

02 December 2013

Mrs Cindy Donald Executive Officer First Door Training and Development Pty Ltd 14 Page Street NORTH LAKES QLD 4509

File No: 1039922 Ref No: 40782

Dear Mrs Donald

Re: Outcome of initial registration application—granted

I refer to your application to register as a national VET regulator (NVR) registered training organisation (RTO).

In accordance with the provisions of the *National Vocational Education and Training Regulator Act* 2011 (the Act), your application for registration has been granted. A copy of the final audit report is attached for your reference.

The National Register has been updated to include the following key details of your organisation:

Legal name:

First Door Training and Development Pty Ltd

RTO ID number:

40782

Period of registration

Your organisation has been granted registration for a period of 5 years which commenced on 30 November 2013 and is due to expire on 29 November 2018. A Certificate of Registration is attached. You can apply to the Australian Skills Quality Authority (ASQA) to renew or withdraw your organisation's registration, and timeframes and obligations apply to each process. There are also obligations on organisations that effectively cease to operate, even though they remain registered as RTOs. Further information about obligations in these circumstances is available from the <u>ASQA</u> website.



Scope of registration

The organisation's scope of registration – the vocational education and training (VET) courses that your organisation is registered to provide – is listed on the National Register. Please note that Sections 93-94 of the Act provide for the imposition of monetary penalties on RTOs that provide all or part of a VET course outside scope of registration.

If the training and assessment provided is likely to lead to students applying for a licence/recognition to operate in a relevant industry, you will need to ensure that you meet the requirements of the relevant national or state/territory regulator/s. Please contact the relevant regulator/s to ensure you have satisfied regulatory requirements before delivery and ensure that marketing materials are accurate.

Changes to scope of registration

You must apply to ASQA if your organisation wishes to change its scope of registration by either adding or removing a VET course. Information on the process to make changes to your scope of registration is available from the <u>ASQA website</u>.

RTO ID number

You **must** quote your organisation's RTO ID number in all future correspondence with ASQA. This number **must** also be included on the qualifications and statements of attainment that you issue and the marketing materials that you use as an RTO.

Post-Initial Audit

As a new RTO, you will be required to participate in an audit within twelve months of commencing operation. This is an opportunity to demonstrate compliance with the Standards for NVR Registered Training Organisations, and it is also an opportunity to demonstrate how your RTO has continuously improved the quality of its services in the period since registration. You will be contacted when this audit is ready to be scheduled so that a suitable date can be confirmed.

Maintaining compliance

I wish to remind you that you have signed a statutory declaration in which you have accepted responsibility for ensuring compliance with the VET Quality Framework. This framework comprises the following components:

- the Standards for NVR Registered Training Organisations
- the Australian Qualifications Framework
- the Fit and Proper Person Requirements of the Act
- the Financial Viability Risk Assessment Requirements of the Act
- the Data Provision Requirements of the Act.

This is an important commitment that requires you to actively manage and monitor your RTO's activities to ensure that compliance is maintained at all times and across all of your operations.

Please note that your organisation is required to comply with the Standards for NVR Registered Training Organisations from the date of registration.

RTO compliance is the mandated foundation upon which organisations should plan and achieve quality improvements to their training and assessment services.



ASQA fees and charges

Please refer to ASQA website for details of fees and charges that apply to your registration.

Conditions of registration

You are required to comply with the conditions of registration set out in Sections 22-28 of the Act, as well as any additional conditions that ASQA, as the national VET regulator, has imposed on your organisation's registration.

There are no additional conditions imposed on your organisation's registration.

Further information and assistance

If you require further information or assistance in relation to this matter, please contact the ASQA Info Line on telephone 1300 701 801.

Yours sincerely

DAVID GARNER

Regional Manager Compliance



Audit report – VET Quality Framework Initial registration as a national VET regulator (NVR) registered training organisation

ORGANISATION DETAILS	
Organisation's legal name	First Door Training and Development Pty. Ltd.
Trading name/s	n/a

AUDIT TEAM	The second secon
Lead auditor	Mrs Karen Noble
Auditor/s	unga de n/a engana bagasa a ni responsa da del carrelegi o gal lara pel e as
Technical adviser/s	n/a

AUDIT DETAILS		
Application number/s	1039922	e Mes alpendos de Sacreno de Irolas Sacre
Audit number/s	1004297	
Address of site/s visited	14 Page Street, North Lakes	QLD 4509
Date/s of audit	10 October 2013	
Organisation's contact for audit	Mrs Cindy Donald	Executive Officer
	cindy@firstdoor.com.au	0433114153
NVR standards audited	All Standards for Initial Regis	tration

BACKGROUND

- The organisation applied for the qualification CHC50908 Diploma of Children's Services (Early childhood education and care), and six additional explicit units from the BSB07 Business Services and the TAE10 Training and Assessment Training Packages, to provide additional supporting skills to its cohort for the qualification of existing early childhood workers.
- Prior to the site audit, the qualification was superseded by CHC50113 Diploma of Early Childhood
 Education and Care in September 2013. The organisation provided written confirmation of its request to
 amend its application to enable it to offer the most current qualification on its scope of registration.
- At the site audit, it was identified that the organisation did not require the following units of competency
 to be explicitly registered, as the units formed part of its strategy for the qualification CHC50113 Diploma
 of Early Childhood Education and Care, and were not required as part of a skill set:
 - o BSBMGT406A Plan and monitor continuous improvement
 - o TAEDEL404A Mentor in the workplace
 - BSBLED401A Develop teams and individuals.
- At the site audit, although it had developed assessment materials for the superseded qualification, it was identified that the organisation had been unable to develop assessment materials to meet the requirements of the new qualification, due to the short period of time between its release and the site audit. The lead auditor viewed the assessment materials it had developed, for the units CHCECE022 Promote children's agency and CHCORG428A Reflect on and improve own professional practice and found them to be compliant with requirements of the Training Package. The organisation provided its strategy for delivery and assessment of the qualification, and its timetable for assessment development, with delivery due to commence in February 2014, and the two units selected by the Lead Auditor due to be delivered in June 2014. This was sufficient to demonstrate compliance with SNR 4.5.

AUDIT SAMPLE		
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*
CHC50113	Diploma of Early Childhood Education and Care	Workplace
BSBHRM405A	Support the recruitment, selection and induction of staff	Workplace
BSBLED501A	Develop a workplace learning environment	Workplace
TAEDEL301A	Provide work skill instruction	Workplace
*Apprenticeship, Traine	eship, Face to face, Distance, Online, Workplace, Mixe	ed. Other (specify)

INTERVIEWEES			
Name	Position	Qualification/Course/Unit code/s	
Mrs Cindy Donald	Director	BSBHRM405A, BSBLED501A, TAEDEL301A	
Ms Andrea Isitt	Director	CHC50113	

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 10/10/2013: 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 10/10/2013: Compliant

AUDIT FINDING BY STANDARD		
Standard	Original finding	Finding following rectification
SNR 4	Compliant	n/a
SNR 5	Compliant	n/a
SNR 6	Compliant	n/a
SNR 7	Compliant	n/a
SNR 8	Compliant	n/a
SNR 9	Compliant	n/a
SNR 10	Compliant	n/a
SNR 11	Compliant	n/a
SNR 12/AQF	Compliant	n/a
SNR 13	Not compliant	Compliant
SNR 14	Compliant	n/a

SNR	4 The applicant must have strategies across all of its operations as follo	in place to provide quality training and assessment ws:	
4.1	The applicant has a defined continuous and analysis of data. The strategy incactivities for training and assessment	us improvement strategy that requires the collection ludes implementation of continuous improvement	
	Original finding: Compliant	Following rectification: n/a	
4.2		nt meet the requirements of the relevant Training d have been developed through effective consultation	
	Original finding: Compliant	Following rectification: n/a	
4.3	applicant meet the requirements of th	aining and assessment materials to be used by the of the Training Package or VET accredited course and the assment strategies and are developed through effective	
	Original finding: Compliant	Following rectification: n/a	
4.4	The applicant has a defined strategy, procedures and measures to ensure training and assessment services are conducted by trainers and assessors who:		
	(a) have the necessary training and as National Skills Standards Council or i	ssessment competencies as determined by the ts successors;	
	(b) have the relevant vocational compassessed;	etencies at least to the level being delivered or	
	(c) can demonstrate current industry s being undertaken; and	skills directly relevant to the training/assessment	
	(d) continue to develop their vocation as well as their industry currency and	al education and training (VET) knowledge and skills trainer/assessor competence.	
	Original finding: Compliant	Following rectification: n/a	
1.5	The applicant has a defined strategy and procedures in place to ensure that assessment, including Recognition of Prior Learning (RPL):		
	(a) will meet the requirements of the re	elevant Training Package or VET accredited course;	
	(b) will be conducted in accordance we evidence;	ith the principles of assessment and the rules of	
	(c) will meet workplace and, where rel	evant, regulatory requirements; and	
	(d) is systematically validated.		

Original finding: Compliant

SNR 5	The applicant must have strategies equity and to maximise outcomes for	in place to adhere to the principles of access and or its clients, as follows:	
5.1	The applicant has a strategy in place de its clients.	etailing how it will establish and meet the needs of	
	Original finding: Compliant	Following rectification: n/a	
5.2	The applicant has a strategy in place for client services informed by the analysis	or the implementation of continuous improvement of s of relevant data.	
	Original finding: Compliant	Following rectification: n/a	
5.3		process and mechanism to provide all clients information ent and support services to be provided, and about their rights	
	Original finding: Compliant	Following rectification: n/a	
5.4		ning and assessment strategy, the applicant has engaged or has o engage with employers or other parties who contribute to assessment on the development, delivery and monitoring of	
		rith employers or other parties who contribute to	
	each learner's training and assessmen	rith employers or other parties who contribute to	
5,5	each learner's training and assessment training and assessment. Original finding: Compliant	rith employers or other parties who contribute to t on the development, delivery and monitoring of Following rectification: n/a	
5,5	each learner's training and assessment training and assessment. Original finding: Compliant The applicant has a defined process are	rith employers or other parties who contribute to t on the development, delivery and monitoring of Following rectification: n/a	
	each learner's training and assessment training and assessment. Original finding: Compliant The applicant has a defined process artraining, assessment and support service original finding: Compliant	rith employers or other parties who contribute to ton the development, delivery and monitoring of Following rectification: n/a and mechanism in place to ensure learners receive ices that meet their individual needs. Following rectification: n/a and mechanism in place to ensure learners have	
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5.5 5.6 5.7	each learner's training and assessment training and assessment. Original finding: Compliant The applicant has a defined process artraining, assessment and support service original finding: Compliant The applicant has a defined process artimely access to current and accurate reforming finding: Compliant	rith employers or other parties who contribute to ton the development, delivery and monitoring of Following rectification: n/a and mechanism in place to ensure learners receive ices that meet their individual needs. Following rectification: n/a and mechanism in place to ensure learners have records of their participation. Following rectification: n/a and appeals process that will ensure learners'	

SNR 6		nagement systems that will be responsive to the ers, and the environment in which the RTO will	
6.1	The applicant has a strategy in place detailing how the management of its operations will ensure clients receive the services detailed in their agreement with the applicant.		
	Original finding: Compliant	Following rectification: n/a	
6.2	The applicant has a defined strategy for improvement approach to the management	r the implementation of a systematic continuous nent of operations.	
	Original finding: Compliant	Following rectification: n/a	
6.3	Where applicable, the applicant has a defined process and mechanism to monit and/or assessment services provided on its behalf to ensure that it complies wi aspects of the VET Quality Framework.		
	Original finding: Compliant	Following rectification: n/a	
6.4	The applicant has a defined strategy an accuracy and integrity.	d process to manage records to ensure their	
	Original finding: Compliant	Following rectification: n/a	
SNR 7	The applicant has adequate governa	nce arrangements, as follows:	
7.1	The applicant must demonstrate to the	National VET Regulator;	
	(a) what its intended objectives as an R	TO are;	
	(b) that it has undertaken business plan (c) the continuing viability, including fin	ning; and ancial viability, of its proposed operations.	
	Original finding: Compliant	Following rectification: n/a	
7.2	The applicant must also demonstrate how it will ensure the decision making of senior management is informed by the experiences of its trainers and assessors.		
	Original finding: Compliant	Following rectification: n/a	
7.3	with the VET Quality Framework and an	entify how he or she will ensure that it will comply y national guidelines approved by the National ors. This applies to all of the operations within the	
	Original finding: Compliant	Following rectification: n/a	

SNR 8	Interactions with the National VET Re	egulator	
8.1	The application for initial registration method applicant's compliance with the VET	ust be accompan <mark>ied by a self-assessment report</mark> of Quality Framework.	
	Original finding: Compliant	Following rectification: n/a	
8.2	The applicant's chief executive must identify how it will ensure that the applicant will co- operate with the National VET Regulator:		
	(a) in the conduct of audits and the mon	itoring of its operations;	
	(b) by providing accurate and timely dat	a relevant to measures of its performance;	
	(c) by providing information about signi		
	(d) by providing information about signi	ficant changes to its ownership; and	
		and transfer of records consistent with National VET	
104	Original finding: Compliant	Following rectification: n/a	
SNR 9	Compliance with legislation		
9.1	The applicant must identify how it will comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its intended operations and its intended scope of registration.		
	Original finding: Compliant	Following rectification: n/a	
		ill inform staff and clients of the legislative and heir duties or participation in vocational education and	
9.2			
9.2	regulatory requirements that affect their		
	regulatory requirements that affect their training. Original finding: Compliant	duties or participation in vocational education and	
9,2 SNR 10	regulatory requirements that affect their training. Original finding: Compliant	Following rectification: n/a	
SNR 10	regulatory requirements that affect their training. Original finding: Compliant Insurance	Following rectification: n/a	
SNR 10	regulatory requirements that affect their training. Original finding: Compliant Insurance The applicant must hold public liability original finding: Compliant	Following rectification: n/a Insurance. Following rectification: n/a	
SNR 10	regulatory requirements that affect their training. Original finding: Compliant Insurance The applicant must hold public liability original finding: Compliant Financial management for initial regions.	Following rectification: n/a Following rectification: n/a insurance. Following rectification: n/a stration ate to the National VET Regulator, on request, that	

- 11.2 The applicant must identify how it will provide the following fee information necessary for continuing registration, 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 RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;
 - (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and
 - (e) the applicant's refund policy.

Original finding: Compliant

Following rectification: n/a

- 11.3 Where the applicant intends collecting student fees in advance it must ensure it will comply with one of the following acceptable options for continuing registration:
 - (a) (Option 1) the RTO is administered by a State, Territory or Commonwealth government agency;
 - (b) (Option 2) the RTO holds current membership of an approved Tuition Assurance Scheme; [option 2 not currently available]
 - (c) (Option 3) the RTO may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;
 - (d) (Option 4) the RTO holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the RTO which are prepayments from students (or future students) for tuition to be provided by the RTO to those students; or
 - (e) (Option 5) the RTO has alternative fee protection measures of equal rigour approved by the National VET Regulator. [option 5 not currently available]

Original finding: Compliant

Following rectification: n/a

- SNR 12 Strategy for certification, issuing and recognition of qualifications & statements of attainment
- 12.1 The applicant must identify how it will 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 requirements;
 - (b) identifies the RTO by its national provider number from the National Register; and
 - (c) includes the Nationally Recognised Training (NRT) logo, in accordance with the current conditions of use.

Original finding: Compliant

12.2 The applicant must confirm that it will recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.

Original finding: Compliant

Following rectification: n/a

12.3 The applicant 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

12.4 The applicant must identify how it will 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.

12.5 The applicant must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]

This element was not audited.

SNR 13 Strategy for accuracy and integrity of marketing

13.1 The applicant must demonstrate that its proposed marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- On 4 October the organisation's website was reviewed and found to give misleading information that the organisation was already registered as an RTO with ASQA, and that it was entitled to deliver 'accredited training'. Although aspects of the site were not available for public view, the website did not clearly state that the organisation is not currently registered as an RTO. The organisation was immediately advised of the non-compliance and the website was removed from public access. The website was again reviewed on 7 October and found to be compliant. No further action is required.
- 13.2 The applicant demonstrates that it will use the NRT logo only in accordance with its conditions of use.

Original finding: Compliant

SNR 14 Strategy for transition to Training Packages/expiry of VET accredited courses

14.1 The applicant must identify how it will 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

14.2 The applicant must identify how it will manage the transition from superseded VET accredited courses so that it will deliver only currently endorsed Training Packages or current VET accredited courses.

Original finding: Compliant