



AUDIT REPORT

VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Aegis Training Services Pty Ltd
Trading name/s	Aegis Training Services Pty Ltd
RTO number	30873
CRICOS number	N/A

AUDIT TEAM

Lead auditor	Jen Adlington
Auditors	N/A
Technical adviser/s	N/A

AUDIT DETAILS

Application number/s	1032973	
Audit number/s	1002995	
Audit reason 1	Application – RenewalSpecify other	
Audit reason 2	N/ASpecify other	
Audit reason 3	N/ASpecify other	
Activity type	Site visit	
Address of site/s visited	3375 Pacific Highway, Slacks Creek, Qld, 4127	
Date/s of audit	08/05/2013	
Organisation's contact for audit	John Bougoure	Director
	John@learner.com.au	07 3290 3131
NVR Standards audited	Selected Essential Standards for Continuing Registration: SNR15,16,17,18,20, 22.2 & 23.1	

BACKGROUND

John Bougoure is the sole director of Aegis Training Pty Ltd in Slacks Creek, Brisbane.. The training organisation focusses on two areas of learning; training and assessment and transport and logistics. The core clients for TAA40104 Certificate IV in Training and Assessment are primarily people seeking to become driving instructors (transport and mining industries).

Core clients for TLI41207 Certificate IV in Transport & Logistics Road Transport (Car Driving Instruction) are primarily employees of driving schools. A small percentage of participants are members of the general public seeking to become driving instructors.

Delivery is face to face for both qualifications with TAA40104 Certificate IV in Training and Assessment is delivered over 5 days with assessments completed subsequent to the training. A further week of face to face training allows participants to complete TLI41207 Certificate IV in Transport & Logistics Road Transport (Car Driving Instruction).

There are currently no partnerships and all funding is by direct enrolment – fee for service charges.

Current enrolments are: 5 students currently enrolled in Certificate IV in TAA, 6 students in Certificate IV in Transport & Logistics Road Transport (Car Driving Instruction) and 0 enrolments in the Certificate III in Driving Instruction.

Aegis Training Services Pty Ltd is registered to deliver TLI31210 Certificate III in Driving Operations including unit TLILIC2014B - Licence to drive light rigid vehicle and was included in the scope of this audit. This unit of competency requires the use of mandated assessment issued by the Department of Transport and Main Roads (TMR;) however, the assessment has not been fully developed and released by TMR; therefore, this unit was replaced by another unit from the same qualification for the purpose of this audit.

Total number of current enrolments in RTO as at audit date:
11

AUDIT SAMPLE

Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment	Current enrolments
TAE40110	Certificate IV in Training and Assessment	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance	5
TLI41210	Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)	<input checked="" type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed	6
TLI31210	Certificate III in Driving Operations	<input checked="" type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	0

INTERVIEWEES - Staff

Name	Position	Qualification/course
John Bougoure	Director	TAE40110 TLI41210 TLI31210

Andrew Gwynne	Trainer/Assessor	TAE40110 TLI41210
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AUDIT FINDING

ORIGINAL AUDIT FINDING

Audit finding as at Wednesday, 8 May 2013:

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

Level of non-compliance: minor

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 [Click here to enter a date.](#)

Choose an item.

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	Choose an item.
SNR 16	Compliant	Not audited
SNR 17	Compliant	Not audited
SNR 18	Not-compliant	Choose an item.
SNR 19	Not audited	Not audited
SNR 20	Compliant	Not audited
SNR 21	Not audited	Not audited
SNR 22	Not-compliant	Choose an item.
SNR 23 / AQF	Not-compliant	Choose an item.
SNR 24	Not audited	Not audited
SNR 25	Not audited	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:

- 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

15.4 Training and assessment is delivered by trainers and assessors who:

- (a) have the necessary training and assessment competencies as determined by the National Quality 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.

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

- 15.5 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:

TAE40110 Certificate IV in Training and Assessment
TAEASS402B Assess competence
Assessment tools provided by the organisation for the above unit did not fully address the requirements of the TAE10 Training and Education Training Package and does not address all the required skills and critical aspects for assessment.

In particular the practical assessment tasks were not supported by guidance of the performance level required to ensure sufficiency and consistency in the judgments being made by its assessor/s and has also resulted in insufficient evidence provided to demonstrate that any of the critical aspects of assessment have been addressed.

Furthermore evidence provided did not demonstrate that assessment materials address all the required skills including;

Observation skills to:

- recognise candidate's prior learning;
- determine candidate's performance;
- identify when candidate may need assistance during the assessment processes.

Communication and interpersonal skills to:

- explain the assessment, including RPL process;
- give clear and precise instructions;
- ask effective questions;
- provide clarification;
- discuss process with other relevant people;
- give appropriate feedback;
- discuss assessment outcome;
- use language appropriate to candidate and assessment environment;
- establish a working relationship with candidate.

TLI41210 Certificate IV in Transport and Logistics (Road Transport - Car Driving Instruction)
TLIC3036A Apply safe car driving behaviours

Assessment records examined demonstrated that students have been determined to be competent without all appropriate evidence having been gathered or authentication of the assessment established.

The organisation did not provide sufficient evidence to demonstrate that its assessment tools/tasks provide guidance for assessors about assessment requirements for students.

TLI31210 Certificate III in Driving Instruction

TLIH2001A Interpret road maps and navigate pre-determined routes

Assessment tools provided by the organisation for the above unit did not fully address the requirements of the TLI10 Transport and Logistics Training Package and does not meet all the required skills, critical aspects for assessment and methods of assessment.

In particular the oral questions and practical tasks were not supported by guidance of the performance level required to ensure sufficiency and consistency in the judgments being made by its assessor/s.

Furthermore evidence provided did not demonstrate that assessment materials address all the required skills including;

- where applicable work collaboratively with others (such as fleet managers, sales team etc);
- when interpreting road maps, using GPS devices and navigating pre-determined routes;
- adapt appropriately to cultural differences in the workplace, including modes of behaviour and interactions with others;
- modify activities depending on differing operational contingencies, risk situations and environments;
- work systematically with required attention to detail without injury to self or others, or damage to goods or equipment;
- operate and adapt to differences in equipment in accordance with standard operating procedures;

Gaps identified in the critical aspects of assessment include demonstrating the ability to navigate a pre-determined route.

TLIC1051A Operate a commercial vehicle

Assessment tools provided by the organisation for the above unit did not fully address the requirements of the TLI10 Transport and Logistics Training Package and does not meet all the required skills, critical aspects for assessment, range statement and methods of assessment.

In particular the oral questions and practical tasks were not supported by guidance of the performance level required to ensure sufficiency and consistency in the judgments being made by its assessor/s.

Additionally, there were references made throughout assessment task 1 instructions where demonstrated evidence is required; however, the supporting documents were not available at the time of audit. These include:

- defect report;
- workplace checklist/or supplied by your assessor;
- no method of recording answers to 'demonstrate to your assessor the use of associated equipment on the vehicle to show that this equipment is operating correctly';
- no checklist evident to 'make sure all components are checked and recorded on your checklist';
- complete workplace documentation, if required. - How is 'not required' determined?

Furthermore evidence provided did not demonstrate that assessment materials address all the required knowledge and skills including;

Knowledge:

- principles of stress management when driving a vehicle;
- fatigue management strategies including on-road techniques;
- lifestyles which promote the effective long-term management of fatigue.

Skills:

- operate electronic communication equipment to required protocol;

work collaboratively with others when driving a commercial vehicle;
adapt appropriately to cultural differences in the workplace, including modes of behaviour and interactions with others;
work systematically with required attention to detail without injury to self or others, or damage to goods or equipment;
operate and adapt to differences in equipment in accordance with standard operating procedures;
monitor performance of vehicle and take appropriate action where required;
check and replenish fluids and carry out lubrication processes in the course of work activities.

Gaps identified in the critical aspects of assessment include
applying the underpinning knowledge and skills
demonstrating operation of a commercial vehicle and its associated equipment
demonstrating an understanding of possible associated equipment for commercial vehicles
applying relevant legislation and workplace procedures

The organisation did not provide evidence to demonstrate that all of its assessment tools/tasks provide clear and accurate information/instructions about assessment requirements for assessors and students.

In order to become compliant the organisation is required to:

TAEASS402B Assess competence

The organisation is required to provide a complete suite of assessment tools/tasks for the unit of competency listed above to demonstrate they fully address all the performance criteria, critical aspects for assessment and required skills.

Provide evidence to demonstrate the RTO has developed criteria that ensures acceptable performance is outlined in its assessment tools, in particular practical tasks/checklists to ensure consistency in the judgments being made by its assessor/s.

TLIC3036A Apply safe care driving behaviours

Provide evidence to demonstrate that all of the unit's assessment tools/tasks provide clear information/instructions about assessment requirements to assessors. In particular, instruction on assessment marking and recording outcomes.

TLI31210 Certificate III in Driving Instruction

TLIH2001A Interpret road maps and navigate pre-determined routes

TLIC1051A Operate a commercial vehicle

The organisation is required to provide a complete suite of assessment tools/tasks for the units of competency listed above to demonstrate they fully address all the performance criteria, required skills and knowledge, critical aspects for assessment, range statement and that the methods of assessment are adhered to.

Provide evidence to demonstrate the RTO has developed criteria that ensures acceptable performance is outlined for all its assessment tools. In particular practical tasks /checklists to ensure consistency in the judgments being made by its assessor/s.

Furthermore, the organisation is required to provide evidence to demonstrate the assessment tools include or be accompanied by guidance for assessors that ensure performance standards are consistent with the requirements of the training package and that assessment is conducted consistently across a range of assessors and learners

In addition, the organisation is required to provide evidence to demonstrate that all of its

assessment tools/tasks provide clear information/instructions about assessment requirements to students.

Analysis of rectification evidence

- please enter analysis of rectification evidence here or enter 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:

- please provide reasons for finding non-compliance or enter 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:

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

16.2 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

<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

16.3 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

- 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

16.4 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:

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

16.5 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.

<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

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

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:

- 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:

- | | |
|-------------------------------------|--|
| <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 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 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 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"> The non-compliances identified at audit demonstrate the organisation's chief executive has not ensured the NVR registered training organisation has complied with the VET Quality Framework across its operations and entire scope of registration. 	
In order to become compliant the organisation is required to:	
<ul style="list-style-type: none"> Rectifying all the non-compliances identified at audit will address the non-compliances identified. No further evidence is required. 	

Analysis of rectification evidence

<ul style="list-style-type: none"> please enter analysis of rectification evidence here or enter 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"> please provide reasons for finding non-compliance or enter 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 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 	

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:	

- 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 21: Insurance

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

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 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
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<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 organisation did not provide evidence to demonstrate that information on fees for additional certificates and options for students who are deemed not yet competent on completion of study are readily available to the client	
In order to become compliant the organisation is required to:	
Provide evidence to demonstrate a process is in place that clearly outlines options for student and the fees applicable for replacement testamurs.	

Analysis of rectification evidence

- please enter analysis of rectification evidence here or enter 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"> • please provide reasons for finding non-compliance or enter 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 type="checkbox"/> Option 3	<input type="checkbox"/> Option 4	Option 5
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Select one:

<input checked="" type="checkbox"/>	Compliance with the requirements of this element was not examined
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<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 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 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 organisation could not provide evidence to demonstrate what process was undertaken or information provided to the student for the issuance of a Statement of Attainments when a student completes a unit that is clustered together with other units for delivery and assessment.

In order to become compliant the organisation is required to:

Provide evidence to demonstrate a process is in place that ensures the organisation meets the Australian Qualification Framework (AQF) requirements and sufficient information made available to students prior to enrolment.

Analysis of rectification evidence

- please enter analysis of rectification evidence here or enter 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"> • please provide reasons for finding non-compliance or enter 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 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

23.3 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 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:

- 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:

- 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 |

23.5 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:

- 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 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 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

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

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 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 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

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 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:

- 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