



AUDIT REPORT

VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Education Training & Employment Australia Pty Ltd
Trading name/s	Education Training & Employment Australia Pty Ltd
RTO number	5089
CRICOS number	02925E

AUDIT TEAM

Lead auditor	F. Garai
Auditors	J. Cochrane
Technical adviser/s	N/A

AUDIT DETAILS

Application number/s	1039480	
Audit number/s	1003550	
Audit reason 1	Application – Renewal	
Audit reason 2	N/A	
Audit reason 3	N/A	
Activity type	Site visit	
Address of site/s visited	Level 1, 113 Burgundy Street, Heidelberg VIC.	
Date/s of audit	2 to 3 July 2013	
Organisation's contact for audit	Alan Hickling	CEO
	alanh@etea.edu.au	03 94500501
NVR Standards audited	Selected Essential Standards for Continuing Registration: To assess ongoing compliance with the VQF – focus is on evidence of effective ongoing deployment of systems SNRs 15, 16, 17, 20 & 22.2	



BACKGROUND

Education Training & Employment Australia Pty Ltd (the RTO) has been operating since 1998. The current CEO has been there since 1998. The RTO is a private RTO and CRICOS provider which is privately owned.

RTO Management structure

The organisation consists of a management team that consists of a Chief Executive Officer, RTO General Manager, Compliance manager, Marketing manager, Solicitor, and finance/accounting manager.

Other strategic & operational groups that assist the RTO

The organisation also utilises industry advisory groups, contracted consultants and industry associations to assist them with developing and validating training and assessment.

General description of RTO location & facilities

The organisation has offices/training facilities at:

1. Level 1, 113 Burgundy Street Heidelberg Vic, Head office
2. Suite 3, 132 Burgundy Street, Heidelberg Vic, training rooms
3. 158 Burgundy Street, Heidelberg Vic, training rooms
4. 82 Hawdon Street, Heidelberg Vic, training rooms
5. Suite 15202 Loco Workshop Australian Technical Park, Redfern NSW, State admin office & training rooms
6. Canning Vale Pert WA, State admin office & training rooms

The organisation also uses client venues and facilities for the delivery of workplace training and the conduct of assessment

General description of training modes used by the RTO/organisation

The organisation provides training using classroom, and workplace based delivery modes.

RTO/Organisation scope of registration

The organisations scope of registration is from the following industry sectors and Training Packages, the organisation had 21 qualifications registered against its current scope of registration at the time of audit;

- BSB07 Business Services Training Package
- CHC08 Community Services Training Package
- HLT07 Health Training Package
- TAE10 Training Package

RTO/organisation current enrolment/s details

At the time of audit the organisation had the following enrolments:

CHC30308 Certificate III in Aged Care = 3 students
 CHC30212 Certificate in Aged Care = 9 students
 CHC40308 Certificate IV in Disability = 8 students
 CHC41408 Certificate IV in Child Youth and Family intervention (Residential & out of home care) = 9 students

CHC41412 Certificate IV in Child Youth and Family intervention (Residential & out of home care) = 1 students

CHC41508 Certificate IV in Child Youth and Family intervention (Child protection) = 20 students

CHC41512 Certificate IV in Child Youth and Family intervention (Child protection) = 6 students

CHC41808 Certificate IV in Youth Work = 32 students

CHC41812 Certificate IV in Youth Work = 14 students

CHC50108 Diploma of Disability = 5 Students

HLT32507 Certificate III in Health Services Assistance = 18 Students

HLT32512 Certificate III in Health Services Assistance = 28 Students

TAE40110 Certificate IV in Training and Assessment = 13 Students

Total enrolments at time of audit 162 domestic students, and 5 international students.

RTO/organisation fee or funding information

The organisation offers its training and services as a fee for service provider only.

Total number of current enrolments in RTO as at audit date: 2 July 2013
167

AUDIT SAMPLE

Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment	Current enrolments
BSB40812	Certificate IV in Frontline Management	<input type="checkbox"/> Apprenticeship	BSB40812 = NIL
BSB60407	Advanced Diploma of Management	<input type="checkbox"/> Distance	BSB60407 = NIL
CHC30212	Certificate III in Aged Care	<input checked="" type="checkbox"/> Face to face	CHC30212 = 9
CHC41812	Certificate IV in Youth Work	<input type="checkbox"/> Online	CHC41812 = 14
TAE40110	Certificate IV in Training and Assessment	<input type="checkbox"/> Mixed	TAE40110 = 13
		<input checked="" type="checkbox"/> Workplace	
		<input type="checkbox"/> Traineeship	
		<input type="checkbox"/> Other – specify	

INTERVIEWEES - Staff

Name	Position	Qualification/course
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Ritika Thadani	Compliance Manager	All

AUDIT FINDING

ORIGINAL AUDIT FINDING

Audit finding as at Wednesday, 3 July 2013:

The organisation has not demonstrated compliance with one or more compliance requirements examined for the audit.

Level of non-compliance: significant

The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.

If non-compliance has been identified, this audit report describes evidence of the non-compliance. Refer to Notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following additional evidence received Monday, 5 August 2013

The organisation has demonstrated compliance with all compliance requirements examined for the audit.

AUDIT FINDING BY REQUIREMENT

Standards for NVR Registered Training Organisations 2012 – Essential Standards for Continuing Registration

Standard	Original finding	Following rectification
SNR 15	Not-compliant	Compliant
SNR 16	Compliant	Choose an item.
SNR 17	Compliant	Choose an item.
SNR 18	Not audited	Not audited
SNR 19	Not audited	Not audited
SNR 20	Not-compliant	Compliant
SNR 21	Not audited	Not audited
SNR 22	Compliant	Choose an item.
SNR 23 / AQF	Not audited	Not audited
SNR 24	Not audited	Not audited
SNR 25	Not audited	Not audited

**STANDARDS FOR NVR REGISTERED TRAINING ORGANISATIONS –
ESSENTIAL STANDARDS FOR CONTINUING REGISTRATION**

SNR 15: The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:

15.1 The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.

Select one:

- Compliance with the requirements of this element was **not examined**
- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element.

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element

Reason for finding of non-compliance:

15.2 Strategies for training and assessment meet the requirements of the relevant training package or accredited course and have been developed through effective consultation with industry.

Select one:

- Compliance with the requirements of this element was **not examined**
- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element.

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element

Reason for finding of non-compliance:

15.3 Staff, facilities and equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the training package or VET accredited course and the NVR registered training organisation’s own training and assessment strategies and are developed through effective consultation with industry.

Select one:

- Compliance with the requirements of this element was **not examined**
- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element.

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element

Reason for finding of non-compliance:

- 15.4 Training and assessment is delivered by trainers and assessors who:**
- (a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors; and
 - (b) have the relevant vocational competencies at least to the level being delivered or assessed; and
 - (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
 - (d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

15.5 Assessment including Recognition of Prior Learning (RPL):

- (a) meets the requirements of the relevant Training Package or VET accredited course; and**
- (b) is conducted in accordance with the principles of assessment and the rules of evidence; and**
- (c) meets workplace and, where relevant, regulatory requirements; and**
- (d) is systematically validated.**

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input checked="" type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.

Reasons for finding of non-compliance:

Evidence audited:

RPL Assessment tools for:

- a. BSB40812 Certificate IV in Frontline Management
- b. BSB60407 Advanced Diploma of Management
- c. Assessment tool for CHCCS411C Work effectively in the community sector

The RPL assessment tools do not meet the Rules of Evidence for sufficiency, and validity, and the Principles of Assessment for fairness, reliability, and validity required in the relevant Training Package because:

The essential evidence identified in the units of competency are not stated as the standard for the collected evidence to satisfy against the Units of Competency assessed in the RPL assessment tool.

The assessment tool for CHCCS411C Work effectively in the community sector does not meet the Rules of Evidence for sufficiency, and validity, and the Principles of Assessment for fairness, reliability, validity, and Flexibility required in the relevant Training Package because:

The assessment tools did not meet with the principles of assessment and the rules of evidence as there were no instructions to the assessor or the candidate on how to conduct the assessment in regards to the standard the candidate is required to meet to be deemed competent and no conditions of the assessment were stated e.g. the location where the assessment will be conducted i.e. class room or work place, how long the student has to complete the assessment.

Multiple assessments were identified for a Unit of Competency; it was not clear which assessments are to determine a student's progress (Formative Assessments) and which assessments are to determine a student's competence against the Unit of Competency (Summative Assessments)

There were no instructions to either the assessor or the candidate on how reassessment is to be conducted

In order to become compliant the organisation is required to:

The RPL assessment tools are to meet the Rules of Evidence for sufficiency, and validity, and the Principles of Assessment for fairness, reliability, and validity by stating the essential evidence identified in the units of competency against the Units of Competency being assessed in the RPL assessment tool.

The assessment tools are to demonstrate that they meet with the principles of assessment and the rules of evidence in regards to the standard to be achieved during assessment, and the conditions that the assessment will be conducted under.

The organisation is to identify which assessments are to determine a student's progress (Formative Assessments) and which assessments are to determine a student's competence against the Unit of Competency (Summative Assessments)

The organisation is to develop instructions to the assessor and the candidate on how reassessment is to be conducted

Analysis of rectification evidence

Rectification evidence reviewed:

BSB40812 Certificate IV in Frontline Management RPL assessment tool

BSB60407 Advanced Diploma of Management RPL assessment tool

CHCCS411C Work effectively in the community sector assessment tool

Cert III Aged Care Class based - Assessor Observation Records V2 1-02-08-2013 (3)

Cert III Aged Care Class based - Student Booklet - Working in Aged Care V2 1-02-08-2013

The organisations RPL assessment tools meet the Rules of Evidence for sufficiency, and validity, and the Principles of Assessment for fairness, reliability, and validity by stating the essential evidence identified in the units of competency against the Units of Competency being assessed in the RPL assessment tool.

The assessment tools reviewed are demonstrate that they meet with the principles of assessment and the rules of evidence in regards to the standard to be achieved during assessment, and the conditions that the assessment will be conducted under.

The organisation identifies which assessments are to determine a student's progress (Formative Assessments) and which assessments are to determine a student's competence against the Unit of Competency (Summative Assessments).

The organisations instructions to the assessor and the candidate detail how reassessment is to be conducted.

The rectification evidence has satisfied the requirements this SNR element.

Audit finding following review of rectification evidence

The organisation has **demonstrated** compliance with the requirements of this element.

The organisation has **not demonstrated** compliance with the requirements of this element

Reason for finding of non-compliance:

N/A

SNR 16: The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:

16.1 The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

16.2 The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

16.3 Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.

Select one:

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input checked="" type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |

Reasons for finding of non-compliance:

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In order to become compliant the organisation is required to:

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Analysis of rectification evidence

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Audit finding following review of rectification evidence

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| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |
| | |

16.4 Employers and other parties who contribute to each learner’s training and assessment are engaged in the development, delivery and monitoring of training and assessment.

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

16.5 Learners receive training, assessment and support services that meet their individual needs.

Select one:

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input checked="" type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

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| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |

Reason for finding of non-compliance:

16.6 Learners have timely access to current and accurate records of their participation and progress.

Select one:

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input checked="" type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

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|--------------------------|---|
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |
| | |

16.7 The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.

Select one:

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input checked="" type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

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|--------------------------|---|
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |

Reason for finding of non-compliance:

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

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

Select one:

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input checked="" type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

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|--------------------------|---|
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |
| | |

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

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

Select one:

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input checked="" type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

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|--------------------------|---|
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

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

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

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	N/A
	In order to become compliant the organisation is required to:
	N/A

Analysis of rectification evidence

N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	N/A

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

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

SNR 19: Interactions with the National VET Regulator

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

Select one:

- Compliance with the requirements of this element was **not examined**
- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element.

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element
Reason for finding of non-compliance:

SNR 20: Compliance with legislation

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

Select one:

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input checked="" type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |

Reasons for finding of non-compliance:

The organisation did not comply with the NVR Act 2011 & the ESOS Act because the RTO failed to advise the designated authority that it had relocated from Suite 3, 132 Burgundy St, Heidelberg VIC 3084 to Level 1, 113 Burgundy St, Heidelberg in February 2012

In order to become compliant the organisation is required to:

The organisation is to notify ASQA and DIAC that its head office address is now Suite 3, 132 Burgundy St, Heidelberg VIC 3084.

Analysis of rectification evidence

Rectification evidence reviewed:

email sent to ASQA

email sent to DIAC (PRISMS)

The rectification evidence has satisfied the requirements this SNR element.

Audit finding following review of rectification evidence

- | | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |
| | |

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

Select one:

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input checked="" type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

- | | |
|--------------------------|---|
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |

SNR 21: Insurance

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

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

SNR 22: Financial management

22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.

Select one:

- Compliance with the requirements of this element was **not examined**
- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element.

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element

Reason for finding of non-compliance:

22.2 The NVR registered training organisation must provide the following fee information to each client:

- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;
- (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
- (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;
- (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and
- (e) the organisation's refund policy.

Select one:

- Compliance with the requirements of this element was **not examined**
- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element.

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

- The organisation has **demonstrated** compliance with the requirements of this element.
 - The organisation has **not demonstrated** compliance with the requirements of this element
- Reason for finding of non-compliance:**
-

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

Fee protection option/s nominated by organisation:

<input type="checkbox"/> Not applicable	<input type="checkbox"/> Option 1	Option 2	<input type="checkbox"/> Option 3	<input type="checkbox"/> Option 4	Option 5
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Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

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

23.1 The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:

- (a) meets the Australian Qualifications Framework (AQF) requirements;
- (b) identifies the NVR registered training organisation by its national provider number from the National Register; and
- (c) includes the NRT logo in accordance with its current conditions of use.

Select one:

- | | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

- | | |
|--------------------------|---|
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |

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

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

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

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator.

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier.

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

SNR 24: Accuracy and integrity of marketing

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

Select one:

- | | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |

Reasons for finding of non-compliance:

In order to become compliant the organisation is required to:

Analysis of rectification evidence

Audit finding following review of rectification evidence

- | | |
|--------------------------|---|
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |
| | |

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

Select one:

- | | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |

Reasons for finding of non-compliance:

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In order to become compliant the organisation is required to:

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Analysis of rectification evidence

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Audit finding following review of rectification evidence

- | | |
|--------------------------|---|
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |

Reason for finding of non-compliance:

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

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

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:

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

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	In order to become compliant the organisation is required to:

Analysis of rectification evidence

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Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance: