



Audit report – VET Quality Framework

Continuing registration as a national VET regulator (NVR) registered training organisation

ORGANISATION DETAILS

Organisation's legal name	Bookkeeping Institute of Australia Pty Ltd
Trading name/s	N/A
RTO number	32559
CRICOS number	N/A

AUDIT TEAM

Lead auditor	Amanda Fairweather
Auditor/s	N/A
Technical adviser/s	N/A

AUDIT DETAILS

Application number/s	N/A	
Audit number/s	1002803	
Audit reason 1	Post initial	
Audit reason 2	n/a	
Audit reason 3	n/a	
Activity type	Site visit	
Address of site/s visited	Suite 5, 1407 Logan Road, Mount Gravatt QLD 4122	
Date/s of audit	23/07/2013	
Organisation's contact for audit	Mrs Debra Lewis debra@biau.com.au	CEO Ph: 07 3343 1500
NVR standards audited	All Standards for Continuing Registration	

BACKGROUND

- The RTO focusses on training relevant to the financial services industry.
- The RTO's organisational structure consists of CEO – Debra Lewis, Trainer/Assessors – Debra Lewis, Roshanak Sarkamari, Helen Bailey, Jaya Anandan and Receptionist – Lucy Moore.
- The RTO has a partnership agreement with Marian Brown of MBS Training Services Pty Ltd for the provision of RPL assessment of FNS40211 Certificate IV in Bookkeeping.
- Fee revenue sources consist of fee for service. 90% of fees are paid by individuals with 10% of fees being paid by employers.
- Core clients include existing workers looking to upskill or make a career change to start their own bookkeeping business.



- The RTO's delivery venue is located at Suite 5, 1407 Logan Road, Mt Gravatt QLD 4122.
- Delivery is provided via face to face, distance, online and RPL assessment. In addition to delivering FNS30311 Certificate III in Accounts Administration and FNS40211 Certificate IV in Bookkeeping individually, the RTO offers a combined fast track 12 month qualification of FNS30311 and FNS40211. The RTO also delivers FNSBKG404A Carry out business activity and instalment activity statement tasks and FNSBKG405A Establish and maintain a payroll system as a Bas Skills Set.

Total number of current enrolments in RTO as at audit date:

352

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
FNS40211	Certificate IV in Bookkeeping	Face to Face, Distance, Online (9 months)	84
FNS30311	Certificate III in Accounts Administration	Face to face, distance, online (6 months)	6

*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Debra Lewis	CEO, Trainer/Assessor	FNS40211 Certificate IV in Bookkeeping FNS30311 Certificate III in Accounts Administration

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 01/08/2013: Minor non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 29/08/2013: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
-----------------	-------------------------	--



SNR 15	Compliant	n/a
SNR 16	Not compliant	Compliant
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Compliant	n/a
SNR 20	Compliant	n/a
SNR 21	Compliant	n/a
SNR 22	Not compliant	Compliant
SNR 23/AQF	Not compliant	Compliant
SNR 24	Not compliant	Compliant
SNR 25	Compliant	n/a



SNR 15	The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:
15.1	The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.
Original finding:	Compliant
Following rectification:	n/a
15.2	Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry.
Original finding:	Compliant
Following rectification:	n/a
15.3	Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry.
Original finding:	Compliant
Following rectification:	n/a
15.4	Training and assessment is delivered by trainers and assessors who: (a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and (b) have the relevant vocational competencies at least to the level being delivered or assessed; and (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and (d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.
Original finding:	Compliant
Following rectification:	n/a
15.5	Assessment including Recognition of Prior Learning (RPL): (a) meets the requirements of the relevant Training Package or VET accredited course; and (b) is conducted in accordance with the principles of assessment and the rules of evidence; and (c) meets workplace and, where relevant, regulatory requirements; and (d) is systematically validated.
Original finding:	Compliant
Following rectification:	n/a
SNR 16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:
16.1	The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.
Original finding:	Compliant
Following rectification:	n/a



16.2	The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.	Original finding: Compliant	Following rectification: n/a
16.3	Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.	Original finding: Compliant	Following rectification: n/a
16.4	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.	Original finding: Not audited	Following rectification: n/a
16.5	Learners receive training, assessment and support services that meet their individual needs.	Original finding: Compliant	Following rectification: n/a
16.6	Learners have timely access to current and accurate records of their participation and progress.	Original finding: Not compliant	Following rectification: Compliant
	<i>Reasons for finding of non-compliance:</i>		
	<ul style="list-style-type: none">• The RTO did not provide evidence to demonstrate that learners are informed about how to gain access to their records of participation and progress.		
	<i>In order to become compliant, the organisation is required to:</i>		
	<ul style="list-style-type: none">• provide evidence to demonstrate that learners are informed about how to gain access to their records of participation and progress.		
	<i>Analysis of rectification evidence:</i>		
	<ul style="list-style-type: none">• The RTO provided its Student Handbook, Student Support Policies and website to demonstrate that learners are informed about how to gain access to their records of participation and progress.		
16.7	The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	Original finding: Compliant	Following rectification: n/a



SNR 17 Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:

17.1 The NVR registered training organisation’s management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.

Original finding: Compliant

Following rectification: n/a

17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.

Original finding: Compliant

Following rectification: n/a

17.3 The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

Original finding: Compliant

Following rectification: n/a

17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.

Original finding: Compliant

Following rectification: n/a

SNR 18 The NVR registered training organisation has governance arrangements in place, as follows:

18.1 The NVR registered training organisation’s Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation’s scope of registration, as listed on the National Register.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The evidence provided at audit demonstrated that the RTO’s Chief Executive had not ensured that the RTO complies with the VET Quality Framework within all operations of its scope of registration.

In order to become compliant, the organisation is required to:

- rectify all non-compliances outlined in the audit report in order to rectify SNR 18.1.

Analysis of rectification evidence:

- The RTO rectified all non-compliances outlined in the audit report which is sufficient evidence to rectify SNR 18.1.

18.2 The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers



and assessors.

Original finding: Compliant

Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

19.1 The NVR registered training organisation must co-operate with the National VET Regulator:
(a) in the conduct of audits and the monitoring of its operations;
(b) by providing accurate and timely data relevant to measures of its performance;
(c) by providing information about significant changes by its operations;
(d) by providing information about significant changes to its ownership; and
(e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.

Original finding: Compliant

Following rectification: n/a

SNR 20 Compliance with legislation

20.1 The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.

Original finding: Compliant

Following rectification: n/a

20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Original finding: Compliant

Following rectification: n/a

SNR 21 Insurance

21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.

Original finding: Compliant

Following rectification: n/a



SNR 22 Financial management	
22.1	Regulator, on request, that it is financially viable at all times during the period of its registration.
Original finding: Compliant	Following rectification: n/a
22.2	The NVR registered training organisation must provide the following fee information to each client: (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 NVR registered training organisation 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 on completion of training and assessment; and (e) the organisation's refund policy.
Original finding: Not compliant	Following rectification: Compliant
<i>Reasons for finding of non-compliance:</i>	
<ul style="list-style-type: none">The RTO did not provide evidence that its fee information provided to each client aligns with its chosen strategy for the protection of fees in advance.	
<i>In order to become compliant, the organisation is required to:</i>	
<ul style="list-style-type: none">provide evidence that its fee information provided to each client aligns with its chosen strategy for the protection of fees in advance.	
<i>Analysis of rectification evidence:</i>	
<ul style="list-style-type: none">The RTO provided evidence of its payment plan options and website to demonstrate that its fee information provided to each client aligns with its chosen strategy for the protection of fees in advance.	
22.3	Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options: (a) (Option 1) the NVR registered training organisation is administered by a state, territory or Commonwealth government agency; (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme; [option 2 not currently available] (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation 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; (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held



by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or
 (e) ~~(Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator. [option 5 not currently available]~~

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The RTO did not provide evidence to demonstrate that it collects student fees in advance in accordance with one of the acceptable fee in advance options.

In order to become compliant, the organisation is required to:

- provide evidence to demonstrate that it collects student fees in advance in accordance with one of the acceptable fee in advance options.

Analysis of rectification evidence:

- The RTO provided evidence of its payment plan options and website to demonstrate that it collects student fees in advance in accordance with one of the acceptable fee in advance options.

SNR 23 Certification, issuing and recognition of qualifications & statements of attainment

23.1 The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:
(a) meets the Australian Qualifications Framework (AQF) requirements;
(b) identifies the NVR registered training organisation by its national provider number from the National Register and
(c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The RTO provided evidence that it issues a Statement of Attainment that does not meet the Australian Qualifications Framework (AQF) requirements.

In order to become compliant, the organisation is required to:

- provide evidence that it will issue a Statement of Attainment that meets the Australian Qualifications Framework (AQF) requirements. The RTO is required to demonstrate that its Statement of Attainment meets the NSSC Policy: Application of the AQF Qualifications Issuance Policy within the VET Sector.

Analysis of rectification evidence:

- The RTO provided an updated Statement of Attainment in order to demonstrate that it meets the Australian Qualifications Framework (AQF) requirements and meets the NSSC Policy: Application of the AQF Qualifications Issuance Policy within the VET Sector.

23.2 The NVR registered training organisation must recognise the AQF qualifications and VET statements of attainment issued by any other RTO.

Original finding: Compliant

Following rectification: n/a



23.3 The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.

Original finding: Compliant

Following rectification: n/a

**23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator.
[no requirements currently exist]**

This element was not audited

SNR 24 Accuracy and integrity of marketing

24.1 The NVR registered training organisation must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.

Original finding: Compliant

Following rectification: n/a

24.2 The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The RTO's website and course summary brochure included the NRT logo on pages relating to non-accredited training. Consequently, the NRT logo was not used in accordance with its conditions of use.

In order to become compliant, the organisation is required to:

- provide evidence that its website and course summary brochure uses the NRT logo in accordance with its conditions of use.

Analysis of rectification evidence:

- The RTO provided evidence of its updated website and course summary brochure to demonstrate that it uses the NRT logo in accordance with its conditions of use.

SNR 25 Transition to Training Packages/expiry of VET accredited courses

25.1 The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.

Original finding: Compliant

Following rectification: n/a

25.2 The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.

Original finding: Compliant

Following rectification: n/a

