



## Audit report – VET Quality Framework

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

#### ORGANISATION DETAILS

Organisation's legal name	David D Charles
Trading name/s	Brisbane Business & Hospitality Training
RTO number	31983
CRICOS number	n/a

#### AUDIT TEAM

Lead auditor	Mark Shrubshall
Auditor/s	Debra Taylor
Technical adviser/s	n/a

#### AUDIT DETAILS

Application number/s	1061873	
Audit number/s	1006635	
Audit reason 1	Application - renewal	
Audit reason 2	n/a	
Audit reason 3	n/a	
Activity type	Site visit	
Address of site/s visited	Ground Floor, The Exchange Building, 106 City Road Beenleigh Qld 4207	
Date/s of audit	16/10/2014	
Organisation's contact for audit	David Charles david.charles@bbht.com.au	Chief Executive 0409890298
NVR standards audited	Selected Standards for Continuing Registration: SNR 15, 16, 17, 18, 20.2, 22.2, 22.3, 23.1, 24.1, 24.2 & 25	

#### BACKGROUND

David D Charles provides training and assessment for the Hospitality and Retail industry. The organisation also provides training and assessment in TAE40110 Certificate IV in Training and Assessment in Australia and offshore in the Philippines on behalf of Global Learning Manila. The organisational structure consists of Chief Executive Officer, Compliance officer, Admin assistant/manager, Senior trainer and Casual trainers

Significant Partnerships – Ram Training- Sally's Place



Core clients/ target groups consist of new entrants to the industry

Revenue sources targeted consist of fee for service, traineeships and user choice.

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

- 60

### AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
SIT30713	Certificate III in Hospitality	Face to face	51
SIR30212	Certificate III in Retail Operations	Face to face	6
SIT30813	Certificate III in Commercial Cookery	Face to face	3
SIR20212	Certificate II in Retail Services	Face to face	0
TAE40110	Certificate IV in Training and Assessment	Face to face	0

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

### INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
David Charles	Chief Executive Officer	SIT30713 Certificate III in Hospitality
Karen Egbars	Quality Compliance Officer	na
Tamika Boralin	Administration Manager	na
David Osborne	Senior Trainer	SIT30813 Certificate III in Commercial Cookery

### ORIGINAL AUDIT FINDING AT TIME OF AUDIT

#### Audit finding as at 16/10/2014: Significant non-compliance

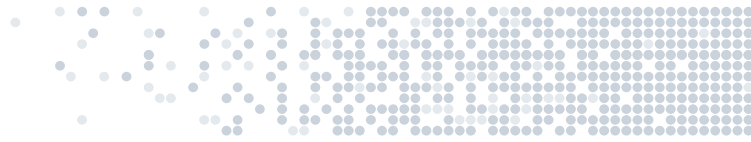
- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on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

### AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

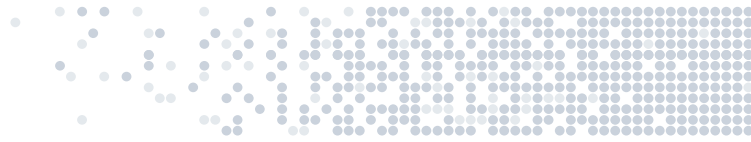
#### Audit finding following analysis of additional evidence provided on 01/12/2014: Compliant

### AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
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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	Not audited	n/a
SNR 22	Not compliant	Compliant
SNR 23/AQF	Not audited	n/a
SNR 24	Not compliant	Compliant
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:*

- SIT30813 Certificate III in Commercial Cookery

Evidence comprise :

- The organisation provided one strategy for classroom based delivery and assessment and some additional strategies adapted to meet specific industry needs.
- The organisation was unable to demonstrate how industry consultation had confirmed that the delivery allocated time frames were appropriate for new entrants to the industry and would be sufficient to cover all unit requirements in an off job training environment.

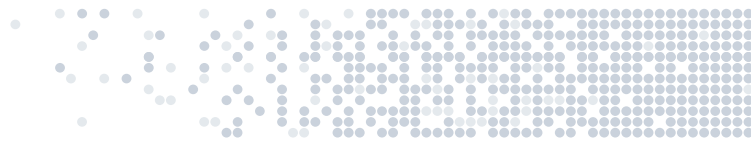
*In order to become compliant, the organisation is required to:*

- Demonstrate how industry consultation has confirmed that the delivery allocated time frames are appropriate for new entrants to the industry and would be sufficient to cover all unit requirements in an off job training environment.

*Analysis of rectification evidence:*

Evidence comprise:

- 1 Engaging industry template
- 2 TAS SIT30813 Certificate III in Commercial Cookery
- 3 Signed MOU between The Decks on Mary Head Chef to supply training in the workplace in conjunction with the trainer and assessor.
- The organisation demonstrated how industry consultation has confirmed that the delivery of training by the RTO will be supplemented by industry. Additionally the organisation confirmed that it will not be conducting off the job training for the SIT30813 Certificate III in Commercial Cookery.



**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:*

SIT30813 Certificate III in Commercial Cookery

Evidence comprise:

- 1 Equipment checklist
- 2 Agreement to use facilities

- The organisation did not demonstrate consistency between its strategy and the physical resources to be used to meet the requirements of the training package at the macro level

For example but not limited to the strategy for the above qualification identifies Bogart's Fine Coffee (Café) Ground Floor, Exchange Building, 106 City Road Beenleigh, Qld 4207 (which adjoins the RTO and is also owned by Mr Charles) and Bistro 98 98 Victoria Parade, Rockhampton QLD 4700 as places for practical training and assessment.

The organisation uses a checklist to assess the suitability of a commercial kitchen however; it did not identify the resources required for all the elective units identified in the strategy such as SITHASC201 Produce dishes using basic methods of Asian Cookery or SITHCCC205A Produce cook-chill and cook-freeze foods.

A review of Bogarts Fine Coffee (Café) kitchen at audit confirmed the kitchens inability to meet all the requirements of the above qualification and in particular, the above-mentioned units identified in the strategy.

**SIT30713 Certificate III in Hospitality**

*SITHFAB201 Provide responsible service of alcohol*

**SIT30813 Certificate III in Commercial Cookery**

*SITHCCC308 Produce cakes, pastries and breads*

*SITHCCC309 Work effectively as a cook*

**TAE40110 Certificate IV in Training and Assessment**

*TAEASS402B Assess competence*

*TAEDES402A Use training packages and accredited courses to meet client needs*

**SIR30212 Certificate III in Retail Operations**

*SIRXWHS302 Maintain store safety*

*SIRXINV001A Perform stock control procedures*

**SIR20212 Certificate II in Retail Services**

*SIRXICT001A Operate retail technology*

*SIRXCCS202 Interact with customers*

- Assessment materials did not meet training package/unit requirements as identified in SNR 15.5

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

- Demonstrate consistency between its strategy and the physical resources to be used to meet the requirements of the training package at the macro level in particular the identified units in the strategy.



- Demonstrate how it ensures it has the facilities and equipment are appropriate for its delivery and assessment activities
- Demonstrate how it ensures students have access to the appropriate facilities and equipment in particular for those not working in the industry
- The organisation is not required to submit rectification evidence in SNR 15.3 to address the dot point regarding assessment materials as it is covered in SNR 15.5. However, it is required to submit rectification evidence to address the non-compliances identified across the other Standards. Should the rectification evidence received be determined compliant, the organisation will be compliant with this dot point under SNR15.3.

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*Analysis of rectification evidence:*

Evidence comprise:

- 1 Amended TAS SIT30813 Certificate III in Commercial Cookery
- 2 Equipment check list
- 3 Engaging industry document

**SIT30813 Certificate III in Commercial Cookery**

- The organisation demonstrated consistency between its strategy and the physical resources to be used to meet the requirements of the training package at the macro level in particular the identified units in the strategy.
- The organisation demonstrated how it ensures it has the facilities and equipment are appropriate for its delivery and assessment activities.
- The organisation demonstrate how it ensures students have access to the appropriate facilities and equipment by only training/assessing in industry

**SIT30713 Certificate III in Hospitality**

*SITHFAB201 Provide responsible service of alcohol*

**SIT30813 Certificate III in Commercial Cookery**

*SITHCCC308 Produce cakes, pastries and breads*

*SITHCCC309 Work effectively as a cook*

**TAE40110 Certificate IV in Training and Assessment**

*TAEASS402B Assess competence*

*TAEDES402A Use training packages and accredited courses to meet client needs*

**SIR30212 Certificate III in Retail Operations**

*SIRXWHS302 Maintain store safety*

*SIRXINV001A Perform stock control procedures*

**SIR20212 Certificate II in Retail Services**

*SIRXICT001A Operate retail technology*

*SIRXCCS202 Interact with customers*

- The organisation submitted compliant rectification for the non-compliances identified in SNR15.5 for the above qualifications.

**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:*

**SIT30713 Certificate III in Hospitality**

*SITHFAB201 Provide responsible service of alcohol*

Assessment evidence comprise:

- 1 Question paper
- 2 Observation checklist

- The organisation did not demonstrate that the assessment tools for the above unit:
  - 15.5 (a) met all the requirements of the training package in particular the required skills, required knowledge.
  - 15.5 (b) is conducted in accordance with the principals of assessment and the rules of evidence

For example but not limited to the organisation did not demonstrate how it gathered sufficient evidence relating to :

- Problem solving skills to
  - Identify customers to whom sale or service must be refused
  - identify situations that pose a safety threat
  - and seek assistance from appropriate colleagues
- Critical thinking skills to assess intoxication levels of customers
- Ways of assessing customers affected by the consumption of illicit and other drugs

**SIT30813 Certificate III in Commercial Cookery**

*SITHCCC308 Produce cakes, pastries and breads*

Assessment evidence comprise:

- 1 Lesson plan
- 2 Observation demonstration report
- 3 Sample answers activities
- 4 Sample answers assignments
- 5 Supervisor report
- 6 Teachers guide
- 7 Unit marking guide
- 8 Sample answers written assessment
- 9 Resource and assesment mapping
- 10 Oral question report



- The organisation did not demonstrate that the assessment tools for the above unit:
  - 15.5 (a) met all the requirements of the training package in particular the critical aspects and the required knowledge.
  - 15.5 (b) is conducted in accordance with the principals of assessment and the rules of evidence

For example but not limited to the organisation did not demonstrate how it gathered sufficient evidence relating to :

- Filo or strudle
- Short and sweet paste
- Nutritional value of classical and contemporary cakes, pastries and breads
- Historical and cultural derivations of a variety of cakes, pastries and breads
- Cookery methods for cakes, pastries, breads and fillings (resting, rolling, stirring and aerating to achieve required consistency and texture)

#### **SITHCCC309 Work effectively as a cook**

Assessment evidence comprise:

- 1 Supervisor report
- 2 Lesson Plan
- 3 Observation/ Demonstration report
- 4 Power point
- 5 Sample answers assignments
- 6 Sample answers written assessments
- 7 Unit marking guide
- 8 Resource and assessment mapping document
- 9 Oral question report
- 10 Supervisor report
- 11 Log book

- The organisation did not demonstrate that the assessment tools for the above unit:
  - 15.5 (a) met all the requirements of the training package in particular the required skills and required knowledge.
  - 15.5 (b) is conducted in accordance with the principals of assessment and the rules of evidence

For example but not limited to the organisation did not demonstrate how it gathered sufficient evidence relating to :

- Evaluate quality of dishes and make adjustments to ensure a quality product
- Characteristics of different foods from all main food categories served in the organisation
- Features and functions of commercial kitchen equipment

#### **TAE40110 Certificate IV in Training and Assessment**

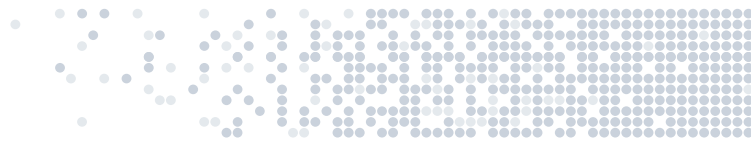
*TAEASS402B Assess competence*

Assessment evidence comprise:

- 1 Lesson Plan
- 2 Assessment book part 1
- 3 Assessment tasks including simulated assessment
- 4 Session delivery checklist

- The organisation did not demonstrate that the assessment tools for the above unit:
  - 15.5 (a) met all the requirements of the training package in particular the required skills and required knowledge.





- 15.5 (b) is conducted in accordance with the principals of assessment and the rules of evidence

For example but not limited to the organisation did not demonstrate how it gathered sufficient evidence relating to :

- Observation skills to recognise candidates prior learning
  - Potential barriers and processes relating to assesment tools and methods
  - Rules of evidence and how they are applied
- The assessment checklist for the practical observation did not provide guidance to assessors of performance levels required to ensure consistency and reliability of assessment judgement.

#### *TAEDES402A Use training packages and accredited courses to meet client needs*

Assessment evidence comprise:

- 1 Lesson Plan
  - 2 Assessment book part 3 Q&A
  - 3 Assessment tasks including simulated assessment
- The organisation did not demonstrate that the assessment tools for the above unit:
    - 15.5 (a) met all the requirements of the training package in particular the required skills and required knowledge.
    - 15.5 (b) is conducted in accordance with the principals of assessment and the rules of evidence

For example but not limited to the organisation did not demonstrate how it gathered sufficient evidence relating to :

- Communication and interpersonal skills to collaborate with others in using training products
- Methodology relating to analysing and using competency standards for a range of applications and purposes to meet the needs of a diverse range of VET clients
- Structure of teraining packages and the role and purpose of each endorsed component.

#### **SIR30212 Certificate III in Retail Operations**

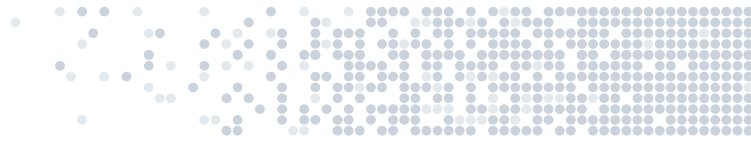
##### *SIRXWHS302 Maintain store safety*

Assessment evidence comprise:

- 1 Activities
  - 2 Written questions
  - 3 Assignments
  - 4 Oral Questioning
  - 5 Observation/demonstration report
  - 6 Supervisors report
- The organisation did not demonstrate that the assessment tools for the above unit:
    - 15.5 (a) met all the requirements of the training package in particular the required skills, required knowledge, critical aspects of evidence and performance criteria.
    - 15.5 (b) is conducted in accordance with the principals of assessment and the rules of evidence

For example but not limited to the organisation did not demonstrate how it gathered sufficient evidence relating to :

- Interprets and monitors the implimentation of manufacturer instructions with regard to handling stock and using relevant equipment
- Storage and disposal of unsafe or hazardous materials
- Motivate and lead a team



- Sickness and accident procedures
- Location of nearest firstaid or assistant or facility
- The context of assessment did not ensure access to relevant documentation for incident reporting.

#### *SIRXINV001A Perform stock control procedures*

Assessment evidence comprise:

- 1 Assignments
  - 2 Written questions
  - 3 Activities
  - 4 Oral Questioning
  - 5 Supervisors report
- The organisation did not demonstrate that the assessment tools for the above unit:
    - 15.5 (a) met all the requirements of the training package in particular the required knowledge, critical aspects of evidence and performance criteria.
    - 15.5 (b) is conducted in accordance with the principals of assessment and the rules of evidence

For example but not limited to the organisation did not demonstrate how it gathered sufficient evidence relating to :

- Store labelling policy
- Equipment used
- Dispatch documentation
- Consistently applies safe working practices in the manual handling and moving of stock according to WHS legislation and store policy.

#### **SIR20212 Certificate II in Retail Services**

##### *SIRXICT001A Operate retail technology*

Assessment evidence comprise:

- 1 Written assessment
  - 2 Observation report
  - 3 Supervisor report
  - 4 Activities
  - 5 Oral questions
- The organisation did not demonstrate that the assessment tools for the above unit:
    - 15.5 (a) met all the requirements of the training package in particular the required skills, critical aspects of evidence and performance criteria.
    - 15.5 (b) is conducted in accordance with the principals of assessment and the rules of evidence

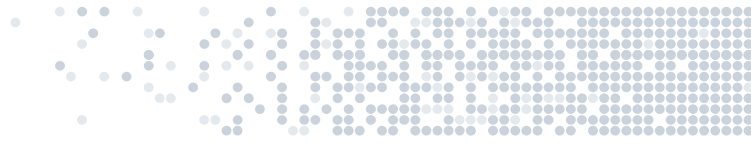
For example but not limited to the organisation did not demonstrate how it gathered sufficient evidence relating to :

- Planning and organising skills to complete tasks in set time frames
- Consistently applies safe working practices in the operation and maintenance of store retail equipment
- Perform point-of-sale transactions
- Follow common fault-finding procedures

##### *SIRXCCS202 Interact with customers*

Assessment evidence comprise:

- 1 Written assessment
- 2 Activities
- 3 Assignemnt
- 4 Oral question
- 5 Observation



- 6 Supervisor report
- The organisation did not demonstrate that the assessment tools for the above unit:
  - 15.5 (a) met all the requirements of the training package in particular the required knowledge, required skills, critical aspects of evidence, performance criteria.
  - 15.5 (b) is conducted in accordance with the principals of assessment and the rules of evidence.

For example but not limited to the organisation did not demonstrate how it gathered sufficient evidence relating to :

- Use effective questioning, active listening and observation skills to identify special customer requirements
- Store policy and procedures in particular relating to allocated duties and responsibilities
- A range of customers with different requirements

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

**SIT30713 Certificate III in Hospitality**

*SITHFAB201 Provide responsible service of alcohol*

**SIT30813 Certificate III in Commercial Cookery**

*SITHCCC308 Produce cakes, pastries and breads*

*SITHCCC309 Work effectively as a cook*

**TAE40110 Certificate IV in Training and Assessment**

*TAEASS402B Assess competence*

*TAEDES402A Use training packages and accredited courses to meet client needs*

**SIR30212 Certificate III in Retail Operations**

*SIRXWHS302 Maintain store safety*

*SIRXINV001A Perform stock control procedures*

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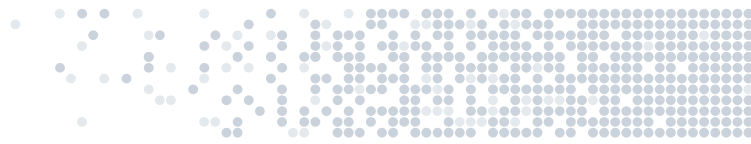
- The organisation is required to provide a complete set of assessment materials for the above units that meet the principles of assessment, the rules of evidence and all the requirements of the unit of competency.
- The assessment materials must include, or be accompanied by, guidance to assessors to enable them to make consistent judgements about competence and information to students about the assessment process.

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*Analysis of rectification evidence:*

Evidence comprise:

- 1 SITHFAB201RSA Assessor guide
- 2 SITHCCC308 Mapping
- 3 SITHCCC308 Master assessment
- 4 SITHCCC309 Mapping
- 5 SITHCCC309 Master assessment
- 6 SITHCCC309 Observation/ student record book



- 7 SIRXCCS202 Mapping
- 8 SIRXCCS202 Trainers Master assessment
- 9 SIRXICT001A Mapping
- 10 SIRXICT001A Master Assessment
- 11 SIRXINV001A Mapping
- 12 SIRXINV001A Master Assessment
- 13 SIRXWHS302 Mapping
- 14 SIRXWHS302 Master assessment
- 15 TAE402B RPI Assessor tool kit
- 16 Validation
- 17 Matrix assess competence
- 18 TAEDES402A Matrix
- 19 TAE40110 RPL Assessor kit
- 20 TAE40110 RPL Candidates kit
- 21 TAE40110 Session plan day
- 22 Unit details TAEASS402B
- 23 Unit details TAEDES402A
- 24 Enrolment form
- 25 Staff/ Supervisor form

**SIT30713 Certificate III in Hospitality**

*SITHFAB201 Provide responsible service of alcohol*

**SIT30813 Certificate III in Commercial Cookery**

*SITHCCC308 Produce cakes, pastries and breads*

*SITHCCC309 Work effectively as a cook*

**TAE40110 Certificate IV in Training and Assessment**

*TAEASS402B Assess competence*

*TAEDES402A Use training packages and accredited courses to meet client needs*

**SIR30212 Certificate III in Retail Operations**

*SIRXWHS302 Maintain store safety*

*SIRXINV001A Perform stock control procedures*

**SIR20212 Certificate II in Retail Services**

*SIRXICT001A Operate retail technology*

*SIRXCCS202 Interact with customers*

- The organisation provided a complete set of assessment materials for the above units that meet the principles of assessment, the rules of evidence and all the requirements of the unit of competency and were accompanied by, guidance to assessors to enable them to make consistent judgements about competence and information to students about the assessment process.

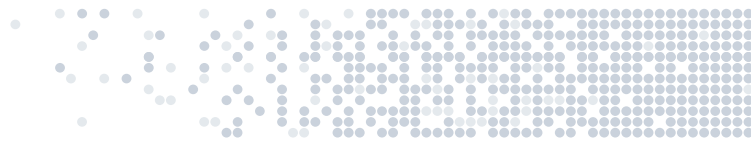
**SNR 16 The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:**

**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**



	<b>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</b>	<b>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</b>	<b>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</b>	<b>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</b>	<b>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> Not compliant	<b>Following rectification:</b> Compliant



*Reasons for finding of non-compliance:*

Evidence comprise:

- 1 MOU Agreement
- The organisation did not demonstrate that it monitors training and /or assessment services provided on its behalf.
- The organisation did not demonstrate that it ensures that the training and or assessment services provided on its behalf comply with all aspects of the VET Quality Framework.

For example but not limited to the organisations MOU template did not clearly inform as to the monitoring arrangements between the organisations at the micro level.

The organisation stated that they had conducted a monitoring visit to Sally’s Place but had not recorded what had taken place. The organisation was unable to provide any supporting evidence (such as a policy or procedure) to confirm intent.

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

- Demonstrate that it monitors training and /or assessment services provided on its behalf.
- Demonstrate that it ensures that the training and or assessment services provided on its behalf comply with all aspects of the VET Quality Framework.

*Analysis of rectification evidence:*

- Evidence comprise
  - 1 Partnership policy and procedure
  - 2 Validation of submission
  - 3 Procedures for partnership
  - 4 Partner change of personal details form
  - 5 MOA Partnerships
  - 6 MOA Partnership file check list
  - 7 Competency completion form

The organisation

- Demonstrated that it has processes in place to monitor training and /or assessment services provided on its behalf.
- Demonstrated that it ensures that the training and or assessment services provided on its behalf comply with all aspects of the VET Quality Framework.

<b>17.4</b>	<b>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</b>	<b>The NVR registered training organisation has governance arrangements in place as follows:</b>	
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<b>18.1</b>	<b>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>	
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**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- The NVR registered training organisations Chief Executive has not ensured that the NVR registered training organisation has complied with the VET Quality framework.

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

- The organisation is not required to submit rectification evidence to address this standard; however, it is required to submit rectification evidence to address the non-compliances identified across the other Standards. Should the rectification evidence received be determined compliant, the organisation will be compliant with this standard.

*Analysis of rectification evidence:*

- The organisation submitted rectification evidence to address the non-compliances identified across the other Standards. Resulting in SNR18.1 being compliant.

**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.**

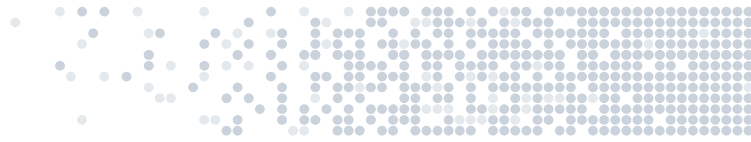
**Original finding:** Not audited

**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:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- The organisation did not demonstrate how it provided the following information to each client
  - Options available to students who are deemed not yet competent of training and assessment.

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

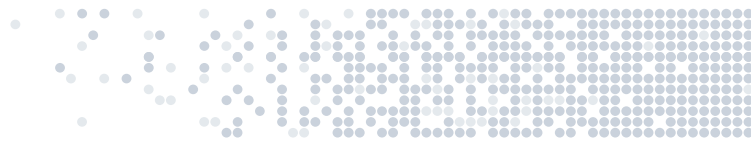
- Demonstrate how it provides the following information to each client
  - Options available to students who are deemed not yet competent of training and assessment

*Analysis of rectification evidence:*

Evidence comprise:

- 1 Student handbook
- The organisation demonstrated how it provides the following information to each client
  - Options available to students who are deemed not yet competent of training and assessment





**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:** Not audited

**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 compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- The organisation did not demonstrate that the organisation uses the NRT logo in accordance with its conditions of use.
- For example the organisation used the NRT logo:
  - on its website and in conjunction with non-accredited courses
  - on its enrolment form

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

- Demonstrate that the organisation uses the NRT logo in accordance with its conditions of use.

*Analysis of rectification evidence:*

Evidence comprise:

- 1 Website
- The organisation has removed the NRT logo from its website

**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