





- The RTO's future strategy is to provide training to corporate clients in regional Queensland at the clients' premises.
- The RTO's organisational structure consists of Cathie Wood – Director, Chris Barnes – Director, and Scott Marshall – Trainer/Assessor.
- Core clients consist of bus and transport companies and warehousing companies.
- Fee revenue sources consist of fee for service for corporate clients and User Choice funding for **TLI32410 Certificate III in Logistics, Certificate II in Warehousing, TLI31210 Certificate III in Driving Operations** and **TLI31610 Certificate III in Warehousing Operations**.
- The site audit was finished early on 27 May 2014 due to Lead Auditor falling ill. The remaining audit evidence was provided by the RTO via email on 28 May 2014, and the Lead Auditor analysed the evidence and finalised the audit on 31 May 2014.

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

- 0

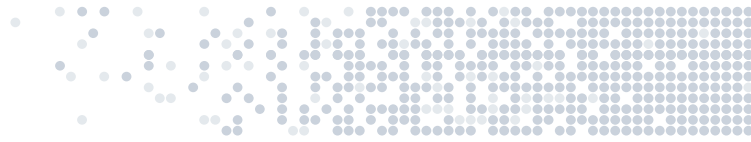
| AUDIT SAMPLE |                                       |                                |   |
|--------------|---------------------------------------|--------------------------------|---|
| Code         | Qualification/Course/Unit name        | Mode/s of delivery/assessment* | Current enrolments<br>(If not yet on scope, record N/A) |
| TLI21610     | Certificate II in Warehousing         | Face to face                   | 0   |
| TLI31210     | Certificate III in Driving Operations | Face to face                   | 0   |
| TLI40210     | Certificate IV in Logistics           | Face to face                   | 0   |

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

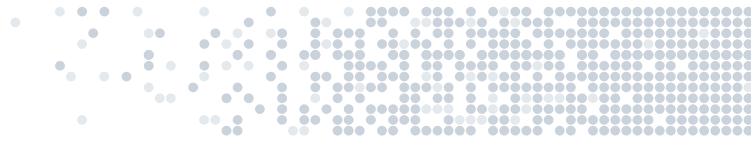
| INTERVIEWEES |          |  |
|--------------|----------|--|
| Name         | Position | Qualification/Course/Unit code/s   |
| Cathie Wood  | Director | TLI21610 Certificate II in Warehousing   |
| Chris Barnes | Director | TLI31210 Certificate III in Driving Operations<br>TLI40210 Certificate IV in Logistics |

| ORIGINAL AUDIT FINDING AT TIME OF AUDIT  |
|--|
| <b>Audit finding as at 31/05/2014: Critical non-compliance</b>   |
| <ul style="list-style-type: none"> <li>• The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.</li> <li>• If non-compliance has been identified, this audit report describes evidence of the non-compliance.</li> <li>• Refer to notification of non-compliance for information on providing further evidence of compliance.</li> </ul> |

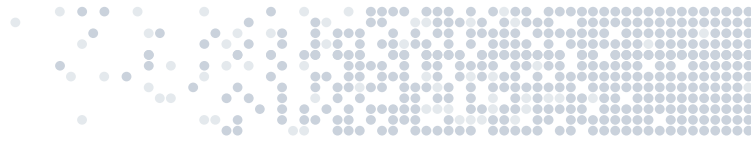
| AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE                                       |
|--|
| <b>Audit finding following analysis of additional evidence provided on 10/07/2014: Compliant</b> |



| <b>AUDIT FINDING BY STANDARD</b> |                         |  |
|----------------------------------|-------------------------|--|
| <b>Standard</b>                  | <b>Original finding</b> | <b>Finding following rectification</b> |
| SNR 15                           | Not compliant           | Compliant                              |
| SNR 16                           | Compliant               | n/a                                    |
| SNR 17                           | Compliant               | n/a                                    |
| SNR 18                           | Not compliant           | Compliant                              |
| SNR 19                           | Not audited             | n/a                                    |
| SNR 20                           | Compliant               | n/a                                    |
| SNR 21                           | Not audited             | n/a                                    |
| SNR 22                           | Compliant               | n/a                                    |
| SNR 23/AQF                       | Compliant               | n/a                                    |
| SNR 24                           | Compliant               | n/a                                    |
| SNR 25                           | Compliant               | n/a                                    |



|   |  |
|---|--|
| <b>SNR 15</b>   | <b>The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:</b>   |
| <b>15.1</b>   | <b>The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.</b>   |
| <b>Original finding:</b>  | Compliant  |
| <b>Following rectification:</b>   | n/a  |
| <b>15.2</b>   | <b>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.</b>  |
| <b>Original finding:</b>  | Not compliant  |
| <b>Following rectification:</b>   | Compliant  |
| <i>Reasons for finding of non-compliance:</i>   |  |
| <ul style="list-style-type: none"><li>• The training and assessment strategy for TLI42010 Certificate IV in Logistics had not been developed in consultation with the licensing authority for TLILIC2001A Licence to operate a forklift truck, Workplace Health and Safety Queensland, and therefore did not meet the requirements of the relevant Training Package.</li><li>• The training and assessment strategy for TLI31210 Certificate III in Driving Operations had not been developed in consultation with the licensing authority for TLILIC2015B Licence to drive medium rigid vehicle, Department of Transport and Main Roads, and therefore did not meet the requirements of the relevant Training Package.</li></ul>   |  |
| <i>In order to become compliant, the organisation is required to:</i>   |  |
| <ul style="list-style-type: none"><li>• Provide an updated training and assessment strategy for TLI42010 Certificate IV in Logistics which has been developed in consultation with the licensing authority for TLILIC2001A Licence to operate a forklift truck, Workplace Health and Safety Queensland, and meets the requirements of the relevant Training Package.</li><li>• Provide an updated training and assessment strategy for TLI31210 Certificate III in Driving Operations which has been developed in consultation with the licensing authority for TLILIC2015B Licence to drive medium rigid vehicle, Department of Transport and Main Roads, and meets the requirements of the relevant Training Package.</li></ul>   |  |
| <i>Analysis of rectification evidence:</i>  |  |
| <ul style="list-style-type: none"><li>• The RTO provided an updated training and assessment strategy for TLI42010 Certificate IV in Logistics which has been developed in consultation with the licensing authority for TLILIC2001A Licence to operate a forklift truck, Workplace Health and Safety Queensland, and meets the requirements of the relevant Training Package. The RTO also provided industry validation from Kim Hicks, WHSQ Accredited Assessor for TLILIC2001A Licence to operate a forklift truck and Nathan Roylance, SIGMA Pharmaceuticals Limited.</li><li>• The RTO provided an updated training and assessment strategy for TLI31210 Certificate III in Driving Operations which included TLIC3003A Drive medium rigid vehicle instead of TLILIC2015B Licence to drive medium rigid vehicle, which meets the requirements of the relevant Training Package.</li></ul> |  |
| <b>15.3</b>   | <b>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.</b> |
| <b>Original finding:</b>  | Not compliant  |
| <b>Following rectification:</b>   | Compliant  |



*Reasons for finding of non-compliance:*

- The RTO did not provide evidence to demonstrate that its nominated staff for TLI21610 Certificate II in Warehousing Operations, TLI31210 Certificate III in Driving Operations and TLI42010 Certificate IV in Logistics meet the requirements of the relevant Training Package. Refer to SNR 15.4 for further detail.
- The RTO did not provide evidence to demonstrate that it has training and assessment materials for TLI21610 Certificate II in Warehousing Operations, TLI31210 Certificate III in Driving Operations and TLI42010 Certificate IV in Logistics that meet the requirements of the relevant Training Package, are consistent with the RTO’s own training and assessment strategies and are developed through effective consultation with industry. Refer to SNR 15.5 for further detail.

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

- provide evidence to demonstrate that its nominated staff for TLI21610 Certificate II in Warehousing Operations, TLI31210 Certificate III in Driving Operations and TLI42010 Certificate IV in Logistics meet the requirements of the relevant Training Package. Refer to SNR 15.4 for further detail.
- provide evidence to demonstrate that it has training and assessment materials for TLI21610 Certificate II in Warehousing Operations, TLI31210 Certificate III in Driving Operations and TLI42010 Certificate IV in Logistics that meet the requirements of the relevant Training Package, are consistent with the RTO’s own training and assessment strategies and are developed through effective consultation with industry. Refer to SNR 15.5 for further detail.

*Analysis of rectification evidence:*

- The RTO provided evidence to demonstrate that its nominated staff for TLI21610 Certificate II in Warehousing Operations, TLI31210 Certificate III in Driving Operations and TLI42010 Certificate IV in Logistics meet the requirements of the relevant Training Package. Refer to SNR 15.4 for further detail.
- The RTO provided evidence to demonstrate that it has training and assessment materials for TLI21610 Certificate II in Warehousing Operations, TLI31210 Certificate III in Driving Operations and TLI42010 Certificate IV in Logistics that meet the requirements of the relevant Training Package, are consistent with the RTO’s own training and assessment strategies and are developed through effective consultation with industry. Refer to SNR 15.5 for further detail.

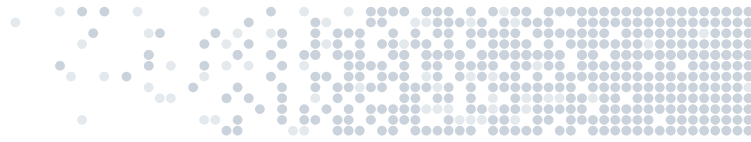
**15.4 Training and assessment is delivered by trainers and assessors who:**  
**(a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and**  
**(b) have the relevant vocational competencies at least to the level being delivered 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:*

- The RTO did not provide evidence to demonstrate that its proposed trainer and assessor for TLI21610 Certificate II in Warehousing Operations, Kim Hicks:
  - has the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors;
  - has the relevant vocational competencies at least to the level being delivered or



- assessed;
  - can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
  - continues to develop her vocational education and training (VET) knowledge and skills as well her industry currency and trainer/assessor competence.
- The RTO did not provide evidence to demonstrate that its proposed trainer and assessor for TLI31210 Certificate III in Driving Operations and TLI42010 Certificate IV in Logistics, Philip Thomas Jones :
    - has the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors;
    - has the relevant vocational competencies at least to the level being delivered or assessed;
    - can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
    - continues to develop his vocational education and training (VET) knowledge and skills as well his industry currency and trainer/assessor competence.

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

- provide evidence to demonstrate that its proposed trainer and assessor for TLI21610 Certificate II in Warehousing Operations, Kim Hicks:
  - has the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors;
  - has the relevant vocational competencies at least to the level being delivered or assessed;
  - can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
  - continues to develop her vocational education and training (VET) knowledge and skills as well her industry currency and trainer/assessor competence.
- provide evidence to demonstrate that its proposed trainer and assessor for TLI31210 Certificate III in Driving Operations and TLI42010 Certificate IV in Logistics, Philip Thomas Jones :
  - has the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors;
  - has the relevant vocational competencies at least to the level being delivered or assessed;
  - can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
  - continues to develop his vocational education and training (VET) knowledge and skills as well his industry currency and trainer/assessor competence.

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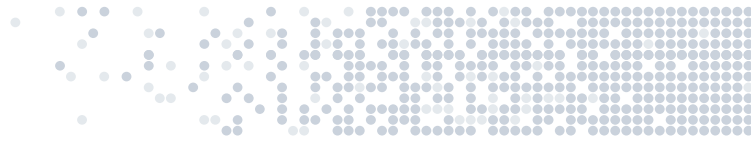
*Analysis of rectification evidence:*

Kim Hicks

**TLI21610 Certificate II in Warehousing Operations**

The RTO provided the following rectification evidence:

- TAE40110 Certificate IV in Training and Assessment, 20/12/10
- TLI40107 Certificate IV in Transport and Logistics (Warehousing and Storage), 26/11/10
- TLI30207 Certificate III in Transport and Logistics (Road Transport)
- Workplace Health and Safety Queensland Certificate of Accreditation, Assessor number 30029, Licence to operate a forklift truck and licence to operate an order picking forklift truck, Expiry 7/6/12
- Resume which details licensing assessor workshops and TAELLN412 as 2014 professional



development.

The evidence above demonstrates that the proposed trainer and assessor for TLI21610 Certificate II in Warehousing Operations, Kim Hicks:

- has the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors;
- has the relevant vocational competencies at least to the level being delivered or assessed;
- can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
- continues to develop her vocational education and training (VET) knowledge and skills as well her industry currency and trainer/assessor competence.

Philip Thomas Jones

**TLI31210 Certificate III in Driving Operations**

**TLI42010 Certificate IV in Logistics**

The RTO provided the following rectification evidence:

- TAA40104 Certificate IV in Training and Assessment, 31/5/10
- TLI41309 Certificate IV in Transport and Logistics with licence classes LR, MR, HR, MC, 12/3/10
- TLI40107 Certificate IV in Transport and Logistics (Warehousing and Storage), 21/5/12
- TLI30307 Certificate III in Transport and Logistics (Road Transport), 13/6/10
- TLI40207 Certificate IV in Transport and Logistics (Road Transport), 1/4/11
- Resume – Current - Director, Drivesafe
- Professional Development Plan 2014 detailing TAELLN412, upgrade to TAE40110, Diploma of Logistics and Holden Defensive Driver Training Course.

The evidence above demonstrates that the proposed trainer and assessor for TLI31210 Certificate III in Driving Operations and TLI42010 Certificate IV in Logistics, Philip Thomas Jones :

- has the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors;
- has the relevant vocational competencies at least to the level being delivered or assessed;
- can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
- continues to develop his vocational education and training (VET) knowledge and skills as well his industry currency and trainer/assessor competence.

**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:*

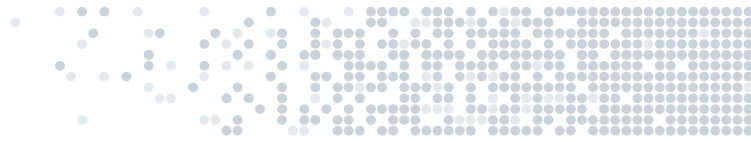
**TLI21610 Certificate II in Warehousing**

**TLI31210 Certificate III in Driving Operations**

*TLIF2010A Apply fatigue management strategies*

- Assessment tools comprised of written questions, case studies and driver logbook purchased by the Transport and Logistics Industry Council. The RTO had not validated the assessment tools and did not provide evidence to demonstrate that assessment met the requirements of the relevant Training Package, in particular the performance criteria, required knowledge and





skills and critical aspects of evidence.

- In addition, the RTO provided self-developed assessment tools for Wagner Investments consisting of written questions and driver logbook. Assessment tools for Wagner Investments did not include benchmark criteria defining acceptable performance.
- Completed student files viewed could not determine that 2<sup>nd</sup> attempt answers were authentic and had been provided by the student.

#### **TLI21610 Certificate II in Warehousing**

*TLID2010A Operate a forklift*

- The RTO did not have assessment tools for the above unit. Therefore it could not be demonstrated that assessment meets the requirements of the Training Package, is conducted in accordance with the principles of assessment and rules of evidence, meets workplace and regulatory requirements and is systematically validated. In addition, the RTO did not provide benchmark criteria defining acceptable performance.

#### **TLI31210 Certificate III in Driving Operations**

*TLILIC3003A Licence to drive medium rigid vehicle*

#### **TLI42010 Certificate IV in Logistics**

*TLILIC2001A Licence to operate a forklift truck*

- The RTO did not have the mandated assessment tools provided by the licensing authorities for the above units. Therefore it could not be demonstrated that assessment meets the requirements of the Training Package, is conducted in accordance with the principles of assessment and rules of evidence, meets workplace and regulatory requirements and is systematically validated. In addition, the RTO did not provide benchmark criteria defining acceptable performance.

#### **TLI42010 Certificate IV in Logistics**

*TLI4070 Work effectively in the transport and logistics industry*

- Assessment tools comprised of written questions, case studies, workplace practical, research project, work diary purchased by the Transport and Logistics Industry Council. The RTO had not validated the assessment tools and did not provide evidence to demonstrate that assessment met the requirements of the relevant Training Package, in particular the performance criteria, required knowledge and skills and critical aspects of evidence.

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

#### **TLI21610 Certificate II in Warehousing**

#### **TLI31210 Certificate III in Driving Operations**

*TLIF2010A Apply fatigue management strategies*

- Provide a complete set of assessment tools for the above unit that meet the requirements of the relevant Training Package, in particular, the performance criteria, required knowledge and skills and critical aspects of evidence. Assessment tools must include or be accompanied by benchmark criteria defining acceptable performance. Further, the RTO is required to provide evidence to demonstrate that assessment tools are systematically validated.
- Provide evidence to demonstrate how the RTO will ensure that 2<sup>nd</sup> attempt answers are authentic and completed by the student.

#### **TLI21610 Certificate II in Warehousing**

*TLID2010A Operate a forklift*

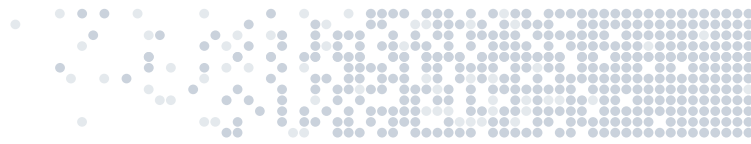
#### **TLI31210 Certificate III in Driving Operations**

*TLILIC3003A Licence to drive medium rigid vehicle*

#### **TLI42010 Certificate IV in Logistics**

*TLI4070 Work effectively in the transport and logistics industry*





*TLILIC2001A Licence to operate a forklift truck*

- Provide a complete set of assessment tools for the above units that meet the requirements of the relevant Training Package, are conducted in accordance with the principles of assessment and rules of evidence, meet workplace and regulatory requirements and have been systematically validated. In addition, assessment tools must be accompanied by benchmark criteria defining acceptable performance.

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*Analysis of rectification evidence:*

**TLI21610 Certificate II in Warehousing**

**TLI31210 Certificate III in Driving Operations**

*TLIF2010A Apply fatigue management strategies*

- The RTO provided updated assessment tools for the above unit consisting of an assessor guide, written questions with benchmark answers, work diary assessment with benchmark answers, student workbook, competency mapping and validation policy.
- The updated assessment tools for the above unit meet the requirements of the relevant Training Package, in particular, the performance criteria, required knowledge and skills and critical aspects of evidence. Assessment tools are accompanied by benchmark criteria defining acceptable performance. The competency mapping and validation policy demonstrate that assessment tools are systematically validated.
- The RTO provided Minutes of Meeting with Scott Marshall, Trainer/Assessor and Process Improvement Notification which demonstrate how the RTO will ensure that 2<sup>nd</sup> attempt answers are authentic and completed by the student.

**TLI31210 Certificate III in Driving Operations**

*TLIC3003A Drive medium rigid vehicle*

- The RTO provided updated assessment tools for the above unit instead of TLILIC2015B Licence to drive a medium rigid vehicle, as the RTO amended their training and assessment strategy to include TLIC3003A Drive medium rigid vehicle instead of TLILIC2015B Licence to drive a medium rigid vehicle.
- The assessment tools for TLIC3003A Drive medium rigid vehicle consisted of written questions with benchmark answers, verbal assessment, practical observation assessment with benchmark criteria, competency mapping, and assessment validation checklist.
- The assessment tools for the above unit meet the requirements of the relevant Training Package and demonstrate that assessment is conducted in accordance with the principles of assessment and rules of evidence. The assessment tools are accompanied by benchmark criteria defining acceptable performance. The competency mapping and assessment validation checklist demonstrate that assessment tools are systematically validated.

**TLI21610 Certificate II in Warehousing**

*TLID2010A Operate a forklift*

**TLI42010 Certificate IV in Logistics**

*TLILIC2001A Licence to operate a forklift truck*

- The RTO provided the mandated assessment tools produced by Safe Work Australia consisting of knowledge questions, calculations assessment and performance assessment. The assessment tools were accompanied by an assessor guide containing acceptable performance criteria and a competency mapping guide.
- The assessment tools for the above units meet the requirements of the relevant Training Package and demonstrate that assessment is conducted in accordance with the principles of assessment and rules of evidence. The tools also meet workplace and regulatory requirements and have been systematically validated.



## TLI42010 Certificate IV in Logistics

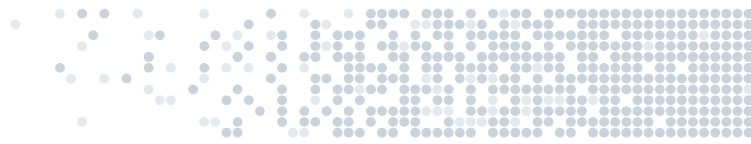
TLI4070 Work effectively in the transport and logistics industry

- The RTO provided assessment tools developed by the Transport and Logistics Industry Skills Council consisting of a research project, demonstration / work diary and third party report. The assessment tools were accompanied by an RTO resource containing acceptable performance criteria and a competency mapping guide.
- The assessment tools for the above unit meet the requirements of the relevant Training Package and demonstrate that assessment is conducted in accordance with the principles of assessment and rules of evidence. The tools also meet workplace and regulatory requirements and have been systematically validated.

|                                 |   |
|---------------------------------|---|
| <b>SNR 16</b>                   | <b>The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:</b>   |
| <b>16.1</b>                     | <b>The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.</b>  |
| <b>Original finding:</b>        | Compliant   |
| <b>Following rectification:</b> | n/a   |
| <b>16.2</b>                     | <b>The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.</b>   |
| <b>Original finding:</b>        | Compliant   |
| <b>Following rectification:</b> | n/a   |
| <b>16.3</b>                     | <b>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.</b> |
| <b>Original finding:</b>        | Compliant   |
| <b>Following rectification:</b> | n/a   |
| <b>16.4</b>                     | <b>Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.</b>   |
| <b>Original finding:</b>        | Compliant   |
| <b>Following rectification:</b> | n/a   |
| <b>16.5</b>                     | <b>Learners receive training, assessment and support services that meet their individual needs.</b>   |
| <b>Original finding:</b>        | Compliant   |
| <b>Following rectification:</b> | n/a   |
| <b>16.6</b>                     | <b>Learners have timely access to current and accurate records of their participation and progress.</b>   |
| <b>Original finding:</b>        | Compliant   |
| <b>Following rectification:</b> | n/a   |
| <b>16.7</b>                     | <b>The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>   |
| <b>Original finding:</b>        | Compliant   |
| <b>Following rectification:</b> | n/a   |



|  |   |
|--|---|
| <b>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:</b>   |   |
| <b>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.</b>  |   |
| <b>Original finding:</b> Compliant   | <b>Following rectification:</b> n/a       |
| <b>17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.</b>  |   |
| <b>Original finding:</b> Compliant   | <b>Following rectification:</b> n/a       |
| <b>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.</b>   |   |
| <b>Original finding:</b> Compliant   | <b>Following rectification:</b> n/a       |
| <b>17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.</b>   |   |
| <b>Original finding:</b> Compliant   | <b>Following rectification:</b> n/a       |
| <b>SNR 18 The NVR registered training organisation has governance arrangements in place as follows:</b>  |   |
| <b>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.</b> |   |
| <b>Original finding:</b> Not compliant   | <b>Following rectification:</b> Compliant |
| <i>Reasons for finding of non-compliance:</i>  |   |
| <ul style="list-style-type: none"><li>The non-compliances identified at audit demonstrated that the RTO’s Chief Executive had not ensured that it complies with the VET Quality Framework across all of the operations within the RTO’s scope of registration as listed on the National Register.</li></ul>                  |   |
| <i>In order to become compliant, the organisation is required to:</i>  |   |
| <ul style="list-style-type: none"><li>rectify all non-compliances identified in the audit report as evidence of rectifying SNR 18.1.</li></ul>   |   |
| <i>Analysis of rectification evidence:</i>   |   |
| <ul style="list-style-type: none"><li>The RTO provided evidence to rectify all non-compliances identified in the audit report which is sufficient evidence to rectify SNR 18.1.</li></ul>  |   |



**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:** Not audited

**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:** Not audited

**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:** Not audited

**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:** Not audited

**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:** Compliant

**Following rectification:** n/a

- 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

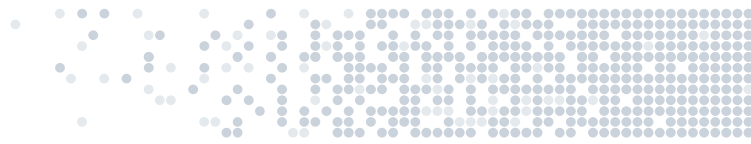
**Following rectification:** n/a

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

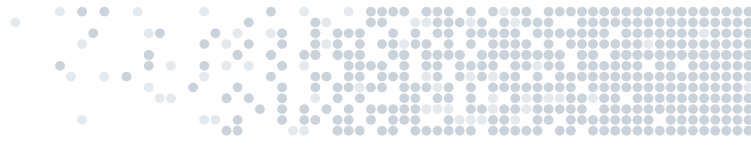
- 23.1** The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:
- (a) meets the Australian Qualifications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



|  |   |
|--|---|
| <b>23.2</b>  | <b>The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.</b>   |
| <b>Original finding:</b> Not audited   | <b>Following rectification:</b> n/a   |
| <b>23.3</b>  | <b>The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.</b>  |
| <b>Original finding:</b> Not audited   | <b>Following rectification:</b> n/a   |
| <b>23.4</b>  | <b>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]</b> |
| This element was not audited.  |   |
| <b>23.5</b>  | <b>The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]</b>  |
| This element was not audited.  |   |
| <b>SNR 24 Accuracy and integrity of marketing</b>                              |   |
| <b>24.1</b>  | <b>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.</b>  |
| <b>Original finding:</b> Compliant   | <b>Following rectification:</b> n/a   |
| <b>24.2</b>  | <b>The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.</b>  |
| <b>Original finding:</b> Not audited   | <b>Following rectification:</b> n/a   |
| <b>SNR 25 Transition to Training Packages/expiry of VET accredited courses</b> |   |
| <b>25.1</b>  | <b>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.</b>  |
| <b>Original finding:</b> Compliant   | <b>Following rectification:</b> n/a   |
| <b>25.2</b>  | <b>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.</b>  |



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**Original finding:** Not audited

**Following rectification:** n/a

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