



AUDIT REPORT

VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Frontier Training and Technology Pty Ltd
Trading name/s	Same as legal name
RTO number	21244
CRICOS number	N/A

AUDIT TEAM

Lead auditor	Monica McFadyen
Auditors	N/A
Technical adviser/s	N/A

AUDIT DETAILS

Application number/s	1027210	
Audit number/s	1002100	
Audit reason 1	Application – Renewal	
Audit reason 2	N/A	
Audit reason 3	N/A	
Activity type	Site visit	
Address of site/s visited	Unit 9, 7 Development Boulevard, Mill Park VIC 3082	
Date/s of audit	25 March 2013	
Organisation's contact for audit	Dianne Nackovski	CEO
	dianne@frontier.edu.au	0394 045 599
NVR Standards audited	Selected Essential Standards for Continuing Registration: SNR 15, 16, 17, 18, 20, 21, 22, 23, 24 and 25.	

BACKGROUND

Frontier Training and Technology Pty Ltd (FTT) commenced trading as a Registered Training Organisation on 18 October 2002.

FTT deliver training and assessment in the workplace, during work time. Delivery is based on practical, hands-on training and assessment. Classes are delivered in very small groups of two to four people or one-to-one. Courses are offered at a basic entry level or an up-skilling level for existing workers.

The organisation consists of the following staff members:

- Dianne Nackovski (Director, CEO, Finance and Administration Manager, Trainer and Assessor)
- Sonja Trpkovski (Director, Operations and Training Manager, Trainer and Assessor)
- Michelle Ozcan (Documentation and Compliance Manager, Trainer and Assessor)

FTT's target market is employers who need to up-skill their existing staff in order to make them more productive/efficient and transition staff who are being promoted into new roles. It includes staff that may be made redundant to provide them with current skills to ensure they are employable elsewhere.

In 2013, Frontier Training and Technology were successful in being awarded a Victorian Training Guarantee Contract to deliver State Government subsidised training. Because of this the target market group will expand to include individuals who may be unemployed or wish to upgrade their skills and are looking to further their education. To meet the needs of this target group FTT intend to provide courses around Victoria, particularly regional Victoria where there are less opportunities for unemployed Victorians.

The RTO has two premises in Victoria one at Mill Park, Victoria that is their head office for conducting business only. The other site is based on Level 3, IBM Centre, 60 City Road Southbank Victoria. These facilities provide access to a conference room if needed but is mostly only used as an information centre.

Previously FTT expanded their operations into Queensland, South Australia, Northern Territory and Tasmania and they hope to boost enrolment numbers to higher levels. FTT have been awarded a Skills for All training contract in South Australia and User Choice contracts in Queensland and Tasmania. The RTO does not have permanent training sites in these states as all training is currently delivered in the workplace.

In August 2013 FTT is intending to apply for NT government funding to deliver the PSP42012 Certificate IV in School Support Services. FTT will be investigating suitable venues for conducting the training and assessment.

As at 28 February 2012, Frontier Training and Technology have only ever operated on a fee-for-services basis. In 2013 this will include funded training.

Frontier Training and Technology does not partner with any other organisation in the delivery of nationally recognised qualifications.

Total number of current enrolments in RTO as at audit date:
84

AUDIT SAMPLE

Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment	Current enrolments
BSB40507	Certificate IV in Business Administration	<input type="checkbox"/> Apprenticeship	43

		<input type="checkbox"/> Distance <input checked="" type="checkbox"/> Face to face <input type="checkbox"/> Online <input checked="" type="checkbox"/> Mixed <input checked="" type="checkbox"/> Workplace <input checked="" type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	
PSP42004	Certificate IV in School Support Services	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input checked="" type="checkbox"/> Face to face <input type="checkbox"/> Online <input checked="" type="checkbox"/> Mixed <input checked="" type="checkbox"/> Workplace <input checked="" type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	2

INTERVIEWEES - Staff

Name	Position	Qualification/course
Dianne Nackovski	CEO/Director/Compliance/ Trainer/Assessor	All
Sonja Trpkovski	Operations and Training Manager/ Trainer/Assessor	All
Michelle Ozcan	Documentation Manager/ Trainer/Assessor	All

AUDIT FINDING

ORIGINAL AUDIT FINDING

Audit finding as at Monday, 25 March 2013:

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

Level of non-compliance: significant

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

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

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following additional evidence received Friday, 10 May 2013

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

AUDIT FINDING BY REQUIREMENT

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

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

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

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

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

Select one:

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

Reasons for finding of non-compliance:

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

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

Reason for finding of non-compliance:

- N/A

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

Select one:

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

Reasons for finding of non-compliance:

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

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

Reason for finding of non-compliance:

- N/A

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

Select one:

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

Reasons for finding of non-compliance:

- BSBADM405B Organise meetings and BSBCMM401A Make a presentation:
The resources and assessment material did not meet the training package requirements as they did not address all the skills and knowledge requirements of the unit.
- BSBITU302A Create electronic presentations
The resources and assessment material did not meet the training package requirements

as they did not address all the skills and knowledge requirements of the unit.

In order to become compliant the organisation is required to:

Provide revised training and assessment resources that ensure the participants achieve competency in the following skills and knowledge requirements.

BSBADM405B Organise meetings

- Culturally appropriate communication techniques.

BSBCMM401A Make a presentation

- Culturally appropriate communication skills to relate to people from diverse backgrounds and people with diverse abilities.
- Data collection methods, industry related products and services, and key legislation such as anti-discrimination and ethical principles.

BSBITU302A Create electronic presentation

- Culturally appropriate communication skills to relate to people from diverse backgrounds and people with diverse abilities.
- Key legislation such as anti-discrimination and ethical principles, codes of practice and privacy laws.

Analysis of rectification evidence

- BSBADM405B Organise meetings learning guide and assessment task, Version 4, April 2013. Modifications address required skills and knowledge.
- BSBCMM401A Make a presentation learning guide and assessment tasks, Version 3.0, April 2013. Modifications address required skills and knowledge.
- BSBITU302A Create electronic presentation learning guide and assessment tasks, Version 10.3, April 2013. Modifications address required skills and knowledge.

Audit finding following review of rectification evidence

<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> • N/A

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
--------------------------	--

<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> 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.

Select one:

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

Reasons for finding of non-compliance:

- Assessments did not assess all of the required skills and knowledge for the following units:
 - BSBADM405B Organise meetings
 - BSBCMM401A Make a presentation
 - BSBITU302A Create electronic presentation
 The assessment tools were not supported by guidance for assessors to gather sufficient evidence of the skills and knowledge requirements.
- Assessment did not assess against the critical aspects for assessment for the following unit:
 - BSBADM405B Organise meetings
 The assessment tasks did not capture sufficient evidence of competency demonstrated

consistently over a period of time.

In order to become compliant the organisation is required to:

Provide revised assessment instruments that ensure the competency of the learner is assessed in accordance with all the skills and knowledge requirements for the following units:

- BSBADM405B Organise meetings
- BSBCMM401A Make a presentation
- BSBITU302A Create electronic presentation

Provide revised assessment instruments for the unit BSBADM405B Organise meetings, that ensure assessment is conducted in accordance with the critical aspects for assessment.

Analysis of rectification evidence

- BSBADM405B Organise meetings learning guide and assessment tasks, Version 4, April 2013. Modifications address required skills and knowledge.
- BSBCMM401A Make a presentation learning guide and assessment tasks, Version 3.0, April 2013. Modifications address required skills and knowledge.
- BSBITU302A Create electronic presentation learning guide and assessment tasks, Version 10.3, April 2013. Modifications address required skills and knowledge.
- BSBADM405B Organise meetings learning guide and assessment tasks, Version 4, April 2013. Modifications address all critical aspects for assessment.

Audit finding following review of rectification evidence

<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> • N/A

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

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> • N/A
	In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

- | | |
|--------------------------|---|
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |
| | <ul style="list-style-type: none"> • N/A |

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

Select one:

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> | Compliance with the requirements of this element was not examined |
| <input checked="" type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element. |
| | Reasons for finding of non-compliance: |
| | <ul style="list-style-type: none"> • N/A |
| | In order to become compliant the organisation is required to: |
| | <ul style="list-style-type: none"> • N/A |

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

- | | |
|--------------------------|---|
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |
| | <ul style="list-style-type: none"> • N/A |

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> N/A

Analysis of rectification evidence

<ul style="list-style-type: none"> N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> 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.

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> N/A

Analysis of rectification evidence

<ul style="list-style-type: none"> N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
--------------------------	--

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

Reason for finding of non-compliance:

- N/A

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

Select one:

Compliance with the requirements of this element was **not examined**

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

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

Reasons for finding of non-compliance:

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

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

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

Reason for finding of non-compliance:

- N/A

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

Select one:

Compliance with the requirements of this element was **not examined**

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

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

Reasons for finding of non-compliance:

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

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

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

Reason for finding of non-compliance:

- N/A

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

Select one:

Compliance with the requirements of this element was **not examined**

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

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

Reasons for finding of non-compliance:

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

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

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

Reason for finding of non-compliance:

- N/A

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

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

Select one:

Compliance with the requirements of this element was **not examined**

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

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

Reasons for finding of non-compliance:

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

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

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

Reason for finding of non-compliance:

- N/A

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

Select one:

Compliance with the requirements of this element was **not examined**

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

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

Reasons for finding of non-compliance:

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

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

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

Reason for finding of non-compliance:

- N/A

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

Select one:

Compliance with the requirements of this element was **not examined**

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

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

Reasons for finding of non-compliance:

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

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

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

Reason for finding of non-compliance:

- N/A

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

Select one:

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

Reasons for finding of non-compliance:

The RTO clients are school based support workers that demonstrate their competency by providing evidence of actual tasks completed relating to their job. In most instances the practical component evidence is not retained due to confidentiality requirements. However, records of completed student assessment items that are not the property of the employer have not been retained. These include the assessment items in the student workbooks that capture their general knowledge of a topic.

In order to become compliant the organisation is required to:

- Provide evidence that demonstrate how the RTO will manage the retention of student assessment items in accordance with ASQA's General direction: Retention requirements for completed student assessment items (version 3 - 20 February 2013).

Analysis of rectification evidence

- Records Management Policy and Procedure, Section 2.5.2 Retention of Assessments, April 2013 demonstrates how the RTO will manage the retention of student assessment items in accordance with ASQAs General Direction: Retention requirements for completed student assessment items (version 3 - 20 February 2013).

Audit finding following review of rectification evidence

- | | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |
| | <ul style="list-style-type: none"> • N/A |

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

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input checked="" type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
Reasons for finding of non-compliance:	
<ul style="list-style-type: none"> As compliance was not demonstrated with SNR 15.3, 15.5, 17.4 and 20.1 the CEO has not ensured that the RTO is complying with the VET Quality Framework across all its operations and scope of registration. 	
In order to become compliant the organisation is required to:	
<ul style="list-style-type: none"> Provide evidence that addresses the non-compliance associated with SNR 15.3, 15.5, 17.4 and 20.1. 	

Analysis of rectification evidence

- The CEO has ensured the RTO is complying with the VET Quality Framework across all of its operations and scope of registration.

Audit finding following review of rectification evidence

<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
Reason for finding of non-compliance:	
<ul style="list-style-type: none"> N/A 	

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

Select one:

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

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> • 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.

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> N/A

Analysis of rectification evidence

<ul style="list-style-type: none"> N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> 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.

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input checked="" type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
Reasons for finding of non-compliance:	
<ul style="list-style-type: none"> Not all of the relevant legislative requirements from the training package were included in the training and assessment resources. 	
In order to become compliant the organisation is required to:	
<ul style="list-style-type: none"> Provide evidence that will ensure that trainers and assessors provide training and assessment on the legislative knowledge that is required to work in the industry. 	

Analysis of rectification evidence

- BSBADM405B Organise meetings learning guide and assessment tasks, Version 4, April 2013 - legislative considerations have been incorporated into the resources and assessment tools.
- BSBCMM401A Make a presentation learning guide and assessment tasks, Version 3.0, April 2013 - legislative considerations have been incorporated into the resources and assessment tools.
- BSBITU302A Create electronic presentation learning guide and assessment tasks, Version 10.3, April 2013 - legislative considerations have been incorporated into the resources and assessment tools.

Audit finding following review of rectification evidence

<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
Reason for finding of non-compliance:	
<ul style="list-style-type: none"> 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.

Select one:

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

<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> • N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> • N/A

Analysis of rectification evidence

	<ul style="list-style-type: none"> • N/A
--	---

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> • N/A

SNR 21: Insurance

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> N/A

Analysis of rectification evidence

<ul style="list-style-type: none"> N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> 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.

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> N/A

Analysis of rectification evidence

<ul style="list-style-type: none"> N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> N/A

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

- the total amount of all fees including course fees, administration fees, materials fees and any other charges;
- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
- 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;
- 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
- the organisation's refund policy.

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
--------------------------	--

<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> 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 [Not available]~~

(c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500

(d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students

~~(e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator. [Option not available]~~

Fee protection option/s nominated by organisation:

<input type="checkbox"/> Not applicable	<input type="checkbox"/> Option 1	Option 2	<input checked="" type="checkbox"/> Option 3	<input type="checkbox"/> Option 4	Option 5
---	-----------------------------------	---------------------	--	-----------------------------------	---------------------

Select one:

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

<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> • N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> • N/A

Analysis of rectification evidence

	<ul style="list-style-type: none"> • N/A
--	---

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> • 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.

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
Reasons for finding of non-compliance:	
<ul style="list-style-type: none"> • N/A 	
In order to become compliant the organisation is required to:	
<ul style="list-style-type: none"> • N/A 	

Analysis of rectification evidence

<ul style="list-style-type: none"> • N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
Reason for finding of non-compliance:	
<ul style="list-style-type: none"> • N/A 	

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

Select one:

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

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> • 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.

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> • N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> • N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> • N/A

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

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> N/A

Analysis of rectification evidence

<ul style="list-style-type: none"> N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> N/A

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

Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

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

Reason for finding of non-compliance:

- N/A

SNR 24: Accuracy and integrity of marketing

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

Select one:

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

Reasons for finding of non-compliance:

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

- | | |
|--------------------------|---|
| <input type="checkbox"/> | The organisation has demonstrated compliance with the requirements of this element. |
| <input type="checkbox"/> | The organisation has not demonstrated compliance with the requirements of this element |
| | Reason for finding of non-compliance: |
| | <ul style="list-style-type: none"> • N/A |

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

Select one:

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

Reasons for finding of non-compliance:

- N/A

In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

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

Reason for finding of non-compliance:

- N/A

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

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> N/A

Analysis of rectification evidence

<ul style="list-style-type: none"> N/A

Audit finding following review of rectification evidence

<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element
	Reason for finding of non-compliance:
	<ul style="list-style-type: none"> 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.

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> N/A
	In order to become compliant the organisation is required to:

- N/A

Analysis of rectification evidence

- N/A

Audit finding following review of rectification evidence

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

Reason for finding of non-compliance:

- N/A