

AQTF Post Initial Audit**RTO: International Institute of Technology Pty Ltd****Audit Date: 2 February 2009****AQTF 2007 AUDIT REPORT**

RTO DETAILS			
RTO Name	International Institute of Technology Pty Ltd	NTIS Number	21421
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Student Numbers			
AUDIT TEAM			
Lead Auditor	Lesley Shaw	Auditor/s	
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REGISTERING BODY DETAILS			
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AUDIT DETAILS			
Type of Audit	Post-initial		
Standards audited	1,2,3		
Conditions audited	6		
Audit Date/s	2 February 2009		
Other audit notes	The RTO is currently only delivering the Diploma and Advanced Diploma of Financial Services (Financial Planning). It delivers the qualifications either by distance learning or via workshops. It is intending to start delivery of other qualifications on their scope later this year.		
FOCUS OF AUDIT			
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE			
NTIS Code	Qualification/Unit of Competence/Accredited Course (as per NTIS)	Delivery Site	

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FNS50804	Diploma of Financial Services (Financial Planning)	Melbourne, Sydney
FNS60404	Advanced Diploma of Financial Services (Financial Planning)	Melbourne
BSB60201	Advanced Diploma of Business Management	No delivery to date

INTERVIEWEE/S (Staff -name and position; employer name and position ; students (by program, do not list by name))	
	Ann Young – Operations Manager
	Novia Saridewi – RTO Administration
	Dr Antony Young – Director and Education Manager
	Joel Ranchi – Lead trainer and assessor
	Student – Diploma of Financial Services (Financial Planning)

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Standard 1: The RTO provides quality training and assessment across all of its operations		
Audit conclusion	Result	✓
Findings	Compliant	
Element 1.1 Training and assessment is continuously improved by collecting, analysing and acting on relevant data. The RTO was compliant with this element.	Non-compliant	✓
Element 1.2 Strategies for training and assessment meet Training Package and/or accredited courses and consultation with industry stakeholders has been undertaken. The RTO was not compliant with this element.	Not audited	
<p>The RTO's learning & assessment strategy for the Diploma of Financial Services (Financial Planning) states that 28 units will be delivered and assessed. Training Package packaging rules for this qualification only requires 12 units to be demonstrated. Some students despite achieving 20 or more units of competency have only been issued with a Statement of Attainment.</p> <p>Delivery and assessment of the Diploma is via workshops or by distance education. Workshop model – a cluster of units is delivered and assessed over a 2 day period. After 8 days of workshop activities up to 28 units of competency can be assessed. The suggested nominal hours for the Diploma are 515-575 hours. Pre-reading of the student manual is a requirement prior to attendance at any workshop however all assessment tasks are completed during the workshops.</p> <p>Tier one and two ASIC compliance units are offered by the RTO. Only one ASIC unit can count towards the Diploma of Financial Services (Financial Planning). The other ASIC units (other than FNSASIC503ZB) are offered as short courses. As these units and their pre-requisites are delivered as separate short courses these units should be listed separately on the RTO's scope of registration.</p> <p>Learning & Assessment strategy for Diploma of Accounting meets the packaging rules. It is currently not being delivered.</p> <p>Learning & Assessment strategy for Diploma of Business Management did not meet the packaging rules. This was discussed and corrected at audit by changing one unit to meet the packaging rules. The RTO is currently not delivering this qualification.</p>		

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Recommendations:

- That the RTO develop revised training and assessment strategies for the Diploma and Advanced Diploma of Financial Services (Financial Planning). Each training and assessment strategy should clearly meet the relevant packaging rules for each qualification. The time allocated for the delivery and assessment of each cluster of units may need adjustment in the light of meeting the packaging rules. The time for delivering and assessing each cluster of units should also be considered in conjunction with the nominal hours allocated to the units and qualifications.
- That the RTO review all relevant student files and issue a certificate for the Diploma or Advanced Diploma of Financial Services (Financial Planning) if the Training Package qualification rules have been met by the student.
- That the RTO seek to extend their scope of registration to include the tier one ASIC compliance units. FNSASIC503ZB does not require to be listed separately as it sits within the packaging rules of the Diploma of Financial Services (Financial Planning).

Element 1.3: Training and assessment resources meet training package requirements. The RTO was compliant with this element.

Element 1.4 Trainer and assessor skills. The RTO was not compliant with this element.

Joel Ronchi's qualifications were not certified as copies of the originals. A certified copy of Antony Young's PhD was not sighted at audit.

Recommendation:

- That the RTO provide certified copies of Joel Ronchi's qualifications and a certified copy of Antony Young's PhD.

Element 1.5 Quality of assessment. The RTO was not compliant with this element.

The RTO has a matrix for each qualification indicating the assessment methods that would be used for assessment purposes eg: short answer, role play, multiple choice. However the assessment instruments used are not individually matched to the competencies. This matching process would assist the RTO to validate its position that all aspects of the competencies are addressed by the assessment instruments.

The Assessment booklet provided to students does not state explicitly how each assessment task link to relevant units of competency.

The competency checklist for the Principles of Risk Management course is incorrect as both ASIC units listed have the same code. If the ASIC broking unit is being offered

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<p>FNSASIC503YB then the appropriate pre-requisite units must be included on the checklist.</p> <p>RPL – Student guide provides information on what RPL is and what evidence can be used to support one's claim. The presentation of certificates containing the same units is in fact a credit transfer and results sheet should indicate this rather than RPL. Student information needs to correctly distinguish between RPL and credit transfer (see page 12 of the student handbook)</p> <p><i>Student Files</i></p> <p>Sanja Sharma – RPL application rejected based on an issue of currency of her knowledge and skills. However the reason for the decision was not documented nor was it clear how the decision had been communicated to the applicant.</p> <p>Recommendations:</p> <ul style="list-style-type: none"> - That the RTO develop an overall assessment matrix for the Diploma and Advanced Diploma of Financial Services (Financial Planning). The matrix should identify the link between individual assessment instruments with the units of competency including the required knowledge and skills and critical aspects of evidence. - That the RTO update the assessment booklets for the Diploma and Advanced Diploma of Financial Services (Financial Planning) to clearly identify the relationship between the units and assessment tasks. - That the RTO confirm the accuracy of competency checklists for each short course delivered. - That the RTO clarify in the RTO's RPL policy and procedure and the student information guide the difference between a credit transfer and an RPL. - That the RTO develop a process to ensure the reasons for RPL decisions are documented and communicated to applicants in writing. 		
Strengths		
Opportunities for Improvement		
<p>The RTO should update their RPL policy to include a requirement that if an RPL application include copies of qualifications then these must be certified.</p> <p>The RTO should consider including as part of the assessment processes a portfolio of workplace evidence and an employer's 3rd party report (if participant is employed). This would make the assessment evidence collected more robust and confirm that competency has been demonstrated over a period of time.</p>		

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Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients		
Audit conclusion	Result	✓
Findings	Compliant	
Element 2.1 Continuous improvement of client services. The RTO was compliant with this element.	Non-compliant	✓
Element 2.2 Clients receive accurate and sufficient information to make an informed choice. The RTO was not compliant with this element.	Not audited	
The enrolment form and student information guide indicates that the full Diploma requires one to complete 20 + units. The NRT logo on front page of the student information guide should only be used in conjunction with qualifications and their codes. Recommendations: That the RTO's advertising material (including the website), enrolment form and student information guide correctly state the number of competencies one must successfully demonstrate to be awarded a full qualification under their scope of registration. That the RTO ensure that the NRT logo is used in accordance with its current conditions of use.		
Element 2.3 Support to learners. Not applicable as the RTO does not provide workplace training.		
Element 2.4 Catering for learners' needs. The RTO was compliant with this element.		
Element 2.5 Learners' access to their records. The RTO was compliant with this element.		
Element 2.6 Complaints and appeals are addressed fairly, efficiently and effectively. The RTO was compliant with this element.		
Strengths		
Opportunities for Improvement		

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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		
Audit conclusion	Result	✓
Findings Element 3.1 Systematic and continuous improvement approach to managing operations. The RTO was compliant with this element. Element 3.2 Services delivered under partnership arrangements comply with the AQTF 2007 Essential standards for registration. The RTO has no partnership arrangements. Element 3.3 Records are managed to ensure their accuracy and integrity. The RTO was compliant with this element.	Compliant	✓
	Non-compliant	
	Not audited	
Strengths		
Opportunities for Improvement		

Condition 6 – Certification And Issuing Of Qualifications And Statements Of Attainment		
Audit conclusion	Result	✓
Findings: The RTO was compliant with this condition.	Compliant	✓
	Non-compliant	
	Not audited	

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Strengths

Opportunities for Improvement

It is recommended the RTO update its templates for Certificates and Statements of Attainment to meet the current requirements of the AQF Implementation Handbook. This requires a statement for employability skills (where relevant) being included on Certificates and additional wording being included on Statements of Attainment.

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