating Warehouse, Petbarn, Shady Haze (eg. emails sighted).

See also std 2.3 re process for customising strategies for corporate clients.

#### **TAA40104 Certificate IV in Workplace Training & Assessment Strategy – Course Outline**

- Includes course description, pre-requisites, recommended current training role or some training responsibilities as part of current role or planning to commence working in a training role, NRT, order of units, assessment, course content, learning pathways, delivery arrangements, cost, vocational outcomes and other such information.
- Louise advised auditors that she found Hinson training materials to be very poor quality and Pearsons does not lend itself to customization. Louise likes to use a folder rather than a whole library of learner guides and has found IBSA Guides to be most useful as a resource.

#### **TAE40110 Certificate IV in Training and Assessment**

- This strategy includes course description, prerequisites, packaging requirements, assessment, flexible delivery, course content, learning pathways (group sessions, self-paced and blended approach, delivery arrangements, cost and vocational outcomes. The infrastructure requirements are not yet identified as commercial resources are still being reviewed and selected.

#### **Interview conducted with Kathryn Holder - Administration Coordinator**

KH has been employed for about 3 weeks and training by LT is ongoing to date. She has a lot of checklists in place to enable her to understand the job processes and procedures. She described the system as follows: LT does the initial paperwork and a Staff Qualifying table is sent to Government Representations regarding funding entitlements of potential candidates. This may be sent to Mission, MEGT, Australian Business Ltd. These are state specific regarding qualifying for funding entitlements. If the candidate qualifies then they will be inducted, if not, the client employer will pay fee for service. An induction checklist regarding all the necessary paperwork is completed and package is issued to the trainer/assessor with follow up to ensure all necessary forms are completed for each candidate, trainer returns forms to KH for filing. KH contacts employer to negotiate nominated dates and to organise first training session (could be by email or phone). Then, an appropriately qualified trainer/assessor, who can deliver on nominated dates is chosen and offered the employment. Checklists are sent to trainers pre delivery of each session and usually on a monthly basis or more frequently because most staff are full-time employees of RTO client enterprises. After each session, trainer/assessor must send Assessment and Competency Register, Attendance Register with trainer feedback regarding the session, evidence and assessment plan for each student and invoice for t/as work. KH checks quality of marking and feedback, scans entire assessment into client file and anything that does not look like quality recording is passed to Lt FOR COMMENT OR SIMPLY RETURNED TO T/A FOR REVIEW AND IMPROVEMENT. Anything non-competent is scanned and returned to participant, and competent is scanned and original assessment returned to participant. All competency outcome records go back to trainer with new training session materials.

Training Resources folders are held on shelves close by KH's desk.

Only LT does consultation planning with clients to work out the training choices regarding qualification and unit selections, number of sessions needed, the timing/sequence/frequency and duration of these.

They work on a monthly training calendar with a scribble sheet to see who needs what sent and when.

#### **Findings:**

The RTO has developed strategies for training and assessment which meet the requirements of the relevant Training Package. These have been developed in consultation with industry stakeholders.

<b>1.3 Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.</b>				
<b>Evidence</b>	<b>Result</b>		<b>Result</b>	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p><b>Staff:</b> Support office (CEO and admin staff). Trainers/ assessors – Contractor register of 15 trainer/assessors (see std 1.4.)</p> <p><b>Facilities &amp; equipment:</b> (the RTO delivers solely through external facilities)  Pre-training checklist (packing list for a training session)  Workplace training assessment procedures (actions and resources required.)</p> <p><b>Training and assessment materials:</b> Electronic records of all training and assessment resources for each qualification on scope are filed as current assessment tasks, facilitator guides, learners guides, learning outcomes and competencies, session plans and unit mapping. Other files include strategies, sample learner guides, training packages, and superseded items.</p> <p>Learners guides for (eg) Poolwerk BSB40807 (workbook); BSB40607 (York Jewellers).  See std 1.5 and 3.3 for samples of assessment tools sighted.  Many of the above items were sighted in hard copy and/or CD and DVD form.  (see also customising process described at std 2.3)</p>				

**Findings:**

The RTO has 7 resources in place (and which are kept current) to deliver training and assessment for qualifications in its registration scope. These are in accordance with the RTOs' learning & assessment strategies

<b>1.4 Training and assessment are conducted by trainers and assessors who:</b>				
(a) have the training and assessment competencies determined by the National Quality Council or its successors				
(b) have the relevant vocational competencies at least to the level being delivered or assessed, and				
(c) continue to develop their vocational and training and assessment competencies to support continuous improvements in the delivery of RTO services.				
<b>Evidence</b>	<b>Result</b>		<b>Result</b>	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>Trainer/ assessor required qualifications in Information kit for staff &amp; contractors</p> <p>All trainers/ assessors are part time contractors. 16 are listed in contractor registers/ staff matrix, copy attached.</p> <p><b>TAA40104 Certificate IV in Workplace Training &amp; Assessment Strategy</b>  <b>BSB40807 Certificate IV in Frontline Management</b></p> <ul style="list-style-type: none"> <li>○ Establishment and verification of trainer/assessor competence – interview, resume check, 2<sup>nd</sup> session performance review, documented P &amp; P sighted in Operations Manual p77 ff regarding contractors, payments, information kit, presentation, employees, staff selection, job descriptions and register of contracts, training , attitude and various other criteria to be considered.</li> <li>○ No staff work together as team to train or assess</li> <li>○ Evidence to demonstrate that referee checks are conducted was sighted on personnel files.</li> <li>○ Originals or true copies of trainer assessor qualifications are held on all trainer/assessor files</li> <li>○ All qualifications show that verification has been undertaken</li> <li>○ Support of trainer/ assessor engagement with industry and professional development and evidence of DET workshops attendance sighted on files. The combined evidence sighted indicates that the RTO fosters a culture of critical evaluation and innovation.</li> </ul>				

- Conducting appraisals of trainer/ assessor competence
- Moderation and/or validation activities are undertaken at trainers meetings and it is written into trainer/ assessor contracts that they must attend.
- A single matrix per qualification shows qualification units, core, most popular electives and customer specific electives linked to each trainer/assessor. Sighted for SIR40207 (same as for lower level BSB), BSB40607, SIR30207 (same for SIR20207), BSB40807, TAA40104 (same as for TAE). These identify the relevant qualification held by each trainer/assessor. All dated 14/9/10
- Trainer Contact details qualifications also details the qualifications held by each trainer/assessor.(V2.3 13/9/2010)

Personnel Files sampled for:

**Cyril Wood (TAA40104)**

- New Contractor Checklist 13/4/10 shows copy of current contract expiry date 16/9/10, resume, qualifications, transcripts, contractor rates issued, name badges provided, details entered on trainer contacts register.
- Trainer/assessor contract legally drawn up years ago shows term, warranty, company directs, trainer/assessor/marketer commitment, provision of training and marketing service, intellectual property rights, remuneration, termination, arbitration, waiver, entire agreement, assignment, applicable law and amendments, signed by both parties on 16 and 19/9/09.
- Certified qualifications, evidence of TAATAS401A interview and written assignment, evidence and assessment plan for units issued 7/2/2009, Resume on file.

**Gary Tremolada**

- New Contractor Checklist (NCC)13/4/10 shows copy of current contract expiry date 10/3/10, resume, qualifications, transcripts, contractor rates issued, name badges provided, details entered on trainer contacts register, info kit for staff and trainers.
- TRT Personal Profile Summary (TRTPPS) shows name, address, phone, email, quals, industry experience, communication skills, personal presentation, correspondence sent, post interview comments, interview questions re strengths as a trainer, describe training style, how would a previous employer describe you, why apply to Target Training and more info on previous experience. Quals Cert III in Retail Operations and others.
- Trainer Evaluation Form for 19/5/09.
- Trainer/assessor Contract has same information as CW's above and has been signed respectively 4/6/10 and 28/6/10 and 10/3/and 2/4/09.
- All relevant qualifications and resume on file.

**Matthew Spokes. (Cert IV FLM)**

- NCC 13/4/10, TRTPPS for FLM, NCC 28/1/09, Resume, T/A Contract signed 7/4/10 by LT and 9/4/10 by MS.
- Quals, Trainer Evaluation Form 7/5/09, Trainer Assessor Contract co-signed 23/1/09 and 27/1 09. File indicated completeness of records as did the following files.

**Robyn Radcliff/Blacklet**

- NCC 13/4/10, T/A Contract 16/9 and 30/9/09, TAA Learning Lab 28/7/08, New Contractor Checklist 31/7/08, TRT Personal Profile, Strategy, Interview questions, Resume

**Venise Damaskos**

- NCC 13/5/10 exp 16/6/11, TAC 4/6/10 and 11/6/10, NCC 1/6/09, TAC 26/5/09 and 28/5/09, Resume,

**Victoria Howard (delivery to Cert III level only)**

- NCC 13/4/10 – exp 12/4/11, TAC 7/4/10 and 12/4/10, TAC 5/3/08 and 8/3/08, TRTPersonal Profile Summary, Resume, Quals, Info Kit to staff and contractors, Trainer Evaluation Form 24/7/08.
- Pre-Training Checklists for 1<sup>st</sup> and 2<sup>nd</sup> last sessions ensure that all necessary actions are undertaken from program commencements to conclusions.

**Findings:**

The RTO has appropriately qualified and experienced trainers/ assessors available who cover all qualifications to be delivered on the RTOs' registration scope.

**1.5 Assessment, including Recognition of Prior Learning (RPL):**

- (a) meets the requirements of the relevant Training Package or accredited course
- (b) is conducted in accordance with the principles of assessment and the rules of evidence, and
- (c) meets workplace and, where relevant, regulatory requirements.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

The following records of assessment were sampled (and see additional evidence at std 3.3):

**BSB40807 Certificate IV in FLM for RTO client About Life**

- 10 learners on re completion of training to STC 17/5/10 from Target Training Carina Jones, Assessment and Competency register per learner/per unit – Assessor Nick Mills, Copies of qualifications issued per person – all signed by LT, Training plan report per learner showing result dates and result, Request for Competency Based Completion per learner, Accredited Course Enrolment Form per learner, Full Training Plan per learner, Pre-Training Assessment per learner, Training Plan Summary per learner, Evidence and Assessment Plans per unit all co-signed by assessor and learner and dated along with learner signs off on conditions per visit.

**TAA401014 delivery for VitalGas - 11 participants**

- Attendance Register 28/11/07 for 4 x DEL units and workbook received, Email correspondence to Marie re running 2 x 2 day sessions to get them through their assignments (CW as T/A), Assessment and Competency register (units per learner), Message to Vitalgas re TAADES401A delivery, all ASS units, TAADES402A, 301A and DEL401A and DEL402A and DEL403A and DEL404A time frames for due date, Deanne Raynard – former T/A for TAA, Evidence of consultation (5/9/07) with Charles Scibberas – National Sales Manager of Vitalgas in Cranebrook NSW

**TAA public program for 4 learners 11/2/09 All ASS unit (Bs) with Cyril Wood - in fact full qualification**

**File Contents for Pej Tadic 0412090698**

- Contains certificate, transcript, credential request and assessment record, assessment and competency register, accredited course enrolment form, Evidence and Assessment Plans per unit tick lists only – all resources returned to learner.

File contents for following learners in group also sampled. Records were complete and consistent in levels and delivery management approach/arrangements.

- Elizabeth G. 4228800 or [eagreen7a@yahoo.com](mailto:eagreen7a@yahoo.com), Susie McK 42721190, 0408469046, [Susie@mckeonswimming.com.au](mailto:Susie@mckeonswimming.com.au), Brian R. 040777528 and TAA PUBLIC PROGRAM for 9 learners with assessor Veronica Ambrosi
- Evidence and assessment Plan records sampled for a range of units in numerous participant files consistently showed that learner had the assessment process and conditions explained, outcomes were explained and learners had chance to appeal and seek feedback, assessment tasks were clearly explained, the quality of the questions and answers is appropriate to the AQF level, the third party endorsement is signed off and dated by a client enterprise manager and an assessor and feedback to the learner is constructive and detailed.

All records sampled demonstrated that assessment was meeting the requirements of the training package, consistent with the strategy, focused on the standard of performance required in the workplace and that judgements made by different assessors were consistent.

Marking guides sighted – facilitator guide (for example BSB40807)

Assessment validation: Assessment Validation Tool (comprehensive, generally unit by unit, assesses on principles of assessment and rules of evidence, detailed comments, signed off by validation team and training coordinator; provision for industry feedback if relevant) – eg 2009 file has 14 validation records.

**Additional evidence sighted 2010-09-16**

RPL kits for various qualifications including BSB40207, BSB51107

**Findings:**

Assessments, including (RPL) meet the requirements of the relevant Training Package, are conducted in accordance with the principles of assessment and the rules of evidence, and meet workplace requirements.

**Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients**

**2.1 The RTO continuously improves client services by collecting, analysing and acting on relevant data.**

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Sighted attendance record from sessions with trainer comments attached (one page report) eg BSBCUS401A 4/6/09, BSBMTG401A 26/5/10. Progress reports are sent to client with any actions noted.

Learner evaluation & feedback form (sighted examples, see std 3.3). Generally if an unsatisfactory opinion was expressed, the form has notes on it from RTO about reason/ action.

When national quality indicators (QI) were introduced, the RTO moved entirely to the ACER system instead of their previous evaluation form. The RTO found the quality of feedback from QI was insufficient to provide basis of continual improvement. So they have moved back to old system for mid-course evaluation and use QI for end of course.

**Findings:**

The RTO collects, analyses and acts on relevant data for continuous improvement of client services.

**2.2 Before clients enrol or enter into a contract, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.**

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Student Handbook (given to employer prior to enrolment and to student at enrolment – note – employer always pays fees for the student), includes access & equity, code of practice, privacy, literary support etc)

Brochures (qualification specific)

Accredited program outline & strategy (information pack targeted at corporate client)

Employer/ Manager Induction Checklist

Learning outcomes (targeted at student)

**TAA40104 Certificate IV in Workplace Training & Assessment Strategy**

**BSB40807 Certificate IV in Frontline Management**

Pre enrolment information as provided to interested students

- Accurately describe the services, in a format that is easy to access and understand and takes into account the students' abilities and access. It includes course outcome and pathway, training and assessment arrangements including RPL, fees, charges, refunds, selection and enrolment factors regarding appropriateness of course for student, client support services, licensing requirements and complaints and appeals procedure.
- Evidence sighted of review of this information and improvements made.
- Pre-Training Checklist for 1st training session includes attendance register, session plan and support materials, learner guides and workbook and assessment tasks, student of the year flyer, trainer guide/workbook, workplace training and assessment procedures, first session introduction checklist and flipchart, pens/highlighters, name badge, business cards and stamped addressed envelopes for return of records.
- Target Training Kit contains an RTO newsletter, information guide on available services, Australian Government Funded 10 step process flowchart. Australian Traineeship Staff Qualifying form, an Australian Government Funded Training Opportunity steps fees and incentive table and a copy of the relevant qualification packaging guidelines and available units.

**Findings:**

Clients are provided with sufficient information prior to enrolment, to enable them to make an informed decision about training, assessment and support services to be provided, and about their rights and obligations.

**2.3 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.**

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Workplace training assessment procedures (actions and resources required.)

Process for new corporate client:

Face to face meeting, detailed notes kept "About the client and learners" (1 page checklist) – sighted samples incl. Bally (Dec 2009); Bankstown Aged Care (March 2010).

Then a training services agreement is negotiated. May also map specific units required to client requirements.

From this a Facilitator Guide is developed (essentially a customised LAS)

Finally a customised learning guide is produced, which (depending on level of detail required by client) may include client's policies/ procedures and customised assessment tools.

**TAA40104 Certificate IV in Workplace Training & Assessment Strategy and BSB40807 Certificate IV in Frontline Management**

- Programs makes full use of the workplace opportunities
- Classroom based situation provides all necessary equipment/machinery, support personnel, adjustments for disabilities, considers impact of shifts and seasons, induction processes, integration of workplace policies and procedures into program, special projects, personnel have the required competencies to conduct workplace assessment.
- Evidence sighted of monitoring learner progress and the support provided to them by workplace personnel, informing workplace personnel of their training and assessment responsibilities and ensuring they accept this role.
- Workplace personnel selected in consultation process for their skills, competence, knowledge and experience to do this effectively, gather evidence of performance for assessment purposes in the form of third party reports.
- Auditors were advised that the typical nursing home client has a training budget but problems can develop when a client wants all staff to undertake a particular qualification even though it may not be appropriate or a suitable level for all staff. The RTO can encourage and advise the client of the problems such decisions can create but if the client really wants such programs, then the RTO is expected to enrol the staff and do the best they can to get successful completions. This has been the case with Bosley Park Nursing Home and things haven't worked out so well and there have been drop outs due to candidate lack of interest, lack of time and supervisors and managers not leading by example. The RTO is still sorting out the problems in the fourth of the program.

**Findings:**

Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.

**2.4 Learners receive training, assessment and support services that meet their individual needs.**

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Access & equity in Information kit for staff & contractors.

Student Handbook (given to employer prior to enrolment and to student at enrolment – note – employer always pays fees for the student), includes access & equity, code of practice, privacy, literary support etc)

Each student has LLN test up front. Students are asked to identify any special needs on enrolment forms. Once any special need is recognised the trainer/ assessor is alerted and individual attention will be provided as needed.

**Findings:**

Learners receive training, assessment and support services that meet their individual needs.

2.5 Learners have timely access to current and accurate records of their participation and progress.				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>Record keeping in Information kit for staff &amp; contractors.  Operations Manual sec 9.5.2, sub-sec 7  Student handbook p. 14.</p>				

**Findings:**

Learners have timely access to current and accurate records of their participation and progress.

2.6 Complaints and appeals are addressed efficiently and effectively.				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>Grievance policy in Information kit for staff &amp; contractors. Appeal/ re-assessment process and procedure in same.  Same in Operations manual (9.2 Complaints handling) and 9.4 (Appeals)  Student handbook p. 10 (Appeals), p.14 (Grievance Policy)  Client complaint register. 3 complaints lodged in past 4 years, issue/ action taken/ resolution. All satisfactorily resolved.</p>				

**Findings:**

Complaints and appeals are addressed efficiently and effectively.

**Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates**

**3.1 The RTO uses a systematic and continuous improvement approach to the management of operations.**

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

AQTF Risk Identification Register (Sept. 2009) maps AQTF 2007 by sub-element, to risk and consequence of non-compliance. (This did not include conditions of registration.)

Information kit for staff & contractors. Contains 2010 organisation chart and Code of Practice.

Student Handbook ver 2, Oct 2009

Version control procedure (ver 1.0/ Aug 2007)

Operations Manual 2010. This is mainly admin procedures for remote business managers and support office (W Pennant Hills)

Job descriptions for Contract Trainer/ assessor, Business Manager, Training Administrator, Administration Coordinator, Client Liaison Manager

Team meetings about every 2 weeks, minuted eg 22/12/09, 17/8/10, 14/7/10 (includes actions, by whom, by when)

Business plan 2010-2011. Updated annually. Business Plan July 2010 – June 2011 includes vision statement, mission statement, situation analysis, SWOT analysis, key issues, assumptions, objectives, strategies and budgets. (12 pages) (LT addressed CEO Institute recently on Business Plans and SWOT analysis)

Continual improvement file – internal audit checklist, done annually over many years, first quarter.

**Findings:**

The RTO has management systems in place which are appropriate for its size and scope. The system is under constant review and is continually improved.

**3.2 The RTO monitors training and/or assessment services provided on its behalf to ensure they comply with all aspects of the AQTF 2007 Essential Standards for Registration.**

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

MOU 1/4/2010 Training Experts Aust (TEA), Bankstown NSW and TRT

Training services Agreement 8/2/2010 with National Retail Assoc (NRA) (major problems with them, agreement terminated)

The standard agreements contain sufficient detail to form the basis of a legally binding agreement between the parties, but has little detail about the extent, or limitation, of training and assessment services to be provided. Nor does it contain details about monitoring required to comply with std 3.2.

The RTO however produced evidence that detailed monitoring has been conducted, eg. minutes of meetings with TEA, Staff matrix / mapping of their trainers is provided by them to ensure they have both qualified and experienced trainers on the job, student status reports, emails regarding individual student issues.

**Findings:**

The RTO monitors training and/or assessment services provided on its behalf to ensure they comply with all aspects of the AQTF 2007 Essential Standards for Registration

**3.3 The RTO manages records to ensure their accuracy and integrity.**

Evidence	Result		Result
	Compliant	✓	Not audited
	Non-compliant		Not applicable

Using Vetrak . Student records are entered as paper file (which is maintained) and cross-checked before data is entered on Vetrak. File is controlled by Client & Student Folders Checklist (front inside cover). Vetrak is used to assess completion but not for issue of testamurs (this is done manually and certificate numbers are issued from an Excel register). Certificate details are recorded on Vetrak after issue.

Backups – daily on to portable hard drive, second copy taken offsite (bank safety deposit box). Paper files kept in locked storeroom.

Sample client records – About Life (client); Blackwoods 2009 (client) both Cert IV FLM – student status, Learner evaluation & feedback forms (midway and completion), Attendance registers, training contract confirmation, training services agreement, correspondence, assessment & competency register, evidence & assessment plans for each student.

Sample student records –

SIR30207, Blackwoods WA. Students Ann-Marie C. dob 23/03/89, Alesha G. dob 27/03/84, Nikki G. dob 14/02/87. Enrolment form, MEGT (AAC) contract details, , pre-training assessment, WA Training Plan, evidence & assessment plan for SIRXLS004A, SIRIND001A, SIRXCOM001A and others

WRR30102, Urban Sport NSW. Students Vesna A. dob 2/8/77, Marie G. dob 21/11/63. Similar to above but NSW Training Plan and equivalent WRR unit assessments.

All Evidence and Assessment Plans are scanned and originals are returned to candidate. T/A must provide evidence of feedback to learner and what the learner can do to improve

Attendance Register templates and records sighted show client name, trainer name, course code, course name, session date, unit code, unit name, a list of participant's names, a tick box re training resources received and and sign off for attendance and assessment task submission. The reverse of this has 3 spaces for general comments from the trainer on the group vibe, attitudes, any changes to candidate staff details, such as cancellations, new trainees, relocation and any learner concerns such as special needs and additional support.

Assessment and Competency register records name of employer and assessor, the qualification program, a list of participant names and outcomes (competent/NYC/submitted for marking) and dates per unit.

Client and Student Folders Checklist identifies ENROLMENT PAPERWORK: enrolment form, training plan, pre-training assessment, Training Plan summary (TPS), TRAINING PAPERWORK: attendance register, cover sheets for assessments, training record book, change of qualification, COMPLETION PAPERWORK: Early completion form, qualification, OTHER: training services contract and contract to trainer/assessor.

**Findings:**

The RTO manages records to ensure their accuracy and integrity.

## CONDITIONS OF REGISTRATION

CONDITIONS OF REGISTRATION	RESULTS				EVIDENCE	CORRECTIVE ACTION TO BE TAKEN
	Yes	No	Not audited	Not applicable		
<b>CONDITION 1 – GOVERNANCE</b>						
The RTO's chief executive must ensure that the RTO complies with the <i>Essential Standards for Registration</i> and any national guidelines approved by the National Quality Council. This applies to all operations within the RTO's scope of registration, as listed on the National Training Information Service.	✓				Staff induction procedure. CEO signoffs of renewal application and stat. dec by CEO on 3/3/2009 witnessed by Marie Yardin (Training Supervisor) and JP. (illegible title – no number) Certificate of Registration of Targett Retail Training Pty Ltd, ACN 086 170 998, in NSW, 5/2/99 and Business Name Target Training on 3/5/2007 BN98287958. Job Description for Business Manager/ Managing Director.	
<b>CONDITION 2 – INTERACTIONS WITH THE REGISTERING BODY</b>						
The RTO's chief executive must ensure that the RTO cooperates with its registering body: <ul style="list-style-type: none"> <li>• in the conduct of audits and monitoring of its operations</li> <li>• by providing accurate and timely data relevant to measures of its performance</li> <li>• by providing information about significant changes to its operations</li> </ul> in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements.	✓				Conduct of audits - Significant Changes Records retention, transfer etc Performance Data (Quality Indicators)-sighted correspondence of Stats to Jennifer Hindmarsh from Izabela @ target 18/6/2010 "Please find " attached report generated using ACER's SMART software"	
<b>CONDITION 3 – COMPLIANCE WITH LEGISLATION</b>						
The RTO must comply with Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration. It must ensure that its staff and clients are fully informed of requirements that affect their duties or participation in vocational education and training.	✓				Sighted evidence of employer registration with working with children check service signed 10/9/10 and submitted and prohibited employment declarations by 4 members of t/a staff since. Operations Manual refers to OH&S, WorkCover, Anti-Discrimination Act. Client information in Student Handbook re traineeship	

CONDITIONS OF REGISTRATION	RESULTS				EVIDENCE	CORRECTIVE ACTION TO BE TAKEN
	Yes	No	Not audited	Not applicable		
					<p>Overview, RPL, OH&amp;S, Protection and Privacy of Information, Access &amp; Equity Refund Policy, Money Back Guarantee</p> <p>No school based traineeships.</p> <p>All Job Descriptions include a statement about privacy policy and entitlements.</p> <p>Every new member of staff receives a copy of Information Kit for Staff and Contractors (2010) includes information about the RTO Vision, Org Chart of 11 positions, RTO history, values, qualifications terminology, program audits, refusal of duty, OH&amp;S, Grievance Policy, Assessment Q &amp; As typically asked, T/A qualifications, appeal/assessment process, record-keeping, RPL, Access &amp; Equity, Appeals Procedure and Code of Practice</p>	

#### CONDITION 4 – INSURANCE

The RTO must hold insurance for public liability throughout its registration period.	✓				<p>Public Liability: VERO Insurance Policy No: SMX012201653 from 28/10/09 to 28/10/10 for Business as Retail Training Consultants.</p> <p>Also holds Products Liability. (also sighted PI cover).</p>	
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#### CONDITION 5 – FINANCIAL MANAGEMENT

The RTO must protect fees paid in advance and have a fair and reasonable refund policy.	✓				The RTO has a fair and reasonable refund policy, and a separate bank account for fees paid in advance	
The RTO must have its accounts certified by a qualified accountant to Australian Accounting Standards at least annually, and must provide the certificate of accounts 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.	✓				<p>Company tax return 2009 prepared by Thomas GLC (Glenn McEwen) PO Box 1563 Hornsby</p> <p>Profit and Loss Statement July 2009 – June 2010</p>	

CONDITIONS OF REGISTRATION	RESULTS				EVIDENCE	CORRECTIVE ACTION TO BE TAKEN
	Yes	No	Not audited	Not applicable		

### CONDITION 6 – CERTIFICATION AND ISSUING OF QUALIFICATIONS AND STATEMENTS OF ATTAINMENT

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"> <li>meets the Australian Qualifications Framework (AQF) requirements</li> <li>identifies the RTO by its national provider number from the National Training Information Service</li> <li>includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use</li> </ul>	✓				Sample testamurs sighted comply with AQF, have NRT logo correctly used and contain RTOs' NTIS number.	
The RTO must retain learners' records of attainment of units of competency and qualifications for a period of 30 years.	✓				30 year retention Learner information in Student Handbook (V2 Oct 2009) on p14	

### CONDITION 7 – RECOGNITION OF QUALIFICATIONS ISSUED BY OTHER RTOS

The RTO must recognise the AQF qualifications and statements of attainment issued by any other RTO.	✓				Website	
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### CONDITION 8 – ACCURACY AND INTEGRITY OF MARKETING

The RTO must ensure that its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. The NRT logo must be employed only in accordance with its conditions of use.	✓				Marketing & advertising Policy in Operations Manual © 2010 (V5 –p43ff) Evidence sighted: Pay offsite tele-marketer in different postcode (Lead Generation) zones. Various magazine or online advts (eg Aust Institute of Training & Development) Some interstate radio. Sighted downloaded VETAB Advertising Guidelines Advts in Inside Retailing magazine and various promotional articles relating to retail psychology (Jan – Feb, Mar – April 2007), Townsville Bulletin (2006) The Australian - Entrepreneur (2006), Greetings and Gifts – multiple articles. MD is responsible. (sole director)	
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CONDITIONS OF REGISTRATION	RESULTS				EVIDENCE	CORRECTIVE ACTION TO BE TAKEN
	Yes	No	Not audited	Not applicable		
<b>CONDITION 9 – TRANSITION TO TRAINING PACKAGES/EXPIRY OF ACCREDITED COURSES</b>						
The RTO must 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 and currently accredited courses.	✓				<p>Transition Planning BSB01 – BSB07 is a © Target training 2009 table showing the timing and activities undertaken between Mar 06 and Feb 09. attendance at industry sessions, purchase of training package, final enrolments and delivery, addressing trainer/ assessor needs, updating strategies, validation and moderation activities, communication strategies, fine tuning and customisation of session plans, learning tools and delivery.</p> <p>Transition Planning also sighted for WRR02 – SIR07 – between Mar 06 and Mar 09</p> <p>Cert IV AWT and Cert IV TAA – Pre TAA Dec 04 to post refusal of TAA on scope in April 07</p> <p>TAA Version Mapping of Version b to Version C.</p> <p>Action Plan for implementing TAE 40110 and records of attendance at workshop.</p>	