



NSW Vocational
Education & Training
Accreditation Board

AQTF 2007 Compliance Audit Report

Kaplan Education Pty Ltd

05-02-2009

AQTF 2007 AUDIT REPORT

RTO DETAILS			
RTO Legal Name	Kaplan Education Pty Ltd		NTIS Number 90116
Trading name	Kaplan Education Pty Ltd and Kaplan Professional		Business No BN98346119
	ACN 089 002 371	ABN	
Street address	Level 4 45 Clarence Street, Sydney NSW		Postcode 2000
Postal address	Level 4 45 Clarence Street, Sydney NSW		Postcode 2000
Phone		Fax	
E-mail	lee.ushakoff@kaplan.edu.au		Website www.kaplanprofessional.edu.au
Registration contact <small>Person responsible for registration matters</small>	Name Lee Ushakoff	Position	National Manager, Education Design & Governance
Student numbers <small>Currently enrolled</small>	Advice as at May 2008: 9,228 pax enrolled. The majority of learners were enrolled in FNS50804 Diploma of Financial Services (Financial Planning): 5,267		

AUDIT TEAM			
Lead auditor	Julie Wallis	Auditor(s)	Sue Melinz
Technical advisor(s)		Observer(s)	
REGISTERING BODY DETAILS			
Contact person	Julie Wallis		
Phone	9244 5398	E-mail	julie.wallis2@det.nsw.edu.au
AUDIT DETAILS			
Type of audit	Renewal		
Standards audited	All		
Conditions audited	All		
Audit date(s)	05-02-2009		

INTRODUCTION
<p>Kaplan Education Pty Ltd trading as Kaplan Professional is the RTO that sits under Kaplan Australia, part of Kaplan Asia Pacific. Kaplan Asia Pacific is a division of Kaplan Incorporated, a wholly owned subsidiary of Washington Post Organisation, a listed company on the USA Stock Exchange.</p> <p>In 2005, Kaplan Inc. acquired the business assets of an RTO called Tribeca which mainly focussed on financial planning qualifications. In 2007, Kaplan Inc also acquired the business assets of another RTO, Finsia Education which focussed on broader financial services markets. The two RTO businesses have been integrated under the Kaplan Professional brand over the past 18 months. Records held at Quality Assurance Services indicate that there have been a number of changes of legal names and trading names. Not only have the course offerings, pedagogies, methodologies, systems, processes and under-pinning technologies seen this integration but significant numbers of RTO staff are now employed to work for Kaplan Education Pty Ltd and have also made the transition from Tribeca or Finsia Education. Key Business Units for RTO operations are:</p> <ul style="list-style-type: none"> • Financial Services Education – Vocational Education • Real Estate – Vocational Education • Accounting – Vocational Education <p>The Business Units listed above clearly reflect the RTO's scope of registration (see attached application). The Vocational Education Groups consist of 38 employees with some in Queensland in Customer Service/back office functions, the remainder based in Sydney. The Vocational Education groups are a combination of permanent and permanent part time staff. Trainers and assessors are employed on a contract basis for workshop delivery, assessment activities including marking assignments and on-line support service delivery to learners.</p>

FOCUS OF AUDIT		
NTIS Code	Qualification(s), Unit(s) of competency, Accredited course(s) as per NTIS	Delivery site(s)
Please see attached for scope details. The audit sampled qualifications and Real Estate UOCs across the scope but focussed on FNS50804 Diploma of Financial Services (Financial Planning) as the qualification which accounts for over half of the RTO's enrolments.		

INTERVIEWEES		
Staff (name and position), Employers (name and position), Students (by program only; do not list by name)		
Name	Position	Program (qualification, course, etc)
Lee Ushakoff	Project Manager (Compliance)	All aspects of AQTF compliance with a focus on continuous improvement activities
Marilyn Hill	General Manager	All aspects of registered Financial Services training in VET sector
Karen O'Neill	Education Administration	Discussion and demonstrations of administration and related databases for: <ul style="list-style-type: none"> • Student records • Complaints database • Quality systems eg continuous improvement register
Jenny Rolf	Training and assessment materials developer - Financial Services	Diploma in Financial Services (Financial Planning)
Kaye Fisher	Program Manager, Real Estate	All aspects of Real Estate qualifications and UOCs on scope. Effect and tracking inter-state legislations and regulatory requirements of real estate programs when delivered in all states
Paula Irvine	Course Development	Course development in general, transition to CPP07 Property Services Training Package. Working documents eg mapping documents, presented and discussed
Leanne Broadbent	Trainer/Assessor	Diploma of Financial Services (Financial Planning).
David Inge	National Manager Vocational Education	Overview of vocational education and related systems
David Montgomery	Team Leader, Course Management	Management of vocational qualifications including management systems eg complaints log, continuous improvement log
Ian Camlett	Assessment Team Leader	Assignment submission, marking and recording cycle. Assessment moderation and validation activities

SUMMARY OF AUDIT

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 2007 Essential Standards for Registration. The Conditions of Registration were also audited

Audit Outcome

2009-03-03 The organisation **has** demonstrated compliance with the relevant AQTF 2007 Essential Standards and Conditions of Registration.

AUDITOR'S RECOMMENDATION

2009-03-03 That, under the relevant section of the VET Act 2005, the organisation's application be **approved**

Auditor's Name	Julie Wallis	Signature		Date of Report	2009-03-03
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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

Under the Kaplan Professional brand, the RTO has seen a dynamic period over the past 18 months in the pursuit and consolidation of processes and systems to enhance the quality of training and assessment provisions. Extensive data is collected, analysed and utilised as a springboard to continuous improvement activities and enthusiastic, highly professional staff from across Sydney Head Office were available at site audit to discuss and demonstrate improvements in the quality of training and assessment.

Strengths

Opportunities for Improvement

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 presented evidence of a client focussed approach across the organisation whether the client is an individual learner in a remote location or a high-end corporate employer in Sydney CBD. Systems and processes are in place to continuously improve client outcomes. Evidence of improvements made in order to maximise retention rates in a particular Financial Services module is presented in this report with learning materials and assessment processes being simplified and made more accessible to the learner.

Strengths

www.kaplanprofessional.edu.au provides not only information but significant learner support with evidence of continued up-grade and improvements presented at site audit.

Opportunities for Improvement

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

Management systems are in place to ensure that all stakeholders have opportunity to input and give feedback across all RTO operations. Interviewees at audit expressed how responsive management was to their concerns. Analysed data was also presented as was how this data was further analysed at management meetings and used for continuous improvement opportunities.

Strengths

Complaints database and related processes in the Brisbane-based contact centre is a robust system that displays both immediate and longer term responses to client concerns.

Opportunities for Improvement

Auspicing arrangements:
The RTO has improvements planned that more clearly define the auspiced organisation's obligations in relation to the Essential Standards of Registration

ESSENTIAL STANDARDS AND ELEMENTS

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

1.1 Training and assessment is continuously improved by collecting, analysing and acting on relevant data.

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

Proforma/feedback sheets – blank and/or completed, analysed data, meeting minutes, Continuous Improvement Log, old and new versions of learning materials, old and new versions of assessment materials

Data is gathered from:

Students, practitioners / trainers, subject matter experts (writers) and employers

Feedback is gathered at the end of all workshops from both learners and facilitators. Analysed feedback sighted. A rating system is used and any rating under 70% approval is actioned

David Montgomery Team Leader - Course Management, receives all initial feedback. Each course module is has its own feedback and working electronic file.

All feedback is analysed and recommended changes are logged into Continuous Improvement Log document.

Internal AQTF Audit conducted annually– documentations supplied

The continuous improvement cycle was tracked via examples within FNS50804 Diploma of Financial Services (Financial Planning). A grouping of UOCs from this qualification is presented and assessed holistically via a “Module” called Entry Level Competencies (ELC). Feedback data from learners, workshops, trainers/assessors and employers was under the 70% approval rating. Retention rates of this subject were low (retention benchmarks are KPIs for all relevant managers). ELC Learning and assessment materials have recently been re-written. These improvements will be monitored via mechanisms described above to determined if approval ratings and retention rates have improved

Vocational Education product development plan 2008/9

Objectives: Improve the student experience, Improve technical quality & accuracy, Correct errors and provide a fast, managed response to negative feedback, Improve student support and reduce unnecessary student contacts. *Details under the following headings:* Subject notes now available on line, Subject introductions up-dated, data Modelling and embedding, Improved correction process

Findings

Raw and analysed data from training and assessment across the RTO's current scope was available at site audit.

The RTO collects and analyses data from all stakeholders and has systems in place to ensure that this data feeds into continuous improvements that enhances the quality of training and assessment, often via targeted projects as described above

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	

www.kaplanprofessional.edu.au contains RTO's training and assessment strategies across a range of documents

FNS50804 Diploma of Financial Services (Financial Planning)

Competency list August 2008, Sydney Financial Services Intensive Workshops schedule Feb – April 2009 – includes FNS50804 and FNS60404. Entry level Competencies (ELC Learning Outcomes May 2008)– Module of FNS50804

FNS50804 trainer and assessor: Leanne Broadbent - audit interview: Discussed delivery and assessment of FNS50804 in general and a Module (subject) of FNS50804 called *Entry Level Competencies* (ELC):

Average delivery and assessment timeframe: 60 hrs per Module - 20hrs of pre-reading, Workshop delivery ie 20 face to face. 20hrs home/work study. 12 – 14 pax average class size. Discussed assessments including financial plans – 3-4 plans submitted for this qualification - and examinations.

Real Estate qualifications and UOCs

Kaye Fisher – Real Estate Manager and Paula Irvine – Developer / Industry expert – interview at site audit

Transitional arrangements to new Real Estate Training package – Implementation Committee

Project plan provided – Transitional arrangements to accommodate new and old Training packages. Current program trained and assessed in three areas. Currently rewriting to train and assess all units in an holistic format

Documentations show differing programs in different states to comply with state regulations. Workshop program throughout Australia posted in website

Industry consultations

Evidence in the form of Committee Meetings eg Real Estate Implementation Committee

Analysed Feedback from Employers, entries on the Continuous Improvement Log

Findings

Training and assessment strategies are in place for all qualifications and UOCs with industry consultations key in the development and improvement of the strategies

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 training and assessment strategies.

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

Staff – see introduction and interview section above for examples of staff interviewed. The RTO is serviced by Corporate Services (accounting, IT, Human Resources, Facilities, corporate communications) and Business Units as detailed in the introduction

Head Office facilities include the following:

- fully equipped training rooms X 2 – white boards, light-pro etc
- student break-out area with modern, appropriate facilities – tea/coffee making, microwave, vending machines, tables & chairs, lounges, Harbour views
- exam room (with exam in progress) – Financial Services on line, open book exam in this instance. Video surveillance from reception – 4 cameras. Supervised exams are arranged for more remote students eg in workplace, local library etc.
- Business Units are in open plan office spaces across level 12 of 45 Clarence Street with fully equipped work stations, office equipment, staff kitchen and lunch facilities

Interstate: administrative offices and fully equipped education premises are maintained in Sydney, Brisbane Adelaide and Perth (details supplied)

Learning and assessment support facilities – Customer Service Centre based in Queensland, website

Learning and Assessment materials

Learning and Assessment materials are developed by in-house employees working in the Vocational Education Groups within Business Units. Learning and assessment folders sampled:

- Fundamentals of Accounting
- Certificate IV in Financial Services (Accounting)
- Work Skills for the Financial Services Industry

Materials Up-date 2009 Excel spreadsheet with version control included

FNS50804 trainer and assessor: Leanne Broadbent - audit interview Management listens to feedback, clients, contractors and students. Complaints, issues and/or recommendations in relational to manual/materials errors or updates is sent in email to management.

Email notification sent to Facilitators advising of technical changes and updates in relation to materials.

Jenny Rolf - Material author/developer – audit interview: material development for Entry Level Competencies (ELC). Discussed and presented the newly developed materials for Module of FNS50804. Discussed how materials had been modified to be more accessible to learners as a result of learner, trainer and employer feedback. Old and new materials presented

Findings

RTO has resources which meet the requirements of the Training Packages and are in line with training and assessment strategies and the RTO's scale of operations

- 1.4 Training and assessment is delivered by trainers and assessors who:**
- (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.

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

Seven (7) documents called 1.4.1 Central Staff Matrix provided.

- 1) Financial Services Trainers
- 2) Financial Services Assessor
- 3) Financial Services Workplace Assessors
- 4) Assessors Frontline Management
- 5) Certificate IV Financial Services Accounting
- 6) Real Estate NSW
- 7) Real Estate QLD

The following trainer and assessor staff files were sampled:

Financial Services:

Leanne Broadbent - Scanned copies of all trainers qualifications on file (sighted)

BSZ40198 Certificate IV in Assessment and Workplace Training issued by UTS 03/07/01

Diploma of Financial Planning issued by FPA 30/03/01

Leanne has been training for past 10years, 7years contracting to Kaplan and is also a Student Support provider for Financial Planning. Leanne was interviewed at audit and her input into the audit process is referenced throughout the report as it relates to a given Essential Standard

Damian Bridge Trainer/Assessor - Scanned copies of all trainers qualifications on file (sighted)

BSZ40198 Certificate IV in Assessment and Workplace Training. Issued by Finsia July 2008

Bachelor of Economics (Hons) University of Sydney 26/02/1993 CPA, CFA

Real Estate:

Daniel Irvine Trainer/Assessor – Scanned copies of all trainers qualifications on file (sighted)

BSZ40198 Certificate IV in Assessment and Workplace Training. Issued by Wintrain Training and Development Services January 20th 2001. Property, Stock and Business Agents ACT 2002 Licence. NSW Office of Fair Trading 6th June 2008.

Business Licence, Stock & Station, (Real Estate) Issued by REINSW 08/02/08.

Diploma of Business (Real Estate Management) (2219) Issued by CIT May 2000. Statement of Attainment PRD50101 Diploma of Property (Real Estate) Issued by REINSW 8/02/08. PRD40101 Certificate IV Property (Real Estate) Issued by REINSW 08/02/08

Rodney Felsch Trainer/Assessor QLD - Scanned copies of all trainers qualifications on file (sighted)

BSZ40198 Certificate IV in Workplace Training and Assessment. Issued by QLD TAFE May 2002

Diploma of Business (Real Estate Management) (2219) Issued by Australian Property College 25 March 2003

Professional development

All trainers/assessors have access to Workshops for Vocational Education Practitioners, Seminars for Postgraduate Practitioners.

On Track is a comprehensive, user friendly online training system for financial services professionals.

Monthly Practitioner Newsletter, Practitioner PD Calendar - Key focus areas 2008-09 and the Practitioner Portal Login. (sighted)

Examples of professional development:

3rd July 2007 PD day for Real Estate Vocational Group – Unpacking CPP07 with Gail Evans as facilitator

3rd Oct 2007 Develop Assessment Tools with Sue Flindell

1.4.8 – Practitioner professional development policy

3.1.2 - Facilitator Contracts

Findings

RTO employs trainers and assessors who meet the requirements of the standard in both terms of training and vocational qualifications and experience. Trainers and assessors have access to a range of PD activities offered by the RTO as exemplified in the Practitioner PD Calendar

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	

Online exam in progress at site audit in exam room. Close circuit TV with candidates monitored from reception
 The Finance and Investment Industry (D515) Sample examination provided.

FNS50804 trainer and assessor: Leanne Broadbent - audit interview:

Financial training and assessment: references ASIC compliance (eg 146) where relevant

RPL: Portfolio of evidence provided by student for assessment. Students are granted exemptions for recognised industry qualifications. i.e (Recognised Industry Standards - Financial Planning Association Standard courses 1,2, 3 & 4)

Students are able to re-sit exams twice per module. Resubmission rate 20%.

Exams are conducted online.

Some assessments tasks are paper based. – Submitted by students by post, Industry Practitioner marks assessments and manually entered into Filemaker data base by in-house coordinators and confirmation letters then sent to learner.

Learning and assessment folders sampled:

- Fundamentals of Accounting
- Certificate IV in Financial Services (Accounting)
- Work Skills for the Financial Services Industry

NSW **Real Estate** Licence - RPL checklist

RPL Application – NSW Real Estate Licencing Program

OFT link & referenced on website re. real estate licencing and training

Workplace assessments sampled and discussed with Ian Camlett, Assessment Team Leader

Findings

A wide range of assessment documentations and processes were sampled and discussed with relevant staff at site audit. The RTO demonstrated that assessments are conducted in line with the standard

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

2.1 Client services are continuously improved by collecting, analysing and acting on relevant data.

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

Proforma/feedback sheets – blank and/or completed, analysed data, meeting minutes, Continuous Improvement Log, old and new versions of learning materials, old and new versions of assessment materials

Data is gathered from:
 Students, practitioners / trainers, subject matter experts (writers) and employers
 Feedback is gathered at the end of all workshops from both learners and facilitators. Analysed feedback sighted. A rating system is used and any rating under 70% approval is actioned
 All feedback is analysed and recommended changes are logged into Continuous Improvement Log document.

Forum Moderator Feedback - Questionnaire and Results sighted
 Learner Material Feedback Sheet
 Complaints database demonstration

Internal AQTF Audit conducted annually– documentations supplied

Vocational Education product development plan 2008/9
 (See 1.1 above) – a key driver of this plan is improvement of learner retention rates

Findings
 Data is collected, analysed and used to improve client services in line with the standard

2.2 Clients are informed about the learning, assessment and support services to be provided and their rights and obligations prior to enrolment and/or entering into a contract with the RTO.

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

www.kaplanprofessional.edu.au includes all course information
 Website copy sampled includes:

- Information and Australia-wide schedules for *Real Estate Course Information Sessions* and *Financial Services Course Information Sessions*
- Course content/UOCs listed for all qualifications on scope
- Workshop timetables
- Continued Professional Development – information booklet NSW (Real estate pre-course information)
- Costs

Brisbane Offices - Front line call centre for all initial student contact – policies, advice, complaints and provide on-going support once students are enrolled.

Student Handbook

Technical resource requirements are clearly detailed – email access, calculators, reference tools, software requirements are details eg java script, cookies – to ensure the learner has access to the equipment needed to successfully complete studies

Findings
 Clients are informed in line with the standard to enable an informed choice prior to enrolment or entering into a contract

2.3 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of learning and assessment.				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>Employer feedback collected and analysed – data sighted and tracked to Continuous Improvement Log</p> <p>Review meetings with clients/employers – annually or as required – used to clarify any issues related to delivery or assessment and the basis for customization – the responsibility of the Business Development Managers</p> <p>Enrolment and Traineeship Coordinator works with employer and provides induction information. Employer Resource Assessment is completed to ensure adequate resources – fact Sheet 2.3.3, Employer Resource Assessment – 2.3.4</p>				
Findings				
RTO has systems and processes for engaging employers in delivery and monitoring of learning 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	
<p>Website copy details Study support and resource requirements under the following headings:</p> <ul style="list-style-type: none"> • <u>My Kaplan/My studies</u> – on line resources/chat room, study guide, subject notes, supplementary reading materials, updates, FAQs, library and full text database • Student Advisors – access via website • Technical support – clarification of subject notes & assignment material – separate email addresses for course areas eg real estate, superannuation & retirement planning • Support for students with special needs • LL&N support <p>Technical resource requirements are clearly detailed – email access, calculators, reference tools, software requirements are detailed eg java script, cookies</p> <p>Lecture Timetables, subject notes, study guides and corrections or updates of materials also available on line Online lecture and information, subject notes, study guides – demonstrated at audit for Financial Services</p> <p>Discussion Forum and Technical query sections of the website have been combined. A moderator practitioner facilitates and answers all student issues and queries.</p>				
Findings				
RTO has support services and flexible study options to ensure that the individual needs of learners are met				

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>Website demonstration at audit showed how students can access results via password log-in</p> <p>Student information / Student Handbook on website informs the learner</p> <p>Assessment resubmission forms available on website</p> <p>Policies and procedures</p>				
Findings				
<p>Students have direct access to records, resubmission information and individual results via a log in portal/students/subject room on website. A new student access system is currently being implemented and rolled out for all qualifications to further improve levels of interaction for learners</p>				

2.6 Complaints and appeals are addressed efficiently and effectively.				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>Student Grievance Policy July 2008 (v18_July2008). Covers both complaints and assessment appeals. Grievance procedure flow chart p2. Explains stages of lodging, investigating and resolving complaints and assessment appeals and grievances. For assessment appeals a</p> <p>Brisbane Offices - Front line call centre for all initial student contact – policies, advice, complaints and provide on-going support once students are enrolled.</p> <p>Demonstration at audit: complaints database – as maintained by Brisbane Offices. Notes complaints open, resolved and all contact with complainant. Complaints data is fed into the continuous improvement process if applicable</p> <p>VETAB does not have any records of complaints against Kaplan Education Pty Ltd</p>				
Findings				
<p>RTO has policies, procedures, systems and staff that enable complaints to be addressed effectively and efficiently. Complaints data is analysed and used as opportunities for improvement when applicable</p>				

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

3.1 A systematic and continuous improvement approach to the management of operations is used.

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

Feedback and data analysis systems described above

AQTF Internal Audits 2007, 2008
Policies and procedures are reviewed annually
Regular and systematic reviews of key data
Regular reviews of assessment data

National Manager Financial Services and General Manager Real Estate are responsible for overseeing AQTF and RTO obligations including continuous improvements

Kaplan Professionals newly introduced Enterprise Risk Management Framework is being implemented to provide a more structured framework for many aspects of the business including contributing to efficiency and effectiveness, promoting openness in decision making and improving communication

Communication processes: team meetings, company-wide meetings, Un-kapped staff newsletter, email communication

Findings

Systems are in place to ensure that management of RTO operations has a continuous improvement approach

3.2 Training and/or assessment services provided on behalf of the RTO are monitored to ensure they comply with all aspects of the Essential Standards for Registration.

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

- RTO maintains an Auspice Register – sighted at audit
- Sampled agreements, all on standard template between the RTO and the following organizations:
 - Count, Bank of Queensland, Bank West, Adelaide Bank
- RTO also has agreements in place with Aussie Home Loans to deliver Cert IV in Mortgage Broking

Discussions about how the current agreement could be improved and RTO's risks minimized, if the agreements were more specific in relation to compliance against the Essential Standards

Monitoring of agreements:
Audit report No 31 Jan 2009 – Audit of Adelaide Bank for tier 2 training (2 UOCs) - a review of portfolios of evidence for each candidate
Audit report 17/12/2007 – Audit of assessments conducted by Count. RTO assessor re-marked/moderated all assessments for UOC cluster. Evidence (assessment sheets with result changed) that 4 candidates were then found to be NYC and were re-assess

Findings

Evidence that the RTO monitors training and assessment services provided on behalf of the RTO was available at audit

3.3 Records are managed to ensure their accuracy and integrity.

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

- Qualifications are issued in accordance with policies – 3.3.1 Qualifications and SOA policy
- 3.3.2 Procedure – exam marking
- Records are backed up off site
- Contracts in place with IT provider for IT support and disaster recovery – 3.3.4 Bluefire Contracts
- National Manager Vocational Education ensures that RTO obligations are met for financial services qualifications
- Assessment Coordinator is responsible for processing of student records for financial services
- Student records are maintained on Filemaker – demonstrated at audit by administrator

Findings
RTO has policies, procedures, systems and appropriate staff in place to ensure all records are accurate and managed with integrity

CONDITIONS OF REGISTRATION

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

CONDITION 1 – GOVERNANCE

The RTO's chief executive must ensure that the RTO complies with the Essential Standards for Registration 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.	Yes				Stat Dec submitted with application	
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CONDITION 2 – INTERACTIONS WITH THE REGISTERING BODY

The RTO's chief executive must ensure that the RTO cooperates with its registering body: <ul style="list-style-type: none"> • in the conduct of audits and monitoring of its operations • by providing accurate and timely data relevant to measures of its performance • by providing information about significant changes to its operations in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements.	Yes				Stat Dec submitted with application	
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CONDITION 3 – COMPLIANCE WITH LEGISLATION

<p>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.</p>	<p>Yes</p>				<p>Significant & consistently changing legislative & regulatory aspects to Financial & Real Estate items on scope. Impact on learning and assessment materials is tracked. Trainers and assessors are up-dated. Differing Real Estate requirements from state to state are catered for</p>	
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CONDITION 4 – INSURANCE

<p>The RTO must hold insurance for public liability throughout its registration period.</p> <p>Kaplan Education Pty Ltd listed as insured party Companies affording coverage: Insurance Company of State of Pennsylvania and American Home assurance Company</p>	<p>Yes</p>				<p>Certificate of Liability Insurance. Local Public Liability: No: 0000120922 from 01/01/09 to 01/01/10.</p>	
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CONDITION 5 – FINANCIAL MANAGEMENT

<p>The RTO must protect fees paid in advance and have a fair and reasonable refund policy.</p>	<p>Yes</p>				<p>Refund policy (refund-policy-V6) posted on website under policies tab</p>	
<p>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>	<p>Yes</p>				<p>Ernst & Young. Independent auditor's report for 31 Dec 2007 for Kaplan Australia Holdings P/L – details information and incomes under Kaplan Education P/L entity</p>	

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

<p>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:</p> <ul style="list-style-type: none"> • meets the Australian Qualifications Framework (AQF) requirements • identifies the RTO by its national provider number from the National Training Information Service <p>includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use</p>	<p>Yes</p>				<p>Sample testamurs and templates</p>	
<p>The RTO must retain learners' records of attainment of units of competency and qualifications for a period of 30 years.</p>	<p>Yes</p>				<p>P&P Manual Student Handbook/website</p>	

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.	Yes				P&P Manual Student Handbook/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.	Yes				P&P Manual www.kaplanprofessional.edu.au Green Sheet Processes – approvals for all website updates	
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CONDITION 9 – TRANSITION TO TRAINING PACKAGES/EXPIRY OF ACCREDITED COURSES

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.	Yes				P&P Manual Specific examples evident at audit for CPP07, BSB07 (See body of report for detail on CPP7)	
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