

22 December 2014



Australian Government

Australian Skills Quality Authority

Mr Jody Holden
Director
Safety & Emergency Training (NQ) Pty Ltd
50 Charles St
Aitkenvale QLD 4814

Also by email: jody@getsettraining.com.au training@getsettraining.com.au

Audit No: 1003910

Dear Mr Holden

Re: Audit finalised

This notice is to advise that the recent post-initial audit conducted on Safety & Emergency Training (NQ) Pty Ltd has been finalised and that your registered training organisation (RTO) has been noted for its ongoing compliance with the Standards for NVR Registered Training Organisations.

The findings of this audit will contribute to the records retained of your RTO's compliance history and to the risk rating assigned to your organisation.

A copy of the final audit report is attached for your reference.

Thank you for your organisation's cooperation throughout this audit activity.

You are reminded that an ongoing condition of your registration is compliance with the Standards for NVR Registered Training Organisations.

Further information and assistance

If you require further information or assistance in relation to this matter, please contact the Info Line on telephone 1300 701 801.

Yours sincerely

Jane Holt
Regional Manager Compliance, Darwin

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Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Safety & Emergency Training (NQ) Pty Ltd
Trading name/s	NA
RTO number	40681
CRICOS number	NA

AUDIT TEAM

Lead auditor	Anthony Sheppard
Auditor/s	Scott Templeton
Technical adviser/s	NA

AUDIT DETAILS

Application number/s	NA
Audit number/s	1003910
Audit reason 1	Post initial
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	50 Charles Street, Aitkenvale QLD 4814
Date/s of audit	24-25/09/2014
Organisation's contact for audit	Carmela Richards Training & Compliance Manager carmela@getsettraining.com.au (07) 4779 3667
NVR standards audited	Selected Standards for Continuing Registration: 15, 16, 17, 18, 20.2, 21.1, 22.2, 22.3, 23.1, 24.1, and 25.1

BACKGROUND

- The organisational structure consists of Jody Holden as director and owner. Melita Smith as office manager responsible for day to day operations, Carmela Richards as compliance manager, and Terry Crosby as Business Development manager.
- The organisation provides non-accredited training to a variety of mine site clients.
- The organisation describes its core clients are employers/employees of mining and construction organisations and the general public. Additionally, the organisation provides training in affiliation with local job agencies.
- Funding sources include CSQ funding and fee for service.

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

- Nil

AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
RII30709	Certificate III in Mine Emergency Response and Rescue	Face to face	Nil
CPCCLDG3001A	Licence to perform dogging	Face to face	Nil
CPCCOHS1001A	Work safely in the construction industry	Face to face	Nil
HLTCPR211A	Perform CPR	Face to face	Nil
HLTFA311A	Apply first aid	Face to face	Nil
MSAPMOHS217A	Gas test atmospheres	Face to face	Nil
MSAPMPER300C	Issue work permits	Face to face	Nil
PUAFIR215	Prevent injury	Face to face	Nil
PUASAR022A	Participate in a rescue operation	Face to face	Nil
TLILIC2001A	Licence to operate a forklift truck	Face to face	Nil
TLILIC2005A	Licence to operate a boom-type elevating work platform (boom length 11 metres or more)	Face to face	Nil
UETDRRF06B	Perform rescue from a live LV panel	Face to face	Nil

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

INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Jody Holden	Director	CPCCOHS1001A, HLTCPR211A, MSAPMOHS217A, MSAPMPER300C, RII30709, TLILIC2001A (delivery only), TLILIC2005A (delivery only), PUAFIR215, PUASAR022A
Melita Smith	Office Manager	Nil
Terry Crosby	Business Development Manager	UETDRRF06B
Carmela Richards	Training and Compliance Manager	Nil

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 25/09/2014: 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 01/12/2014: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Compliant	n/a
SNR 17	Not compliant	Compliant
SNR 18	Not compliant	Compliant
SNR 19	Not audited	n/a
SNR 20	Compliant	n/a
SNR 21	Compliant	n/a
SNR 22	Compliant	n/a
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: Compliant

Following rectification: n/a

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:

- The organisation did not demonstrate that assessment materials used by the organisation for assessment of the units of competency listed below are consistent with the requirements of the Training Package (SNR 15.3)
 - RIIERR307A Extricate casualties from underground incident (sampled within RII30709 Certificate III in Mine Emergency Response and Rescue)
 - RIIERR308A Extricate and transport people involved in incidents (sampled within RII30709 Certificate III in Mine Emergency Response and Rescue)
 - CPCCOHS1001A Work safely in the construction industry (explicit scope)
 - HLTCPR211A Perform CPR (explicit scope)
 - HLTF311A Apply first aid (explicit scope)
 - MSAPMOHS217A Gas test atmospheres (explicit scope)
 - MSAPMPER300C Issue work permits (explicit scope)
 - PUAFIR215 Prevent injury (explicit scope)
 - PUAFIR022A Participate in a rescue operation (explicit scope)
 - UETDTRRF06B perform rescue from a live LV panel (explicit scope)
- See SNR 15.5 for details.

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

- The organisation is not required to provide evidence in direct response to SNR 15.3. Evidence provided in response to SNR 15.5 will also be used to determine compliance with SNR 15.3.

Analysis of rectification evidence:

The organisation provided evidence demonstrating compliance with SNR 15.5; therefore, it has also demonstrated compliance with SNR 15.3 – Closed.

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: Compliant

Following rectification: n/a

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:

- The organisation did not demonstrate that assessment meets the requirements of the relevant Training Package; is conducted in accordance with the principles of assessment and the rules of evidence; and is systematically validated (SNR 15.5 a, b, and d).

RIIERR307A Extricate casualties from underground incident (sampled within RII30709 Certificate III in Mine Emergency Response and Rescue)

- Assessment materials comprise:
 - Activity book
 - Audit mapping
 - Auditor's Handbook
 - Documents and forms (Attendance sheet, feedback form, assessment summary sheet, common definitions)
 - Learner guide (one each for modules 1, 2, and 3)
 - Presentation PowerPoint for each module
 - Trainer's handbook
 - Unit assessment tool
- The practical assessment does not include details of the actual practical activity to be undertaken. The organisation has implemented a group activity sheet for assessors to record the activity; however, a review of the completed assessments confirms that this is either not completed, or is limited to brief statements "performed rescue" etc. that do not add clarity to the task or tasks observed. Additionally, the practical assessments routinely state "demonstrate and/or explain", it is not made clear within any of the completed assessment records sighted whether the learner was actually observed performing the required skills or simply explained how they would do these things if required. Therefore, assessment does not ensure sufficiency to meet the Training Package requirements, or reliability, validity, and fairness of the assessment, in that it is unclear that each cohort of learners are subjected to equivalent levels of assessment. It is unclear how the organisation can validate an assessment suite in the absence of clearly defined practical activities/scenarios. It is not clear whether the assessments are individual or group work (authenticity).

RIIERR308A Extricate and transport people involved in incidents (sampled within RII30709 Certificate III in Mine Emergency Response and Rescue)

- Assessment materials comprise:
 - Activity book
 - Learner's guide
 - Audit mapping
 - Auditor's Handbook
 - Test paper
- The practical assessment exhibits the same issues as the previous RII unit above. Additionally,

there is no assessor guide; therefore, it is unclear whether there are criteria defining acceptable performance. Practical assessment uses slightly different wording "demonstrate or explain" rather than "and/or"; however, the risk remains that learners simply explain practical skills rather than physically demonstrating their competency. It is unclear how the organisation can validate an assessment suite in the absence of clearly defined practical activities/scenarios. It is not clear that the assessments are individual or group work (authenticity).

CPCCOHS1001A Work safely in the construction industry (explicit scope)

- Assessment materials comprise:
 - Workbook Written and practical assessment
 - Assessment book Written and practical assessment (this document mostly repeats the workbook; however, both are used as summative assessment)
- Practical assessment does not include a mechanism for recording evidence of performance concerning all Training Package requirements, such as identifying what PPE is donned or documenting the learner's response to explaining its use (PC 4.3)
- Completed learner assessments identified that learners conducted risk assessment activities relating to moving a couch and changing a light bulb; however, there was no evidence of learners actually assessing risks that were relevant to the construction environment (Critical Aspects)
- Risk assessment is conducted as a group activity. It is unclear how the assessment evidence supports authenticity.
- Instructions do not clearly identify the context or application of the practical assessment to ensure that it is consistently and reliably applied.

HLTCPR211A Perform CPR (explicit scope)

- Assessment materials comprise:
 - Candidate acknowledgement of assessment (form to sign off practical assessment and describe assessment method used – NOTE: not included within any learner files sighted)
 - Workbook Written and Practical Assessment
 - Assessment book Written and practical assessment (this document mostly repeats the workbook; however, both are used as summative assessment)
 - Learner and trainer guides
 - Auditor guides
- Practical assessment does not make clear whether assessment is individual or group activity as it discusses assessment in a first aid team without defining how individual learners will be assessed against all Training Package requirements (Authenticity).
- Practical assessments routinely state "*for a scenario [or "for a series of scenarios:] designated by your trainer, and relevant to the workplace or community setting, demonstrate and explain to the trainer how to"* etc.; however, the actual scenarios are not recorded either in the master assessment or the completed student files. It is not clear how the organisation ensures consistency of assessment or, for that matter, how it has validated the assessment method, in the absence of these pre-determined scenarios.

HLTFA311A Apply first aid (explicit scope) (assessment materials are clustered with HLTCPR211A)

- Assessment materials comprise:
 - Workbook Written and Practical Assessment
 - Assessment book Written and practical assessment (this document mostly repeats the workbook; however, both are used as summative assessment)
 - Learner and trainer guides
 - Auditor guides
- Practical assessment does not make clear whether assessment is individual or group activity as it discusses assessment in a first aid team without defining how individual learners will be assessed against all Training Package requirements (Authenticity).
- Practical assessments routinely state "*for a scenario [or "for a series of scenarios:] designated by your trainer, and relevant to the workplace or community setting, demonstrate and explain*

to the trainer how to" etc.; however, the actual scenarios are not recorded either in the master assessment or the completed student files. It is not clear how the organisation ensures consistency of assessment or, for that matter, how it has validated the assessment method, in the absence of these pre-determined scenarios.

MSAPMOHS217A Gas test atmospheres (explicit scope)

- Assessment materials comprise:
 - Checklist (administration tool advising who needs to sign what)
 - Acknowledgement of assessment (used to record scenarios used in practical)
 - Activity book (used as part of summative)
 - Learner's Guide
 - Trainer's Guide
 - Test Paper
 - Audit mapping
 - Auditor's Handbook
- The practical assessment does not make clear what tasks or scenarios are to be observed. While the Acknowledgement of Assessment form is arguably to be used to record this information, a review of completed files identified that this is either not consistently completed, or only briefly lists the practical task e.g. "test atmosphere". The practical observation checklist includes statements "demonstrate and/or explain"; however, it is unclear from any of the assessment records reviewed, whether the learners actually demonstrated skills or simply explained i.e. regurgitated their knowledge without demonstrating their skills.

MSAPMPER300C Issue work permits (explicit scope)

- Acknowledgement of assessment (used to record scenarios used in practical)
- Activity book (used as part of summative)
- Learner's Guide
- Trainer's Guide
- Test Paper
- Audit mapping
- Auditor's Handbook
- The practical assessment does not make clear what tasks or scenarios are to be observed. While the Acknowledgement of Assessment form is arguably to be used to record this information, a review of completed files identified that this is either not consistently completed, or only briefly lists the practical task. The practical observation checklist includes statements "demonstrate and/or explain"; however, it is unclear from any of the assessment records reviewed, whether the learners actually demonstrated skills or simply explained i.e. regurgitated their knowledge without demonstrating their skills.

PUAFIR215 Prevent injury (explicit scope)

- Assessment materials comprise:
 - Acknowledgement of assessment
 - Activity book (forms part of summative)
 - Assessment (written and practical in one)
 - Learner Guide
 - Trainer Guide
 - Auditor mapping
 - Auditor handbook
- Assessment does not ensure that competency is demonstrated over time in a range of actual or simulated workplace environments (Critical aspects and Context of assessment requirements)
- Assessment does not gather evidence of the learner controlling the range of risks that "must" be included as detailed in the range statement.
- The practical assessment does not make clear what tasks or scenarios are to be observed. While the Acknowledgement of Assessment form is arguably to be used to record this information, a review of completed files identified that this is either not consistently completed, or only briefly lists the practical task.

PUAFIR022A Participate in a rescue operation (explicit scope)

- Assessment materials comprise:
 - Acknowledgement of assessment
 - Activity book (forms part of summative assessment)
 - Learner guide
 - Trainer guide
 - Test paper (both written and practical)
 - Audit mapping
 - Auditor handbook
- The practical assessment does not make clear what tasks or scenarios are to be observed. While the Acknowledgement of Assessment form is arguably to be used to record this information, a review of completed files identified that this is either not consistently completed, or only briefly lists the practical task.
- The practical observation checklist includes statements "*demonstrate and/or explain*"; however, it is unclear from any of the assessment records reviewed, whether the learners actually demonstrated skills or simply explained i.e. regurgitated their knowledge without demonstrating their skills.
- The assessment materials do not make clear either that pre-requisite units of competency apply to the learners' participation in this unit of competency, or articulate how the organisation ensures that these pre-requisites are met (pre-requisite is either *PUAEME001B Provide emergency care* OR *HLTA211A Provide basic emergency life support*).
- Assessment does not ensure demonstration over time and in a range of actual and/or simulated workplace environments (Critical aspects) or ensure that competency is assessed "*in an industry-approved simulated and/or workplace environment involving rescue scenarios*" (Context of assessment).
- It is unclear how the organisation has validated the assessment materials.

UETDRRF06B perform rescue from a live LV panel (explicit scope)

- Assessment materials comprise:
 - Acknowledgement of assessment
 - Activity book (forms part of summative assessment)
 - Learner guide
 - Trainer guide
 - Test paper
 - Audit mapping
 - Auditor's handbook
- The practical assessment does not include the actual scenario or context for the practical assessment. The acknowledgement of assessment form identified within completed assessments were either not completed or provided only a brief description of the scenario, such that it remained unclear what had been assessed. It was not clear how the assessment met the requirement of being conducted under a variety of workplace conditions. Assessment did not confirm competency in all Training Package requirements such as, though not limited to:
 - Placement of rescue equipment
 - Controlling hazards to rescuer, victim and others
 - Maintaining Safe Approach Distances (SAD's) appropriate to rescue from a live LV panel
 - Practical demonstration of rescuing a person
 - Removing victim to safe location / place of safety
- The practical assessment states that the assessor will determine the scenario. The instructions to the learner state variously "*determine and explain*" and "*demonstrate or explain*", but nowhere does it make clear whether the learner is required to demonstrate competency or simply explained how to perform the rescue.
- It is not clear how the assessment materials ensure that competency is demonstrated within the timeframes typically expected of the rescue procedure or the implementation (critical aspects).

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: Not compliant	Following rectification: Compliant
	<i>Reasons for finding of non-compliance:</i>		

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

- Provide a complete set of assessment materials for each of the units of competency listed below that meets the principles of assessment, the rules of evidence and all requirements of the units of competency.
- The assessment materials must include, or be accompanied by, guidance to assessors to enable them to make consistent judgements about competence and information to students about the assessment process.
 - *RIIERR307A Extricate casualties from underground incident* (sampled within **RII30709 Certificate III in Mine Emergency Response and Rescue**)
 - *RIIERR308A Extricate and transport people involved in incidents* (sampled within **RII30709 Certificate III in Mine Emergency Response and Rescue**)
 - *CPCCOHS1001A Work safely in the construction industry* (explicit scope)
 - *HLTCPR211A Perform CPR* (explicit scope)
 - *HLTFA311A Apply first aid* (explicit scope)
 - *MSAPMOHS217A Gas test atmospheres* (explicit scope)
 - *MSAPMPER300C Issue work permits* (explicit scope)
 - *PUAFIR215 Prevent injury* (explicit scope)
 - *PUAFIR022A Participate in a rescue operation* (explicit scope)
 - *UETDTRRF06B perform rescue from a live LV panel* (explicit scope)

Analysis of rectification evidence:

RIIERR307A Extricate casualties from underground incident (sampled within **RII30709 Certificate III in Mine Emergency Response and Rescue**)

RIIERR308A Extricate and transport people involved in incidents (sampled within **RII30709 Certificate III in Mine Emergency Response and Rescue**)

CPCCOHS1001A Work safely in the construction industry (explicit scope)

HLTCPR211A Perform CPR (explicit scope)

HLTFA311A Apply first aid (explicit scope)

MSAPMOHS217A Gas test atmospheres (explicit scope)

MSAPMPER300C Issue work permits (explicit scope)

PUAFIR215 Prevent injury (explicit scope)

PUAFIR022A Participate in a rescue operation (explicit scope)

UETDTRRF06B perform rescue from a live LV panel (explicit scope)

- The organisation provided a complete set of assessment materials, including guidance to assessors and students, for each of the above listed units of competency. The evidence provided satisfactorily demonstrates compliance with SNR 15.5 – Closed.

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

- The organisation did not demonstrate that it manages records to ensure their accuracy and integrity (SNR 17.4).
- A review of completed learner assessments identified that these records were routinely incomplete. For the majority of assessment records sighted where the record should have included a completed Acknowledgement of Assessment form, no such form was provided. In the small number of records sighted where this form was included, it routinely lacked sufficient information to accurately define the assessment that had taken place. This was particularly concerning as the organisation's practical assessment relies on this form to record the scenario related to the practical assessment, in the absence of which, it is entirely unclear how the organisation gathered sufficient, reliable evidence of learner competency.
- It was not clear how the organisation ensured the accuracy and completeness of these records.

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

- Provide evidence to demonstrate that it manages records to ensure their accuracy and integrity.

Analysis of rectification evidence:

- The organisation provided satisfactory evidence of the processes implemented to ensure the accuracy and integrity of its records – Closed.

Reasons for outstanding non-compliance:

- The organisation has provided evidence to ensure that records will be managed with integrity and accuracy.

No further evidence is required for SNR 17.4

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:

- As the organisation was identified non-compliant with the NVR Standards this indicates that the organisation's CEO has not ensured that the NVR registered training organisation continues to comply with the VET Quality Framework.

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

- This requirement will be addressed by the organisation submitting evidence of having rectified the other non-compliances identified within this report. No further rectification is required for this element.

Analysis of rectification evidence:

- The organisation provided evidence that satisfactorily demonstrates compliance – Closed.

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: 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: 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

- 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: Not audited		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: Not audited		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: Not audited		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: Not audited		Following rectification: n/a	