



Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Foundation Education Pty Ltd
Trading name/s	Foundation Education Pty Ltd
RTO number	22557
CRICOS number	N/A

AUDIT TEAM

Lead auditor	Susan Dunks (Blakemore)
Auditor/s	Judith Keller
Technical adviser/s	N/A

AUDIT DETAILS

Application number/s	1054152
Audit number/s	1005479 / 1005015
Audit reason 1	Post initial
Audit reason 2	Application - change
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	18/1015 Nudgee Road, Banyo 4014
Date/s of audit	12/2/2014
Organisation's contact for audit	Ms Kylie Fahey ceo@foundationeducation.edu.au 1300130157
NVR standards audited	All Standards for Continuing Registration

BACKGROUND

- The organisation delivers exclusively to corporate clients as at the time of audit.
- Its income stream is via fee for service.
- Enrolments are currently only in a small number of qualifications with delivery predominantly occurring Queensland with a small amount of delivery in NSW.
- The organisation has been focusing on development of in-house resources which is why it has not had significant enrolment numbers since initial registration.
- NOTE: The organisation was found to remain not compliant following the submission of rectification evidence with three units of competency out of the 14 units analysed. The non-compliance related to



the practical assessment tools. In consultation with the Regional Compliance Manager, Brisbane, the organisation was provided with 48 hours only to rectify the outstanding non-compliances which they were able to do.

Total number of current enrolments in RTO as at audit date:

- 50

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB30112	Certificate III in Business	Face to face/workplace	15
BSB40610	Certificate IV in Business Sales		3
BSB41412	Certificate IV in Work Health and Safety	Face to face/workplace	0
BSB51107	Diploma of Management	Face to face/workplace	4
HLT31812	Certificate III in Dental Assisting	Face to face/workplace	0
HLT43212	Certificate IV in Health Administration	Face to face/workplace	0
SIS30310	Certificate III in Fitness	Face to face/workplace	0
SIS50210	Diploma of Fitness	Face to face/workplace	0
TAE40110	Certificate IV in Training and Assessment	Face to face/workplace	1
TLI31610	Certificate III in Warehousing Operations	Face to face/workplace	N/A
TLI41810	Certificate IV in Warehousing Operations	Face to face/workplace	N/A

*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Ms Kylie Fahey	CEO	Nil
Mr Ken Dimitriou	General Manager	Nil
Ms Nicole Briggs	Quality Co-ordinator	Nil
Mr Brad Low	Education Manager	All qualifications
Mr Mark Gray	Education Co-ordinator	TAE40110
Mr Adrian Kent	Business Development Manager	All qualifications on scope (consultation with industry)



ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 13/02/2014: Significant non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 27/04/2014 & 15/05/2014: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Compliant	n/a
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Compliant	n/a
SNR 20	Compliant	n/a
SNR 21	Compliant	n/a
SNR 22	Not compliant	Compliant
SNR 23/AQF	Compliant	n/a
SNR 24	Compliant	n/a
SNR 25	Compliant	n/a



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.

Original finding: Compliant

Following rectification: n/a

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

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

BSB30112 Certificate III in Business
BSB40610 Certificate IV in Business Sales
BSB41412 Certificate IV in Work Health and Safety
BSB51107 Diploma of Management
HLT31812 Certificate III in Dental Assisting
HLT43212 Certificate IV in Health Administration
SIS30310 Certificate III in Fitness
SIS50210 Diploma of Fitness
TAE40110 Certificate IV in Training and Assessment
TLI31610 Certificate III in Warehousing Operations
TLI41810 Certificate IV in Warehousing Operations

- Reviews of the strategies provided for the qualifications listed identified training resources within these documents; however, these training resources were either not applicable, have been made available and in some cases not yet developed for the use by students. For example, the listed training resources included, but were not limited to, webinars and hard copies of learning materials. The organisation advised that it had not yet developed webinars as part of its training resource complement.

TAE40110 Certificate IV in Training and Assessment

- The strategy provided for this qualification did not reference the in-house developed checklists for practical assessment that are required to be used in conjunction with the Catapult assessment resources. Only the Catapult resources were identified as being part of the assessment resources for the qualification.

In order to become compliant, the organisation is required to:

BSB30112 Certificate III in Business
BSB40610 Certificate IV in Business Sales
BSB41412 Certificate IV in Work Health and Safety
BSB51107 Diploma of Management
HLT31812 Certificate III in Dental Assisting
HLT43212 Certificate IV in Health Administration
SIS30310 Certificate III in Fitness
SIS50210 Diploma of Fitness
TAE40110 Certificate IV in Training and Assessment
TLI31610 Certificate III in Warehousing Operations
TLI41810 Certificate IV in Warehousing Operations

- provide amended strategies for training and assessment that accurately identify the training resources that are used and available for delivery of the above listed qualifications.



TAE40110 Certificate IV in Training and Assessment

- provide an amended strategy that clearly references the use of in-house developed assessment resources as part of the suite of assessment resources used to assess the qualification.

Analysis of rectification evidence:

- BSB30112 Certificate III in Business**
- BSB40610 Certificate IV in Business Sales**
- BSB41412 Certificate IV in Work Health and Safety**
- BSB51107 Diploma of Management**
- HLT31812 Certificate III in Dental Assisting**
- HLT43212 Certificate IV in Health Administration**
- SIS30310 Certificate III in Fitness**
- SIS50210 Diploma of Fitness**
- TAE40110 Certificate IV in Training and Assessment**
- TLI31610 Certificate III in Warehousing Operations**
- TLI41810 Certificate IV in Warehousing Operations**

- The organisation provided amended strategies for training and assessment that accurately identify the training resources that are used and available for delivery of the above listed qualifications.

TAE40110 Certificate IV in Training and Assessment

- The organisation provided an amended strategy that clearly referenced the use of supplementary assessment resources as part of the suite of assessment resources for this qualification.

15.3 Staff, facilities, 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.

Original finding: Not compliant **Following rectification:** Compliant

Reasons for finding of non-compliance:

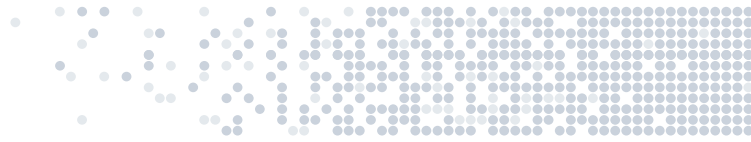
- Due to issues identified in SNRs 15.2, 15.4 and 15.5, the organisation is not compliant with the requirements of this standard.

In order to become compliant, the organisation is required to:

- provide evidence rectifying non-compliances identified in SNRs 15.2, 15.4 and 15.5.

Analysis of rectification evidence:

- The organisation provided evidence to rectify non-compliance with SNR 15.2, 15.4 and 15.5.



- 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 Skills Standards 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.**

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

BSB40610 Certificate IV in Business Sales

Lynette Pratt

- The evidence provided to support this trainer and assessor meets the requirements of this standard was insufficient to confirm they hold relevant vocational competencies and industry experience and currency to deliver the above listed qualification.

The trainer and assessor holds SIR40207 Certificate IV in Retail Management and a number of business management qualifications at similar AQF levels to the above qualification.

However, a review of the resume and staff profile contained information that could not be sufficiently articulated toward being relevant to the BSB40610 Certificate IV in Business Sales. Employment history related to her role in business administration and consultancy, and to her extensive roles as a trainer and assessor, but lacked relevant industry experience in business sales.

- The evidence provided also did not confirm that the trainer and assessor has participated in recent professional development for their vocational competencies as relevant to the above listed qualification.

Consequently, it could not be determined that the trainer and assessor meets the requirements of this standard relevant to delivery of BSB40610 Certificate IV in Business Sales.

In order to become compliant, the organisation is required to:

BSB40610 Certificate IV in Business Sales

Lynette Pratt

- provide evidence this trainer and assessor holds the relevant vocational competencies; and industry experience and currency relevant to the above listed qualification.
- provide evidence this trainer and assessor has participated in professional development activities relevant to delivery of his qualification.

If evidence cannot be provided to support the trainer and assessor meets the requirements of this standard, the organisation is required to:

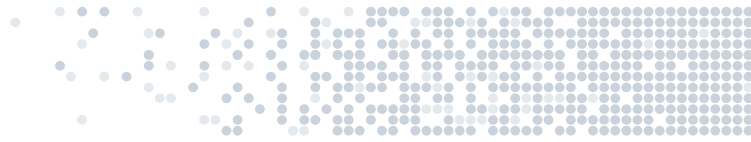
- provide evidence it has access to a trainer and assessor for the above listed qualification that meets all the requirements of this standard.

Analysis of rectification evidence:

BSB40610 Certificate IV in Business Sales

Lynette Pratt

- The organisation advised that further review of Ms Pratt's documentation did not support her compliance to deliver this qualification. Consequently, the organisation has withdrawn her as a



trainer and assessor and provided evidence of a new nominated trainer and assessor

BSB40610 Certificate IV in Business Sales

Cheryl Van Leeuwen

- The organisation provided a resume, copies of qualifications, an HR matrix and a professional development document. A review of the documentation supports this trainer and assessor meets the requirements of this Standard to deliver the above listed qualification.

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.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

BSB30112 Certificate III in Business

BSBADM307B Organise schedules

- Assessment tools 1 and 2 did not sufficiently address the knowledge requirements of the unit.
- Assessment tool 3 – Projects, was not supported by sufficient guidance to assessors as to the range of acceptable responses that could be provided by a student so as to allow an assessor to determine satisfactory completion of the task.

Additional to this, the task was the only form of practical assessment aside from the third party report and gaps were identified in the assessment of all the required skills.

- Overall, assessment did not address all unit requirements and did not meet the principles of assessment and rules of evidence.

HLT43212 Certificate IV in Health Administration

BSBMED401B Manage patient record keeping system

TLI31610 Certificate III in Warehousing Operations

TLIA3015A complete receipt/despatch documentation

TILA3016A Use inventory systems to organise stock control

- A review of the knowledge assessment tasks for the above listed units identified that the question banks and other knowledge based assessment activities were not sufficient to address a significant component of the units' knowledge requirements and their associated performance criteria and critical aspects of evidence.
- In combination with non-compliances associated with these units as reported under separate headings within SNR 15.5, the organisation did not provide evidence that assessment for this unit addressed all required knowledge and skills, the critical aspects of evidence and associated performance criteria; and had not met the requirements of the principles of assessment and rules of evidence.

TAE40110 Certificate IV in Training and Assessment

TAEASS402B Assess competence

TAEDEL401A Plan, organise and deliver group-based learning

- For the above listed units, assessment tasks were adequate to cover training package requirements, however it was identified that a key evidence checklist that ensured sufficient



evidence was gathered was not referenced by the assessment instructions, nor used by the assessors to ensure sufficient evidence was gathered prior to assessment occurring.

BSB30112 Certificate III in Business

BSBITU304A Produce spreadsheets

BSB40610 Certificate IV in Business Sales

BSBSLS407A Identify and plan sales prospects

BSBMKG401B Profile the market

BSB41412 Certificate IV in Work Health and Safety

BSBWHS406A Assist with responding to incidents

PUAWER002B Ensure workplace emergency prevention procedures, systems and processes are implemented

BSB51107 Diploma of Management

BSBPMG522A Undertake project work

BSBHRM501A Manage human resources

HLT43212 Certificate IV in Health Administration

BSBMED401B Manage patient record keeping system

HLTHIR506C Implement and monitor compliance with legal and ethical requirements

TLI31610 Certificate III in Warehousing Operations

TLIA3015A complete receipt/despatch documentation

TLIA3016A Use inventory systems to organise stock control

TLI41810 Certificate IV in Warehousing Operations

TLIA4031A Consolidate freight

TLIA4032A Organise transport of freight or goods

- For the above listed units, practical assessment to meet the required skills consisted of two project assessments. The first project assessment was to undertake an activity which only asked the learner to identify how they would undertake activities associated with the units' skills requirements but did not then go on to require the student to actually demonstrate those skills or activities in any practical way.

The second project assessment was not an assessment activity at all but rather instructional information that the student would be required to demonstrate their skills as set out in the skills requirements of the units of competency in order to be deemed competent. There were no:

- actual tasks or instructions,
- contexts of assessment,
- minimum standards of performance that would be required to be deemed to have satisfactorily demonstrated those skills,
- assessment guidance to the assessor, or
- evidence gathering mechanisms to ensure sufficient, valid or reliable evidence would be gathered prior to commencing and then recording an assessment judgement by the assessor.

- Overall, there was no actual practical assessment, and therefore, assessment did not address all the required skills and critical aspects of evidence for the above listed units and did not meet the requirements of the principles of assessment and rules of evidence.

BSB30112 Certificate III in Business

BSBADM307B Organise schedules

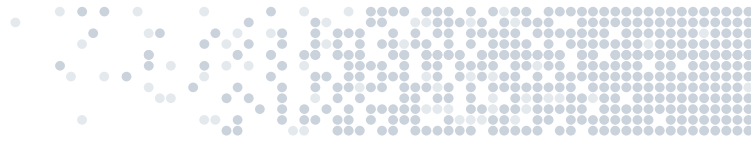
BSBITU304A Produce spreadsheets

BSB40610 Certificate IV in Business Sales

BSBSLS407A Identify and plan sales prospects

BSBMKG401B Profile the market

BSB41412 Certificate IV in Work Health and Safety



BSBWHS406A Assist with responding to incidents

PUAWER002B Ensure workplace emergency prevention procedures, systems and processes are implemented

BSB51107 Diploma of Management

BSBPMG522A Undertake project work

BSBHRM501A Manage human resources

HLT43212 Certificate IV in Health Administration

BSBMED401B Manage patient record keeping system

HLTHIR506C Implement and monitor compliance with legal and ethical requirements

TLI31610 Certificate III in Warehousing Operations

TLIA3015A complete receipt/despatch documentation

TILA3016A Use inventory systems to organise stock control

TLI41810 Certificate IV in Warehousing Operations

TLIA4031A Consolidate freight

TLIA4032A Organise transport of freight or goods

- For the above listed units, assessment tools included a third party evidence gathering tool. This tool was to form an integral part of the gathering of evidence to support practical competence against the units' skills requirements over a period of time within the workplace context.

Analysis of the tool identified that information within was simply a copy and paste of the performance criteria for the unit.

- There was no interpretation of the units' practical aspects into behaviours that could be either observed or reported on in the workplace, particularly since knowledge based performance criteria were also included in the checklist tool.
- There was no guidance to the third party as to the minimum levels of performance that must be observed before satisfactory demonstration could be reported.
- There was no context or instructions given in or with the tool so the third party would know when to observe the behaviours needed by the assessor to determine competence, for example or what workplace tasks to instruct the student to complete so that their performance could be observed relevant to the reporting tools checklist.
- There was no mechanism for recording observations of satisfactory performance on a number of occasions, as required by the units, which the third party report was specifically intended to address.
- The reporting tool did not gather evidence that could be considered either valid, reliable or sufficient upon which an assessor could make a valid judgment of competence that confirmed a learner's competence against all training package requirements.

In order to become compliant, the organisation is required to:

BSB30112 Certificate III in Business

BSBADM307B Organise schedules

- provide a full suite of assessment tools that meet training package requirements, the principles of assessment and the rules of evidence.

HLT43212 Certificate IV in Health Administration

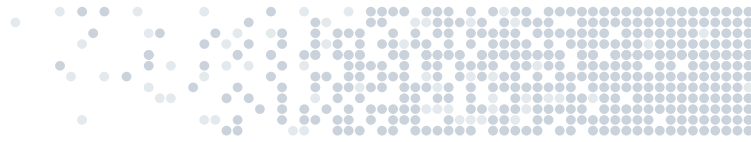
BSBMED401B Manage patient record keeping system

TLI31610 Certificate III in Warehousing Operations

TLIA3015A complete receipt/despatch documentation

TILA3016A Use inventory systems to organise stock control

- provide amended knowledge assessment tools and assessment tasks that ensure assessment for the above listed units meet all the knowledge requirements and critical aspects of the unit.



TAE40110 Certificate IV in Training and Assessment

TAEASS402B Assess competence

TAEDEL401A Plan, organise and deliver group-based learning

- provide evidence the organisation has designed assessment instructions and mechanism for ensuring the evidence checklists provided at audit for the above listed units will be used to ensure assessment meets the rules of evidence and principles of assessment.

BSB30112 Certificate III in Business

BSBITU304A Produce spreadsheets

BSB40610 Certificate IV in Business Sales

BSBSLS407A Identify and plan sales prospects

BSBMKG401B Profile the market

BSB41412 Certificate IV in Work Health and Safety

BSBWHS406A Assist with responding to incidents

PUAWER002B Ensure workplace emergency prevention procedures, systems and processes are implemented

BSB51107 Diploma of Management

BSBPMG522A Undertake project work

BSBHRM501A Manage human resources

HLT43212 Certificate IV in Health Administration

BSBMED401B Manage patient record keeping system

HLTHIR506C Implement and monitor compliance with legal and ethical requirements

TLI31610 Certificate III in Warehousing Operations

TLIA3015A complete receipt/despatch documentation

TLIA3016A Use inventory systems to organise stock control

TLI41810 Certificate IV in Warehousing Operations

TLIA4031A Consolidate freight

TLIA4032A Organise transport of freight or goods

- provide amended assessment tools that demonstrate it has practical assessment tasks and activities that will ensure its assessment meets all the required skills and associated critical aspects of evidence and performance criteria for the above listed units of competency.

BSB30112 Certificate III in Business

BSBADM307B Organise schedules

BSBITU304A Produce spreadsheets

BSB40610 Certificate IV in Business Sales

BSBSLS407A Identify and plan sales prospects

BSBMKG401B Profile the market

BSB41412 Certificate IV in Work Health and Safety

BSBWHS406A Assist with responding to incidents

PUAWER002B Ensure workplace emergency prevention procedures, systems and processes are implemented

BSB51107 Diploma of Management

BSBPMG522A Undertake project work

BSBHRM501A Manage human resources

HLT43212 Certificate IV in Health Administration

BSBMED401B Manage patient record keeping system

HLTHIR506C Implement and monitor compliance with legal and ethical requirements

TLI31610 Certificate III in Warehousing Operations

TLIA3015A complete receipt/despatch documentation



TILA3016A Use inventory systems to organise stock control

TLI41810 Certificate IV in Warehousing Operations

TLIA4031A Consolidate freight

TLIA4032A Organise transport of freight or goods

- provide redeveloped third party reports for all of the above listed units that demonstrate the units' requirements have been interpreted into observable step by step behaviours that can be reliably gathered by a third party in the workplace.
- ensure the redeveloped tools provided include sufficient detail and or/guidance to the third party as to the minimum levels of performance that must be observed before satisfactory evidence can be reported or recorded on the tool for each listed task or behaviour.
- ensure the redeveloped tools include the context in which the learner must be observed and instructions as to what workplace tasks or instructions must be given to the learner against which the listed behaviours in the checklist can be marked.
- ensure the redeveloped tools provided include a mechanism to gather evidence of satisfactory performance in each of the listed tasks or behaviours over a period of time consistent with the intended use of the tool as an evidence gathering mechanism.
- ensure the redeveloped tools provided gather a body of evidence that would be considered either valid, reliable or sufficient upon which an assessor could make a valid judgment of competence that confirmed a learner's competence against all training package requirements.

Analysis of rectification evidence:

BSB30112 Certificate III in Business

BSBADM307B Organise schedules

- provide a full suite of assessment tools that meet training package requirements, the principles of assessment and the rules of evidence.

HLT43212 Certificate IV in Health Administration

BSBMED401B Manage patient record keeping system

TLI31610 Certificate III in Warehousing Operations

TLIA3015A complete receiptal/despatch documentation

TILA3016A Use inventory systems to organise stock control

- The organisation provided amended assessment tools that now address all the knowledge requirements and associated critical aspects of evidence for the above listed units.

TAE40110 Certificate IV in Training and Assessment

TAEASS402B Assess competence

TAEDEL401A Plan, organise and deliver group-based learning

- The organisation provided amended assessor instructions and an email alert to trainers and assessors that will ensure the evidence checklists provided at audit will be used to ensure assessment for the above listed units and qualification will meet the rules of evidence and principles of assessment.

BSB30112 Certificate III in Business

BSBITU304A Produce spreadsheets

BSB40610 Certificate IV in Business Sales

BSBSLS407A Identify and plan sales prospects

BSBMKG401B Profile the market

BSB41412 Certificate IV in Work Health and Safety

BSBWH5406A Assist with responding to incidents

PUAWER002B Ensure workplace emergency prevention procedures, systems and processes are implemented



BSB51107 Diploma of Management

BSBPMG522A Undertake project work

BSBHRM501A Manage human resources

HLT43212 Certificate IV in Health Administration

BSBMED401B Manage patient record keeping system

HLTHIR506C Implement and monitor compliance with legal and ethical requirements

TLI31610 Certificate III in Warehousing Operations

TLIA3015A complete receipt/despatch documentation

TLIA3016A Use inventory systems to organise stock control

TLI41810 Certificate IV in Warehousing Operations

TLIA4032A Organise transport of freight or goods

- The organisation provided amended assessment tools that included practical tasks and activities which will ensure assessment meets all the required skills and associated aspects of evidence and performance criteria in the units.

BSB30112 Certificate III in Business

BSBADM307B Organise schedules

BSBITU304A Produce spreadsheets

BSB40610 Certificate IV in Business Sales

BSBSLS407A Identify and plan sales prospects

BSBMKG401B Profile the market

BSB41412 Certificate IV in Work Health and Safety

BSBWHS406A Assist with responding to incidents

PUAWER002B Ensure workplace emergency prevention procedures, systems and processes are implemented

BSB51107 Diploma of Management

BSBPMG522A Undertake project work

BSBHRM501A Manage human resources

HLT43212 Certificate IV in Health Administration

BSBMED401B Manage patient record keeping system

HLTHIR506C Implement and monitor compliance with legal and ethical requirements

TLI31610 Certificate III in Warehousing Operations

TLIA3015A complete receipt/despatch documentation

TLIA3016A Use inventory systems to organise stock control

TLI41810 Certificate IV in Warehousing Operations

TLIA4031A Consolidate freight

TLIA4032A Organise transport of freight or goods

- The organisation provided newly developed practical assessment tasks that are to then be supplemented with a third party report should further evidence be required by the assessor to confirm competence.

The practical assessment tasks were supported by evidence gathering tools that would ensure the training package requirements were met.

The third party tool was a blank template with detailed instructions to the assessor as to when the third party report might need to be used and how to fill in the blank template to ensure it was clear what additional evidence was being sought by the tool and why. These additional checklist items were to be taken from the observation checklist developed for the practical assessment tasks,



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.
Original finding:	Compliant
Following rectification:	n/a
16.2	The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.
Original finding:	Compliant
Following rectification:	n/a
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.
Original finding:	Compliant
Following rectification:	n/a
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.
Original finding:	Compliant
Following rectification:	n/a
16.5	Learners receive training, assessment and support services that meet their individual needs.
Original finding:	Compliant
Following rectification:	n/a
16.6	Learners have timely access to current and accurate records of their participation and progress.
Original finding:	Compliant
Following rectification:	n/a
16.7	The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.
Original finding:	Compliant
Following rectification:	n/a
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.
Original finding:	Compliant
Following rectification:	n/a



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

Original finding: Compliant

Following rectification: n/a

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.

Original finding: Not audited

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a

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.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The organisation has been identified as having non-compliances with the requirements of the VET Quality Framework as reported elsewhere within this audit report.

In order to become compliant, the organisation is required to:

- provide evidence to rectify all non-compliances identified within this audit report.

Analysis of rectification evidence:

- The organisation provided evidence that rectified non-compliances with SNR's 15.2, 15.3, 15.4, 15.5 and 22.2.

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.

Original finding: Compliant

Following rectification: n/a

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.****Original finding:** Compliant**Following rectification:** n/a**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.

Original finding: Compliant**Following rectification:** n/a

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.

Original finding: Compliant**Following rectification:** n/a**SNR 21 Insurance**

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

Original finding: Compliant**Following rectification:** n/a**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.

Original finding: Compliant**Following rectification:** n/a

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.**

Original finding: Not compliant**Following rectification:** Compliant*Reasons for finding of non-compliance:*

- The organisation was not able to provide evidence at audit of the nature of the guarantee it



provides to complete the training and/or assessment once a student has commenced study in their chosen qualification or course.

In order to become compliant, the organisation is required to:

- provide evidence of the nature of the guarantee it will provide to a student to complete the training and/or assessment once a student has commenced study in their chosen qualification or course.

Analysis of rectification evidence:

- The organisation amended Corporate Terms and Conditions and Enrolment Terms and Conditions documents which now include the nature of its guarantee to complete training once a student has commenced study in their chosen qualification or course.

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;

(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; or

(e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.

Original finding: Compliant

Following rectification: n/a

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.

Original finding: Compliant

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a



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.

Original finding: Compliant

Following rectification: n/a

23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]

This element was not audited.

23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]

This element was not audited.

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.

Original finding: Compliant

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a

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.

Original finding: Compliant

Following rectification: n/a

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.

Original finding: Compliant

Following rectification: n/a