

# Integrated User Choice/AQTF 2007 Audit Report

Training Quality

Date: 24 April 2008

**Confidential**

Version 4

## National Retail Association Limited trading as National Retail Association Limited

| RTO DETAILS                           |  |            |  |
|---------------------------------------|--|------------|--|
| NTIS number                           | 0712   |            |  |
| Address                               | 345 St Pauls Terrace   |            |  |
| Audit venue                           | As above   |            |  |
| Contact person                        | Paul Willis  | Web site   | <a href="http://www.nra.net.au">http://www.nra.net.au</a>      |
| Phone number                          | (07) 3251 3000   | E-mail     | <a href="mailto:training@nra.net.au">training@nra.net.au</a>   |
| Student numbers                       | 90 - 100 funded trainees   |            |  |
| AUDIT TEAM                            |  |            |  |
| Lead Auditor                          | Drew Clark   | Auditor/s  | Bridget Toohey   |
| Phone                                 | (07) 3247 5410   | Adviser/s  | Nil  |
| E-mail                                | <a href="mailto:drew.clark@deta.qld.gov.au">drew.clark@deta.qld.gov.au</a>   | Observer/s | Anne Murray  |
| AUDIT DETAILS                         |  |            |  |
| Type of audit                         | Integrated   |            |  |
| Standards audited                     | 1.2, 1.3, 1.4, 1.5, 2.2, 2.3, 3.2.   |            |  |
| Conditions audited                    | 5 and 6  |            |  |
| Clauses audited                       | 3(h), 6(a), 7(b), 18   |            |  |
| Audit date/s                          | 18 June 2008   |            |  |
| Audit outcome on day of audit         | Compliant <input type="checkbox"/>   |            | Significant non-compliance <input checked="" type="checkbox"/> |
|                                       | Minor non-compliance <input type="checkbox"/>  |            | Critical non-compliance <input type="checkbox"/>               |
| Audit outcome following rectification | Compliant <input checked="" type="checkbox"/>  |            | Significant non-compliance <input type="checkbox"/>            |
|                                       | Minor non-compliance <input type="checkbox"/>  |            | Critical non-compliance <input type="checkbox"/>               |
| Other audit notes                     | <ul style="list-style-type: none"> <li>• Organisation's target group are small to medium sized enterprises</li> <li>• 100% workplace delivery – throughout Queensland</li> <li>• 6 trainers/assessors</li> <li>• 10 - 20% of annual income derived from User Choice contract</li> <li>• User Choice contract value - \$280,000.00</li> <li>• Condition of Registration 5 was audited as the organisation advised that fees are accepted from students in advance</li> <li>• Condition of Registration 6 was audited as non-compliances were identified in relation to qualification and statements of attainment sighted within the examination of student files.</li> </ul> |            |  |

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| FOCUS OF AUDIT |                                      |          |               |
|----------------|--------------------------------------|----------|---------------|
| NTIS code      | Qualification                        | Licensed | Delivery site |
| WRR30202       | Certificate III in Retail Operations | NO       | QLD           |
| WRR20102       | Certificate II in Retail Operations  | NO       | QLD           |

| INTERVIEWEE/S                               |
|---|
| Sharyn Beer, Administration Support Officer |
| Paul Willis, General Manager                |

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

#### 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.

**Intent:** Industry engagement and support is evident in the development of all training and assessment strategies. All training and assessment strategies meet the requirements of the training package or accredited course.

**At time of audit:**  
 Compliant  
 Not Compliant  
 Not Audited

Refer to technical adviser report for details.

The organisation develops training and assessment strategies and training programs that:

Y N

- provide sufficient information regarding delivery and assessment methods  
  ensure that learners receive training and assessment that meets the needs of their identified target group  
  show evidence of industry engagement and support  
  meet all requirements of the training package qualification or accredited course, including identifying units of competency.

**Following rectification:**  
 Compliant  
 Not Compliant

#### NON-COMPLIANCES:

The auditor advised the organisation that very little information has been included within its Learning and Assessment Strategy in relation to the assessment processes to be undertaken for units of competency within this qualification.

Furthermore, the nominated evidence gathering techniques in the learning and assessment strategies for WRR20102 Certificate II in Retail Operations do not align to the 'actual' assessment methods.

#### RECTIFICATION REQUIRED:

National Retail Association Limited is required to provide 'Learning and Assessment Strategies' that accurately reflect the assessment methodologies for all qualifications listed on the organisation's User Choice Schedule A.

#### Analysis of rectification evidence received 1 August 2008

National Retail Association Limited provided the department with evidence that Learning and Assessment Strategies have been amended to accurately reflect the range of assessment methodologies.

**National Retail Association Limited is now compliant against the requirements of this element.**

#### 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.

**Intent:** The resources used by the RTO across all of its operations are consistent with current industry standards.

**At time of audit:**  
 Compliant  
 Not Compliant

Y N

- The organisation has access to suitable facilities for its training and assessment activities.  
  The organisation has access to suitable equipment meeting the requirements of industry and the training package or accredited course.  
  The organisation has access to training materials that meet the requirements of industry stakeholders and the training package or accredited course and which adequately support the learner in achieving the required level of competence.  
  The organisation has access to suitable human resources (refer to element 1.4).

**Following rectification:**  
 Compliant  
 Not Compliant

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The organisation has access to suitable assessment materials (refer to element 1.5).

### NON-COMPLIANCES:

Assessment materials – Refer to Element 1.5

### RECTIFICATION REQUIRED:

National Retail Association is not required to provide additional evidence to address this element. Evidence rectifying non-compliances identified in Element 1.5 will satisfy the requirements of this element.

### Analysis of rectification evidence received 1 August 2008

National Retail Association Limited provided the department with evidence of assessment tools developed across a range of methods for the equivalent units of competency from the SIR07 Retail Services Training Package.

**National Retail Association Limited is now compliant against the requirements of this element.**

### 1.4: Training and assessment are conducted by trainers and assessors who:

- have the necessary training and assessment competencies as determined by the National Quality Council or its successors
- have the relevant vocational competencies at least to the level being delivered or assessed, and continue developing their vocational and training and assessment competencies to support continuous improvements in the delivery of the RTO's services.

**Intent:** All trainers and assessors of nationally recognised training meet national benchmark competency requirements and continue to develop their competence.

At time of audit:  
 Compliant  
 Not Compliant  
 Not Audited

The organisation verifies that trainers and assessors:

Y N

meet national benchmark competency requirements (as detailed below)

continue to develop their competency by:

- supporting them in meaningful engagement with industry and relevant professional bodies
- supporting their professional development in teaching and learning methods
- fostering a culture of critical evaluation and innovation.

### Cynthia Egan

WRR20102 Certificate II in Retail Operations

WRR30102 Certificate III in Retail Operations

TAA40104 Certificate IV in Training and Assessment or equivalent competencies

BSZ40198 Certificate IV in Assessment and Workplace Training or equivalent competencies

Trainer does not hold training and/or assessment competencies, but acts within suitable partnership or supervision arrangements.

### Relevant vocational qualifications

- Certificate III in Retail Operations issued by VETEC on 8 December 1999
- 'Integrated Competency Assessment' issued by Retail Association of Queensland Limited
- Statement of Attainment for *BSBCM308A Maintain financial records*, *BSBADM309A Process accounts payable and receivable* and *BSBADM310A Maintain a general ledger* issued by CSB Training Institute on 21 September 2005
- BSB41004 Certificate IV in Business (Frontline Management) issued by The Bremer Institute of TAFE on 24 November 2005

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- ZWA40100 Certificate IV in Woolworths Management issued by Woolworths on 24 December 2003
- Certificate of Completion Retail Traineeship – Woolworths Retail Management Level IV on 2 February 2004.

### Relevant vocational experience

- April 1989 – September 2005: Staff Training & Development Department Manager Woolworths in Blackwater and Chancellor Park.

### Relevant professional development

- Industry experience in 2007 - Woolworth Big Top Maroochydore (4 occasions)
- 8 August 2007 – Professional Development at NRA
- 9 August 2007 – Update of RTO policies and procedures to User Choice 2007/2008 Contracts
- 17 January 2007 – LLN 2 Day Program at CCLC Caboolture
- Positive Notice Blue Card for Child Relate Employment
- Statement of Attendance at Caboolture Community Learning Centre for 2 day Professional Development Program in Adult Literacy and Numeracy at National Retail Association on 16 & 17 January 2007
- MYOB Accounting & Bookkeeping course with Certified MYOB consultant Brian Neale.

### Sandra Perry

*WRR20102 Certificate II in Retail Operations*

*WRR30102 Certificate III in Retail Operations*

- TAA40104 Certificate IV in Training and Assessment or equivalent competencies
- BSZ40198 Certificate IV in Assessment and Workplace Training or equivalent competencies
- Trainer does not hold training and/or assessment competencies, but acts within suitable partnership or supervision arrangements.

### Relevant vocational qualifications

- BSZ50198 Diploma of Training and Assessment Systems issued by Quality Unlimited on 26 May 2000
- WRR30202 Certificate II in Retail Operation issued by HB Training on 9 December 2005
- THH32797 Certificate III in Hospitality (Food & Beverage) issued by Adroit Human Resource on 9 November 2001
- Statement of Attainment in partial completion of THT20498 Certificate II in Tourism (Guiding) for *THHGHS01A Follow workplace hygiene procedures & THHS2CC3A Develop a food safety plan* issued by TAFE Queensland on 7 November 2001
- Statement of Attainment in partial completion of BSA50197 Diploma of Business (Administration) for *BSAENT501 Respond to the changing environment, BSATEM501 Manage the team and BSATEM502 Participate in staff selection* issued by Quality Unlimited on 26 May 2000
- Statement of Attainment in partial completion of THH11102 Certificate I in Hospitality (Kitchen Operations) *THHGHS01B Follow workplace hygiene procedures* issued by Southbank Institute of TAFE on 24 January 2006
- Statement of Attainment in partial completion of FDF10103 Certificate I in Food Processing *FDFCORFYS1A Follow work procedures to maintain food safety* issued by Southbank Institute of TAFE on 24 January 2006.

### Relevant vocational experience

- 2005 – Current: Training Consultant at Bremer Institute of TAFE and National Retail Association
- Mar 2003 – April 2005: Training Consultant at CADET Employment & Training
- Mar 2003 – April 2004: Sales Consultant at Q News
- Mar 2002 – Mar 2003 & Mar 1999-Nov 2000: Gaming Manager & Promotion & Training Manager at Prince of

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Wales Hotel / Albany Creek Tavern & Kedron Park Hotel

### Relevant professional development

- 2 weeks per year: Griffith Food Services – Bar Attendance Sports Bar
- 2 weeks per year: Griffith Food Services – Food Attendant Express Fast Food and Functions
- 1 day training in systems and operational processes on 11 February 2008 at National Retail Association
- 13 December 2007 – Professional development session on training packages, mapping, resources and AQTF, VET and AQF at National Retail Association
- 9 August 2007 – Update RTO policies and Procedures professional development at National Retail Association
- 8 August 2007 – Professional develop session at National Retail Association
- Statement of Attendance at Develop Training Solution held by Bremer Institute of TAFE on 5 & 6 October 2006
- Certificate of Attendance at SWOT Analysis & Team Building held at Bremer Institute of TAFE on 25 January 2006
- Certificate of Attendance at Professional Development Breakfast on 22 February 2006, 22 March 2006, 26 April 2006, 28 June 2006, 26 July 2006, 23 August 2006

### 1.5: Assessment:

- meets the requirements of the relevant training package or accredited course
- is conducted in accordance with the principles of assessment and the rules of evidence
- meets workplace and, where relevant, regulatory requirements.

**Intent:** Assessment ensures that only learners who hold the requisite skills and knowledge are certified as competent.

**At time of audit:**  
 Compliant  
 Not Compliant

**Following rectification:**  
 Compliant  
 Not Compliant

### WRR20102 Certificate II in Retail Operations

WRRCA1B Operate retail equipment

For this unit, the organisation's assessment materials:

Y N N/A

- sufficiently address performance criteria
- sufficiently address critical aspects of evidence
- sufficiently address required knowledge
- sufficiently address required skill
- sufficiently address context and consistency of assessment requirements
- provide for valid, reliable, flexible and fair assessment
- provide for judgement to be made on basis of sufficient, valid, authentic and current evidence
- include workplace requirements as suggested in the range of variables
- align assessment methods to the training and assessment strategy.

Assessment tools consist of:

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- Written assessment – consists of 16 questions.
- Verbal questioning assessment
- Observation checklist (7 observable tasks)
- Third party report.

The above master version of the assessment tools does not reflect the assessment evidence sighted on student file.

Assessment tools reviewed on student files consist of:

- Practical Observation
- Verbal questioning assessment.

The organisation has:

Y N

- developed suitable benchmarking information for all assessment tools
- provided information to students about the context and purpose of assessment
- developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes.
- For this unit, the organisation has gathered sufficient evidence to make a valid judgement of competence (including RPL outcomes) for the following students:
  - Tessa Charles
  - Meggan Banks.

#### WRRM1B Merchandise products

For this unit, the organisation's assessment materials:

Y N N/A

- sufficiently address performance criteria
- sufficiently address critical aspects of evidence
- sufficiently address required knowledge
- sufficiently address required skill
- sufficiently address context and consistency of assessment requirements
- provide for valid, reliable, flexible and fair assessment
- provide for judgement to be made on basis of sufficient, valid, authentic and current evidence
- include workplace requirements as suggested in the range of variables
- align assessment methods to the training and assessment strategy.

Assessment tools consist of:

- Written Assessment – consists of 15 theory questions
- Verbal questioning assessment
- Third Party Report.

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The above master version of the assessment tools does not reflect the assessment evidence sighted on student file.

Assessment tools reviewed on student files consist of:

- Practical Observation
- Verbal questioning assessment
- Written Assessment
- Portfolio of evidence.

The organisation has:

Y N

- developed suitable benchmarking information for all assessment tools
- provided information to students about the context and purpose of assessment
- developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes.

Y N

- For this unit, the organisation has gathered sufficient evidence to make a valid judgement of competence (including RPL outcomes) for the following students:
- Emily Dyer
  - Jessica Gelhaar.

#### NON-COMPLIANCES:

##### WRR20102 Certificate II in Retail Operations

###### WRRCA1B Operate retail equipment

The master assessment tools provided at the time of audit differed greatly from the versions reviewed on the student files. The versions on the student files did not address all the requirements of the unit of competency including the critical aspects of evidence, underpinning knowledge and skills and performance criteria.

The master version of the assessment tools did not address all the critical aspects of evidence and performance criteria. Listed below are the specific areas not covered by the master assessment tools:

#### Critical Aspects of evidence:

- Uses keyboard skills to enter and edit data accurately.
- Completes tasks in a set time frame.

#### Performance criteria:

- Keyboards operated using typing techniques within designate speed and accuracy requirements
- Information entered and edited accurately
- Data entered using relevant equipment according to store policy and procedures
- Price marking equipment operated according to manufacturers instructions and store policy
- Data entered accurately and within designated time limited.



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#### *WRRM1B Merchandise products*

The master assessment tools did not address all the requirements of the unit of competency, including critical aspects of evidence and underpinning skills and knowledge, as listed below:

#### **Critical aspects**

- Display merchandise on floor, fixtures, shelves/display areas, in determined locations, in accordance with special manual handling techniques and other safety requirements
- Performs correct manual handling, storage and display techniques according to:
  - industry codes of practices
  - occupational health and safety legislation/regulation/codes of practice.

#### **Underpinning knowledge and skills:**

- Correct manual handling techniques for protection of self and merchandise
- Relevant occupational health and safety regulations including:
  - manual handling
  - hygiene and sanitation
  - hazardous substances
  - labelling of workplace substances
- Relevant legislation and statutory requirements
- Pricing procedures including inclusion/exclusion of Goods and Services Tax (GST)
- Relevant industry codes of practice
- Completing tasks in a set time frame.

#### **NON-COMPLIANCES FOR BOTH UNITS OF COMPETENCY:**

- The practical assessment tools for these units of competency require consistency and detail to ensure that the assessor is clear of the requirements for demonstration of competence, for example 'use of three pieces of equipment' does not allow for reliability or consistency in assessment marking
- No benchmark criteria was provided for any of the assessment tools to ensure that sufficient evidence is gathered to make a valid judgement of competence and to ensure marking reliability and consistency across assessors
- The assessment tools and tasks require further information for students in relation to the purpose and the context of the assessment.

#### **RECTIFICATION REQUIRED:**

As the units of competency examined are directly equivalent to the units contained within the current SIR20207 Certificate II in Retail qualification, National Retail Association Limited is requested to provide:

- A full range of assessment tools that address all the requirements of each unit of competency that confirm the organisations ability and capacity to develop assessment tools that meet all the requirements of the training package (SIR07)
- Evidence to support that benchmark criteria has been developed for the equivalent units of competency from the SIR07 Retail Training Package
- Evidence that the information provided to students regarding the purpose, context and details of assessment requirements must be clear and specific to provide for a fair, reliable and valid assessment
- Evidence that the assessment tools used align with the assessment methods identified in the learning and

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assessment strategies.

#### Analysis of rectification evidence received 1 August 2008

National Retail Association Limited provided the department with evidence of assessment tools developed across a range of methods for the following equivalent units of competency from the SIR07 Retail Services Training Package:

- SIRXMER001A Merchandise products
- SIRXICT001A Operate retail technology.

The organisation has satisfactorily addressed the non-compliances identified above. In addition, the organisation has provided evidence of assessor benchmarks for each of the assessment tools developed.

**National Retail Association Limited is now compliant against the requirements of this element.**

#### WRR30202 Certificate III in Retail Operations

WRR07A Profile a retail market

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- sufficiently address performance criteria
- sufficiently address critical aspects of evidence
- sufficiently address required knowledge
- sufficiently address required skill
- sufficiently address context and consistency of assessment requirements
- provide for valid, reliable, flexible and fair assessment
- provide for judgement to be made on basis of sufficient, valid, authentic and current evidence
- include workplace requirements as suggested in the range of variables
- assessment methods which align to the training and assessment strategy.

Master and completed assessment tools consist of:

- 4 x written short questions
- 1 x work based written project / case study
- Third party evidence form
- Competency conversation.

The organisation has:

Y N

- developed suitable benchmarking information for all assessment tools
- provided information to students about the context and purpose of assessment
- developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes.
- For this unit, the organisation has gathered sufficient evidence to make a valid judgement of competence (including RPL outcomes) for the following students:
  - Stefanie Reid
  - Monica Pechey
  - Anlon O'Brien
  - Eliane Cowan.

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WRRLP3B Maintain store safety

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- sufficiently address performance criteria
- sufficiently address critical aspects of evidence
- sufficiently address required knowledge
- sufficiently address required skill
- sufficiently address context and consistency of assessment requirements
- provide for valid, reliable, flexible and fair assessment
- provide for judgement to be made on basis of sufficient, valid, authentic and current evidence
- include workplace requirements as suggested in the range of variables
- assessment methods which align to the training and assessment strategy.

Master assessment tools consist of:

- 1 x written project
- Competency conversation (integrated competency assessment)
- Third party evidence form.

Completed assessment tools (Stefanie Reid) consist of:

- 2 x written projects
- Manual Handling Competency Assessment – practical observation
- Competency conversation (integrated competency assessment)
- Third party evidence form.

Completed assessment tools sighted in Stefanie Reid's file contained additional assessment tasks that require the student to analyse legislation in relation to current workplace practices (and produce a report regarding areas of deficiency) and undertake a practical observation assessment regarding manual handling techniques. These assessment tools are not contained within the master assessment versions provided by National Retail Association Limited.

The auditor identified that the inclusion of these assessment tools addressed a number of unit requirements not covered within the master assessment tools.

The organisation has:

Y N

- developed suitable benchmarking information for all assessment tools
- provided information to students about the context and purpose of assessment
- developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes.
- For this unit, the organisation has gathered sufficient evidence to make a valid judgement of competence (including RPL outcomes) for the following students:

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- Stefanie Reid
- Monica Pechey
- Anlon O'Brien
- Eliane Cowan.

#### NON-COMPLIANCES:

WRR30202 Certificate III in Retail Operations:

Issues for *WRR07A Profile a retail market* relate to the following:

- No benchmark criteria was provided for any of the assessment tools to ensure that sufficient evidence is gathered to make a valid judgement of competence and to ensure marking reliability and consistency across assessors.
- Furthermore, the assessment tool for verbal questions (competency conversation) simply lists the performance criteria with no guidelines provided to the assessor in relation to what are the appropriate questions to ask the student or what acceptable answers are to be accepted in relation to the determining a satisfactory response.
- The auditor identified the following gaps in assessment tools in relation to critical aspects:

#### Critical aspects of evidence -

- Implement the idea in accordance with store policies and budgetary requirements
- selects and develops a suitable idea in collaboration with others.

Issues for the master and completed assessment tools for *WRRLP3B Maintain store safety* relate to the following:

- No benchmark criteria was provided for any of the assessment tools to ensure that sufficient evidence is gathered to make a valid judgement of competence and to ensure marking reliability and consistency across assessors.
- Furthermore, the assessment tool for verbal questions (competency conversation) simply lists the performance criteria with no guidelines provided to the assessor in relation to what are the appropriate questions to ask the student or what acceptable answers are to be accepted in relation to the determining a satisfactory response.
- The auditor identified the following gaps in assessment tools in relation to critical aspects:

#### Critical aspects of evidence –

- Applies and monitors store policies and procedures, industry codes of practice, relevant legislation and statutory requirements in regard to occupational health and safety and emergency procedures.
- Interprets and monitors the implementation of manufacturers' instructions with regard to handling stock and using relevant equipment.
- Applies and monitors safe work practices in the handling, storage and disposal of unsafe or hazardous materials.

#### Underpinning Knowledge –

- knowledge of store policies and procedures in regards to:
  - disposal
  - bomb threat procedures
  - store evacuation
- Possible fire and safety hazards.

#### Underpinning Skills –

- Interpersonal skills including:
  - giving feedback

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- coaching
- performance analysis
- group presentation
- team motivation
- team leadership.

#### Performance Criteria –

- 1.1 Store policies and procedures in regard to occupational health and safety and emergency procedure clearly and accurately explained to team members.
- 2.3 Outcomes of issues raised on occupational health and safety matters promptly conveyed to team members.
- 3.5 Hazardous good handled and stored in accordance with store policy and occupational health and safety regulations.
- 3.6 Equipment maintained in accordance with store policy and occupational health and safety regulations.
- 3.7 Team performance monitored to ensure use of safe manual handling techniques.
- 4.1 Store emergency policies and procedure implemented promptly in the event of an emergency.

#### **RECTIFICATION REQUIRED:**

As the units of competency examined are directly equivalent to the units contained within the current SIR20207 Certificate III in Retail qualification, National Retail Association Limited is requested to provide:

- A full range of assessment tools that address all the requirements of each unit of competency that confirm the organisations ability and capacity to develop assessment tools that meet all the requirements of the training package (SIR07)
- Evidence to support that benchmark criteria has been developed for the equivalent units of competency from the SIR07 Retail Training Package
- Evidence that the information provided to students regarding the purpose, context and details of assessment requirements must be clear and specific to provide for a fair, reliable and valid assessment
- Evidence that the assessment tools used align with the assessment methods identified in the learning and assessment strategies.

#### **Analysis of rectification evidence received 1 August 2008**

National Retail Association Limited provided the department with evidence of assessment tools developed across a range of methods for the following equivalent units of competency from the SIR07 Retail Services Training Package:

- *SIRXMPR001A Profile a retail market*
- *SIRXOHS002A Maintain store security*

The organisation has satisfactorily addressed the non-compliances identified above. In addition, the organisation has provided evidence of assessor benchmarks for each of the assessment tools developed.

**National Retail Association Limited is now compliant against the requirements of this element.**

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|  |
|--|
| <b>Standard 1 - Strengths</b>  |
| •  |
| <b>Standard 1 - Opportunities for improvement</b>  |
| <ul style="list-style-type: none"> <li>Update Learning and Assessment strategy to include reference to the actual unit of competency code when referencing the unit name.</li> </ul> |

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

|  |   |   |
|--|---|---|
| <b>2.2:</b>  | <b>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.</b> |   |
| <b>Intent:</b>   | <i>Clients are provided with accurate and sufficient information to make an informed choice about their enrolment and/or contractual agreement.</i>                                   | <b>At time of audit:</b><br><input checked="" type="checkbox"/> Compliant<br><input type="checkbox"/> Not Compliant<br><input type="checkbox"/> Not Audited |
| The organisation:  |   |   |
| Y N  |   |   |
| <input checked="" type="checkbox"/> <input type="checkbox"/> | provides appropriate information to prospective clients and learners  |   |
| <input checked="" type="checkbox"/> <input type="checkbox"/> | ensures the information is accurate, current and not misleading   |   |
| <input checked="" type="checkbox"/> <input type="checkbox"/> | provides the information systematically.  |   |

|  |   |   |
|--|---|---|
| <b>2.3:</b>  | <b>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.</b> |   |
| <b>Intent:</b>   | <i>Learners, including apprentices and trainees, receive support from all parties engaged in their training and assessment.</i>   | <b>At time of audit:</b><br><input checked="" type="checkbox"/> Compliant<br><input type="checkbox"/> Not Compliant<br><input type="checkbox"/> Not Audited |
| The organisation:  |   |   |
| Y N  |   |   |
| <input checked="" type="checkbox"/> <input type="checkbox"/> | involves workplace personnel in planning relevant workplace programs  |   |
| <input checked="" type="checkbox"/> <input type="checkbox"/> | ensures that the training and assessment program makes full use of opportunities at the workplace   |   |
| <input checked="" type="checkbox"/> <input type="checkbox"/> | monitors each learner's progress and the support provided to them by the workplace.   |   |

|   |
|---|
| <b>Standard 2 - Strengths</b>                     |
| •   |
| <b>Standard 2 - Opportunities for Improvement</b> |
| •   |

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

|  |   |  |
|--|---|--|
| <b>3.2:</b>  | <b>The RTO monitors training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the AQTF 2007 Essential Standards for Registration.</b> |  |
| <i>Intent:</i>   | <i>Services delivered under partnership arrangements comply with the AQTF 2007 Essential Standards for Registration.</i>  | <b>At time of audit:</b><br><input type="checkbox"/> Compliant<br><input type="checkbox"/> Not Compliant<br><input type="checkbox"/> Not Audited<br><input checked="" type="checkbox"/> Not Applicable |
| The organisation:<br>Y N<br><input type="checkbox"/> <input type="checkbox"/> manages training and assessment provided on its behalf by documenting or recording agreements that cover the responsibilities of both parties<br><input type="checkbox"/> <input type="checkbox"/> monitors the implementation of these agreements<br><input type="checkbox"/> <input type="checkbox"/> makes improvements where required. |   |  |

|   |   |   |
|---|---|---|
| <b>3.3:</b>   | <b>The RTO manages records to ensure their accuracy and integrity.</b>  |   |
| <i>Intent:</i>  | <i>Records maintained by the RTO support the continuous improvement of its operations and provide evidence of compliance with the AQTF 2007 Essential Standards for Registration.</i> | <b>At time of audit:</b><br><input type="checkbox"/> Compliant<br><input checked="" type="checkbox"/> Not Compliant<br><input type="checkbox"/> Not Audited |
| Y N<br><input checked="" type="checkbox"/> <input type="checkbox"/> The organisation uses a systematic approach that ensures it maintains all records relevant to its operations as an RTO, including the continuous improvement of its operations.<br><input checked="" type="checkbox"/> <input type="checkbox"/> The organisation complies with DETA's Retention of Student Results and Assessment Records Policy for RTOs.<br><input type="checkbox"/> <input checked="" type="checkbox"/> Qualifications and statements of attainment comply with the requirements of the AQF Implementation Handbook and the relevant training package or accredited course.  |   |   |
| <b>NON-COMPLIANCES:</b><br>In reviewing the organisation's templates for statements of attainment and Certificates, the auditor identified the following issues: <ul style="list-style-type: none"> <li>The NRT logo included does not align with the required NRT logo specifications.</li> <li>The organisation has does not include its legal or trading name on the certificate as outlined within the AQF Implementation Handbook (version 4, 2007).</li> <li>The organisation has incorrectly used the reference to statement of attainment instead of qualification on the certificate.</li> <li>AQF mandatory phrasing for statements of attainment has not been included on the RTO's template.</li> </ul> |   |   |
| <b>RECTIFICATION REQUIRED:</b><br>National Retail Association Limited must provide the department with evidence that qualifications and statements of attainment templates align with the requirements outlined in the AQF Implementation Handbook (version 4, 2007).   |   |   |
| <b>Analysis of rectification evidence received 1 August 2008</b><br>National Retail Association Limited provided the department with evidence that certificate and  |   |   |

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statement of attainment templates have been amended to address the requirements of the AQF Implementation Handbook (version 4, 2007).

**National Retail Association Limited is now compliant against the requirements of this element.**

### Standard 3 - Strengths

- 

### Standard 3 - Opportunities for Improvement

- 

### Clause 3 (h) The Supplier must comply with the User Choice Fees and Charges requirements set out in Appendix 3.

#### Appendix 3: Fees and charges

Part 1 – Tuition Fees

Part 2 – Partial Exemption – Tuition Fees

Part 3 – Student support services fees for Participants

Part 4 – Fee exemption on grounds of extreme hardship or other special circumstances

Part 5 – When should tuition fees be charged?

Part 7 – Refund policy

The Supplier must have a refund policy that meets the requirements of the AQTF. This policy must also include:

- the provision for full refunds to Participants for tuition and student support services fees charged for training delivery that has not commenced at the time of the cancellation of enrolment; and
- the provision of proportionate refunds where the Participant has withdrawn from a Unit of Competency/Module.

Part 8 – Additional Charges

Part 9 – No charges

Induction information contains User Choice specific information regarding:

Y N NA

rate of tuition fees

rate of student support services fees

partial tuition fee exemption categories

full tuition fee exemption categories

rate of tuition fees for recognition of prior learning applications

reference to full or proportionate refunds for units not commenced or commenced but not completed.

The organisation has:

Y N NA

charged tuition fees for all students at AQF Level II and above.

calculated tuition fees based on the correct number of nominal hours.

At time of audit:

Compliant

Not Compliant

Not Audited

Not Applicable



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- calculated tuition fees at the correct rates.
- charged any additional fees in accordance with Schedule 1 of the *Vocational Education, Training and Employment Regulations 2000*.
- charged tuition fees that do not exceed the maximum amount to be charged within a 12 month period.
- calculated partial tuition fee exemptions at the correct rate.
- retained sufficient evidence to support the granting of partial tuition fee exemptions.
- not charged any school based student tuition or student services fees (post 1 July 2006).
- services / facilities to substantiate the charging of student services fees.
- retained sufficient evidence to support the provision of full and partial refunds.

**Clause 6 (a) The Supplier must fully and correctly provide to the Department the reports set out in Item 1 of Appendix 5 in accordance with the timeframes set out in Item 2 of that Appendix.**

### Appendix 5 – Reporting requirements

#### Item 1 – AVETMISS reporting requirements

- (d) Delivery Type Identifier specified in AVETMISS for the relevant mode of delivery
- (e) Outcome Identifier specified in AVETMISS and in Table 4 of Appendix 6
- (f) Training location postcode of where the Participant undertakes Training

At time of audit:

- Compliant  
 Not Compliant  
 Not Audited  
 Not Applicable

Following rectification:

- Compliant  
 Not Compliant

The organisation has:

Y N NA

- has correctly reported the delivery identifier code.
- retained sufficient evidence to support the outcome of the assessment (AVETMISS Outcome Identifier Code 20).
- retained sufficient evidence to support that students have attempted all assessments and failed in at least one method (AVETMISS Outcome Identifier Code 30).
- retained sufficient evidence to support the student's participation in the learning activity prior to withdrawing (AVETMISS Outcome Identifier Code 40).
- retained sufficient evidence to support recognition of prior learning (AVETMISS Outcome Identifier Code 51).
- retained sufficient evidence to support that an application for recognition of prior learning was assessed and not approved (AVETMISS Outcome Identifier Code 52).
- retained sufficient evidence to support recognition of current competencies (AVETMISS Outcome Identifier Code 53).
- retained sufficient evidence to support that an application for recognition of current competencies was assessed and not approved (AVETMISS Outcome Identifier Code 54).
- retained sufficient evidence to support credit transfers (AVETMISS Outcome Identifier Code 60).
- retained sufficient evidence that an induction was conducted and training plan developed prior to the student's training contract being cancelled or the student changing SRTOs (SRTO 1 Administration Payment).
- submitted AVETMISS postcodes that accurately reflect the location in which the majority of training has been undertaken.

### NON-COMPLIANCES:

#### AVETMISS Delivery Identifier Code:

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Through the review of student files, the auditor identified that National Retail Association Limited has submitted an AVETMISS Delivery Identifier code '20' for a number of student. The auditor advised that this AVETMISS Delivery Identifier code is used only where an organisation's delivery strategy is predominantly through electronic based training. Discussions with the organisation clarified that National Retail Association Limited does not provide any training through electronic training mechanisms such as the internet or CD-ROMs.

#### AVETMISS Outcome Identifier Code:

- In reviewing a number of student files, the auditor was unable to substantiate the submission of withdrawn claims for payment. This issues relates specifically to the following students:
  - Jonathon Quire
  - Jake Warn
  - Kelly Rush
  - Dearne Farrell
  - David Young.
- Significant non-compliances were identified against the quality of assessment tools for the units of competency examined within both WRR20102 Certificate II in Retail Operations and WRR30202 Certificate III in Retail Operations.

A post audit meeting was held with departmental senior management to discuss the significant non-compliances identified in relation to the organisation's assessment tools and processes provided by National Retail Association Limited. The outcome of the meeting determined that the department will seek the recovery of funds for the four units of competency examined.

National Retail Association Limited is not required to submit any rectification response regarding this issue. This issue has now been forwarded to Supplier Management to instigate the recovery of funds process.

#### **RECTIFICATION REQUIRED:**

National Retail Association Limited must provide the department:

1. Evidence that AVETMISS data has been submitted to amend the '20' AVETMISS Delivery Identifier codes to accurately reflect the predominant mode of delivery.
2. Evidence to substantiate that each of the above students participated in training for the units of competency claimed prior to their respective cancellation. Should National Retail Association Limited be unable to provide sufficient evidence, the organisation must submit AVETMISS data to remove all four unit of competency.

#### **Analysis of rectification evidence received 1 August 2008**

National Retail Association Limited provided the department with evidence that the AVETMISS Delivery Identifier code data has been resubmitted to accurately align with the organisation's delivery strategy. However, in relation to the withdrawn student above, the organisation has not provided sufficient evidence to substantiate the withdrawn claims for payment for the following trainees and units of competency:

|       |          |         |
|-------|----------|---------|
| QUIRE | JONATHON | WRRCA1B |
| QUIRE | JONATHON | WRRCS2B |
| QUIRE | JONATHON | WRRER1B |
| QUIRE | JONATHON | WRR1B   |
| QUIRE | JONATHON | WRRLP1B |
| QUIRE | JONATHON | WRRLP2B |
| QUIRE | JONATHON | WRRM1B  |
| QUIRE | JONATHON | WRRM2B  |
| QUIRE | JONATHON | WRRS1B  |
| QUIRE | JONATHON | WRRS2B  |

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|       |       |         |
|-------|-------|---------|
| WARN  | JAKE  | WRRCA1B |
| WARN  | JAKE  | WRRCS1B |
| WARN  | JAKE  | WRRCS2B |
| WARN  | JAKE  | WRRF1B  |
| YOUNG | DAVID | WRRO7A  |

Furthermore, a review of National Retail Association Limited's AVETMISS submissions has identified that the organisation has not resubmitted AVETMISS data to remove these incorrect claims for payment.

### Analysis of rectification evidence received 5 September 2008

National Retail Association Limited provided the department with evidence that all necessary AVETMISS data has been submitted.

**National Retail Association Limited is now complaint against the requirements of this clause.**

### Clause 7 (b) Unless otherwise specified, the Department will not pay, without limitation, the Supplier for the provision of the Services set out in Item 5 of Appendix 6.

#### Appendix 6 – Financial Matters

#### Item 5 – Service provision that will not be funded

The Department will not fund/pay (ie Administration Payment or Payable Value), without limitation, for the following unless otherwise specified:

- (b) delivery of any Unit of Competency or Module through RPL where the effect would be that the participant has completed the entire Qualification by way of RPL
- (i) provision of services to a Participant in excess of the Competency Count, Module Count or Points Count specified in QTIS
- (l) services provided to a Participant who has been previously assessed as competent for the same Unit of Competency or Module
- (p) provision of the Services to apprentices or trainees who are employed in the Cape York Region.

The organisation has:

Y N

- not been funded in any instances where the entire qualification has been achieved through RPL
- not submitted claims for payment for units in excess of the competency count for that qualification
- not submitted claims for payment for units of competency previously assessed as competent
- not, unless approved by the department, provided services to apprentices/trainees employed within the Cape York Region

At time of audit:

- Compliant
- Not Compliant
- Not Audited
- Not Applicable

### Clause 18: The Supplier must collect and retain documents, records and information in accordance with Appendix 2.

#### Appendix 2: Program specification

#### 3. Documentation And Record Keeping.

- (1) Data recording the eligibility of Participants in Priority Population Groups
- (2) In relation to each participant:
  - (a) the assessor's completed marking guide/criteria/observation checklists for each Unit of Competency/Module; or
  - (b) the completed paper-based assessment items for each Unit of Competency/Module.
- (3) Documents, records, and all information necessary to substantiate, to the reasonable satisfaction of the Department, compliance with the terms and conditions of this Contract, including:
  - (a) full and complete records establishing, to the reasonable satisfaction of the Department, each

At time of audit:

- Compliant
- Not Compliant
- Not Audited
- Not Applicable

Following rectification:

- Compliant
- Not Compliant

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Participant's participation (including, demonstrating the commencement of educational content and demonstrating educational progression as per AVETMISS) in each Unit of Competency/Module enrolment in accordance with the Training Plan

- (b) evidence that the on-the-job training component has been achieved for each Unit of Competency/Module per each individual Participant prior to submission of claims for payment
- (c) evidence to support the accuracy and validity of AVETMISS start and end dates for each Participant in relation to each Unit of Competency/Module undertaken

The organisation has:

Y N NA

- a process in place to determine the eligibility of trainees (priority population group 3).
- retained sufficient evidence to substantiate the eligibility of all trainees.
- implemented and retained the full range of assessment evidence as per assessment master versions.
- retained full and complete records of each participant's participation.
- a process in place to capture the employer's verification regarding the on-the-job component.
- consistently retained evidence to support that the on-the-job training component has been achieved for each Unit of Competency/Module per each individual Participant prior to submission of claims for payment.
- accurately submitted AVETMISS end dates.

### NON-COMPLIANCES:

#### Assessment Retention:

Through the review of student files, the auditor identified that National Retail Association Limited has not consistently retained the full range of assessment evidence to support the claims for payment made under this contract. The auditor advised that these issues were a result of differing amounts of assessments sighted across different files as well as the differences between recently completed assessments on file and master assessment versions provided by the organisation and the lack of sufficient information within learning and assessment strategies about how assessment is to be undertaken.

#### Participation Evidence:

As outlined against Clause 6 (a), National Retail Association Limited has not retained sufficient evidence of training participation to substantiate withdrawn claims for payment.

#### **RECTIFICATION REQUIRED:**

National Retail Association must:

1. advise the department of the strategy to be implemented to ensure that sufficient assessment evidence is consistently retained to substantiate future claims for payment
2. advise the department of the strategy to be implemented to ensure that sufficient evidence of training participation is consistently retained to support any future withdrawn (AVETMISS Outcome Identifier code '40') claims for payment.

#### **Analysis of rectification evidence received 28 August 2008**

National Retail Association Limited provided the department with details of the processes to be implemented immediately to ensure that all necessary assessment evidence and training participation is retained to substantiate future claims for payment.

**National Retail Association Limited is now complaint against the requirements of this clause.**

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| 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 Essential Standards for Registration and any national guidelines approved by the National Quality Council across all of its operations within its scope of registration listed on the National Training Information Service.  |         |    | ✓           |                |   |                               |
| <b>CONDITION 2 – INTERACTIONS WITH THE REGISTERING BODY</b>  |         |    |             |                |   |                               |
| The RTO's chief executive must ensure that the RTO cooperates with its registering body in the conduct of audits and the monitoring of its operations, the provision of accurate and timely data relevant to measures of its performance and information about significant changes to its operations and in the retention, archiving, retrieval and transfer of records consistent with its registering body requirements. |         |    | ✓           |                |   |                               |
| <b>CONDITION 3 – COMPLIANCE WITH LEGISLATION</b>   |         |    |             |                |   |                               |
| The RTO must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to the RTO's operations and its scope of registration and ensure that its staff and clients are fully informed of these requirements where they affect their duties or participation in vocational education and training.  |         |    | ✓           |                | Refer to signed agreement   |                               |
| <b>CONDITION 4 – INSURANCE</b>   |         |    |             |                |   |                               |
| The RTO must hold insurance for public liability throughout its registration period.   |         |    | ✓           |                |   |                               |
| <b>CONDITION 5 – FINANCIAL MANAGEMENT</b>  |         |    |             |                |   |                               |
| The RTO must protect fees paid in advance and have a fair and reasonable refund policy.  | ✓       |    |             |                | The auditor sighted evidence that a sufficient process is in place for the protection of fees and the issuing of refunds. |                               |

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|  |  |  |   |  |  |  |
|--|--|--|---|--|--|--|
| <p>The RTO must have its accounts certified by a qualified accountant to Australian Accounting Standards, at least annually, and provide the certificate of accounts to its registering body on request. If the registering body reasonably deems it necessary, the chief executive must provide to the registering body, a full audit report of the RTO's financial accounts from a qualified and independent accountant.</p> |  |  | ✓ |  |  |  |
|--|--|--|---|--|--|--|

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

|  |  |  |   |  |                    |   |
|--|--|--|---|--|--------------------|---|
| <p>The RTO must issue to persons 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 meets the Australian Qualifications Framework (AQF) requirements, identifies the RTO by its national provider number from the National Training Information Service and includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use.</p> |  |  | ✓ |  | Refer Element 3.3. | <p>Refer Element 3.3<br/><b>Analysis of rectification evidence received 1 August 2008</b><br/>National Retail Association Limited provided the department with evidence that certificate and statement of attainment templates have been amended to address the requirements of the AQF Implementation Handbook (version 4, 2007).<br/><br/><b>National Retail Association Limited is now compliant against the requirements of this condition.</b></p> |
| <p>The RTO must retain client records of attainment of units of competence and qualifications for a period of 30 years.</p>  |  |  | ✓ |  |                    |   |

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

|  |  |  |   |  |  |  |
|--|--|--|---|--|--|--|
| <p>The RTO must recognise the AQF qualifications and statements of attainment issued by any other RTO.</p> |  |  | ✓ |  |  |  |
|--|--|--|---|--|--|--|

### CONDITION 8 – ACCURACY AND INTEGRITY OF MARKETING

|  |  |  |   |  |  |  |
|--|--|--|---|--|--|--|
| <p>The RTO must ensure its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration and the NRT logo is used in accordance with its conditions of use. The RTO must only use references or endorsements</p> |  |  | ✓ |  |  |  |
|--|--|--|---|--|--|--|

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|   |  |  |  |  |  |  |
|---|--|--|--|--|--|--|
| about their services or products in its marketing and advertising from a person or organisation in accordance with permission given by that person or organisation. |  |  |  |  |  |  |
|---|--|--|--|--|--|--|

### 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 and also manage the transition from superseded accredited courses so that it delivers only currently endorsed Training Packages or currently accredited courses. |  |  | ✓ |  |  |  |
|--|--|--|---|--|--|--|