



Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Pines Learning Incorporated
Trading name/s	Pines Learning
RTO number	3774
CRICOS number	N/A

AUDIT TEAM

Lead auditor	F. Garai
Auditor/s	R. Braid
Technical adviser/s	N/A

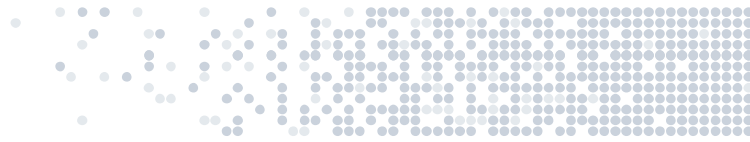
AUDIT DETAILS

Application number/s	1062034	
Audit number/s	1006584	
Audit reason 1	Application - renewal To assess ongoing compliance with the VQF – focus is on evidence of effective ongoing deployment of systems. SNR 15, 16, 17, 18, 20.2, 22.2, 22.3, 23.1, 24.1 & 25	
Audit reason 2	n/a specify or delete	
Audit reason 3	n/a specify or delete	
Activity type	Site visit	
Address of site/s visited	1/520 Blackburn Road, Doncaster East Vic 3109	
Date/s of audit	16 - 17 September 2014	
Organisation's contact for audit	Ms K. Taifalos info@pineslearning.com.au	Principal officer 0418 182 464
NVR standards audited	Selected Standards for Continuing Registration: SNR 15, 16, 17, 18, 20.2, 22.2, 22.3, 23.1, 24.1 & 25	

BACKGROUND

General information

Pines Learning Incorporated trading as Pines learning, commenced as an RTO in 1995, and transferred from the VRQA to ASQA, in December 2012. The registered provider's main audience is drawn from adult learners in the community and offers a range of different courses and qualifications to members of the community.



RTO Management structure

The registered provider has a board of management and includes members from different professions and sectors of the community, there is a management team that forms the strategic management team of the RTO and reports to the board on the operations of the registered provider.

Other strategic & operational groups that assist the RTO

The registered provider is a member of VISTA, Eastern based VET network, Dept. of Education and childhood development, and the North Eastern Victorian Community of Practice.

The registered provider uses consultants to assist with the development of training and assessment materials for new courses, and also utilises consultants to assist with internal quality auditing against the NVR standards.

General description of RTO location & facilities

The registered provider has its training facilities and head office facilities located at:

1/520 Blackburn Road, East Doncaster Vic 3109

The registered provider organises workplace agreements with aged care facilities and child care centres to facilitate the required workplace placement that learners require for the Certificate III in Aged care and the Certificate III in early childhood education.

General description of training modes used by the RTO/organisation

The registered provider provides training using:

- classroom based delivery
- workplace based delivery

RTO/Organisation scope of registration

The registered providers scope of registration has qualifications from the following industry training packages:

CHC08, & TAE training packages

The registered provider did not deliver courses/qualifications interstate at the time of audit, the registered providers TGA report shows that the RTO is only offering and delivering training in Victoria. This was discussed with the registered provider at the time of audit, and the registered provider was advised that because they were only offering & delivering training in Victoria that they do not fall under ASQA's jurisdiction. The centre manager advised that the matter will be addressed by the registered provider, and ASQA will be informed of the of the registered providers decision in respect to which jurisdiction they will apply to be registered with i.e. either VRQA or ASQA.

The RTO is registered to deliver the following qualifications:

CHC30113 Certificate III in Early Childhood Education and Care

CHC30212 Certificate III in Aged Care

CHC30312 Certificate III in Home and Community Care

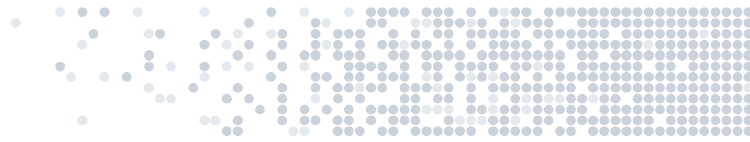
CHC50113 Diploma of Early Childhood Education and Care

TAE40110 Certificate IV in Training and Assessment

RTO/organisation current enrolment/s details

CHC30113 Certificate III in Early Childhood Education and Care = 17 students

CHC30212 Certificate III in Aged Care = 14 students



CHC30312 Certificate III in Home and Community Care = 15 students
 CHC50113 Diploma of Early Childhood Education and Care = 13 students
 TAE40110 Certificate IV in Training and Assessment = NIL
 Total enrolled students at time of audit = 59 students

RTO/organisation fee or funding information

The registered provider offers its training and services both as a fee for service and government funded provider

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
CHC30113	Certificate III in Early Childhood Education and Care	Face to face & workplace	17
CHC30212	Certificate III in Aged Care	Face to face & workplace	14
CHC30312	Certificate III in Home and Community Care	Face to face & workplace	15
TAE40110	Certificate IV in Training and Assessment	Face to face & workplace	NIL

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

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Kalli Taifalos	Centre manager	ALL
Sandra Bowtell	VET manager	ALL

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 17 September 2014: Significant non-compliance

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

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 31 October 2014: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
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SNR 15	Not compliant	Compliant
SNR 16	Not compliant	Compliant
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Not audited	n/a
SNR 20	Not compliant	Compliant
SNR 21	Not audited	n/a
SNR 22	Compliant	n/a
SNR 23/AQF	Not compliant	Compliant
SNR 24	Compliant	n/a
SNR 25	Compliant	n/a



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

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

Original finding: Compliant

Following rectification: n/a

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

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

Training and Assessment Strategies for:

- CHC30113 Certificate III in Early Childhood Education and Care
- CHC30212 Certificate III in Aged Care
- CHC30312 Certificate III in Home and Community Care
- TAE40110 Certificate IV in Training and Assessment

The registered providers Training and Assessment Strategies did not state how a student would be deemed competent to receive the unit of competency or qualification they have been assessed against.

The registered providers Training and Assessment Strategies did not demonstrate effective consultation with industry.

The Training & Assessment Strategies did not identify or refer to a reassessment process.

The registered providers Training and Assessment Strategies did not provide evidence or refer of how assessment appeals and grievances are to be managed.

Did not demonstrate how cheating and plagiarism will be monitored and managed.

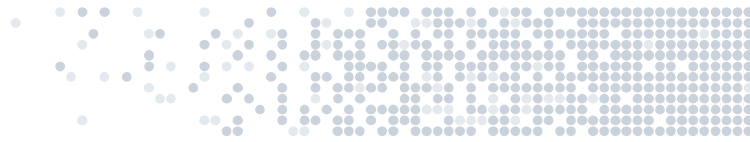
The registered providers Training and Assessment Strategies had no strategy for assessing and decision making from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency.

The registered providers Training and Assessment Strategies did not demonstrate effective consultation with the broader industry.

The Training & Assessment Strategies does not have an evidence collection matrix to identify methods of evidence collection for all of the units of competency, the assessment strategies do not demonstrate how the assessor will collect sufficient evidence to satisfy the performance criteria and essential/required knowledge and skills, and the critical evidence guide to address competence of the candidate. e.g. The core Unit of Competence TAEDEL401A Plan, organise and deliver group-based learning, critical evidence guide requires:

“Assessment must address the scope of this unit and reflect all components of the unit. Arrange of appropriate assessment methods and evidence-gathering techniques must be used to determine competency.” (Ref. p 253 of the Training package)

This is why the Training & Assessment Strategy requires an evidence collection matrix which identifies methods of evidence collection that will collect sufficient evidence to satisfy the performance criteria and essential/required knowledge and skills, and the critical evidence guide to address competence of the candidate



Benchmarks for Assessment

Assessment within the National Skills Framework is the process of collecting evidence and making judgments about whether competency has been achieved to confirm whether an individual can perform to the standards expected in the workplace, as expressed in the relevant endorsed unit of competency. (ref. p 51 of the TAE training package)

Assessment Strategies

Each RTO must have strategies for training and assessment that meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry stakeholders. (ref. p 52 of the TAE training package)

Monitoring Assessments

Training and/or assessment provided on behalf of the RTO must be monitored to ensure that it is in accordance with all aspects of the Essential Standards for Registration. (ref. p 52 of the TAE training package)

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

Demonstrate that registered providers Training and Assessment Strategies have been amended to show that they meet the relevant training packages requirements for the Principles of Assessment and Rules of Evidence.

Analysis of rectification evidence:

Rectification evidence reviewed:

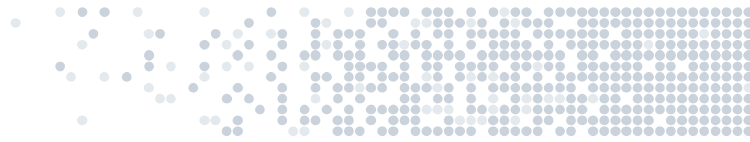
- CHC30113 Certificate III in Early Childhood Education and Care
- CHC30212 Certificate III in Aged Care
- TAE40110 Certificate IV in Training and Assessment

The amended training and assessment strategies satisfy the standards requirements because the required Principles of Assessment and Rules of Evidence have been addressed in the relevant training and assessment strategies.

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

Original finding: Compliant

Following rectification: 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 Skills Standards Council or its successors; and
(b) have the relevant vocational competencies at least to the level being delivered or assessed; and
(c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
(d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

Staff files for:

Mary Arapoglou: Certificate III in Early Childhood Education and Care

Madhu Kapoor: CHC50113 Diploma of Early Childhood Education and Care, & CHC30113 Certificate III in Early Childhood Education and Care

Andrea Pouflis: CHC50113 Diploma of Early Childhood Education and Care & CHC30113 Certificate III in Early Childhood Education and Care

Natasha Mills: CHC50113 Diploma of Early Childhood Education and Care

Anne Kenworthy: CHC50113 Diploma of Early Childhood Education and Care

Kevin Donovan: CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care

Jenny Carson: TAE40110 Certificate IV in Training and Assessment

Christine Dix: TAE40110 Certificate IV in Training and Assessment

The evidence audited found the following trainers and assessors did not satisfy the requirements for SNR 15.4 because:

Mary Arapoglou has not continued to develop her trainer/assessor competence in accordance with the NSSC – Determination for Trainer and Assessor competencies 17 June 2013.

Andrea Pouflis does not have the relevant vocational competencies at least to the level being delivered or assessed, the registered provider did not present evidence that demonstrated how the trainer and assessor was suitable to deliver and assess the CHC30113 Certificate III in Early Childhood Education and Care, and has not demonstrated that they have continued to develop their VET knowledge & skills and their trainer/assessor competence in accordance with the NSSC – Determination for Trainer and Assessor competencies 17 June 2013.

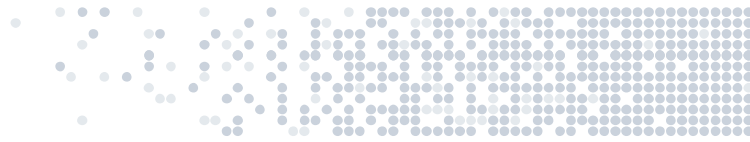
Kevin Donovan has not demonstrated that he has continued to develop his VET knowledge & skills and their trainer/assessor competence in accordance with the NSSC – Determination for Trainer and Assessor competencies 17 June 2013.

Christine Dix has not continued to develop her vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence in accordance with the NSSC – Determination for Trainer and Assessor competencies 17 June 2013.

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

Demonstrate that the trainers and assessors identified above have met the NSSC – Determination for Trainer and Assessor competencies 17 June 2013 by showing sufficient evidence to correct the identified non-compliances detailed against each trainer and assessor.

Demonstrate planned professional development for all of the registered providers trainers and assessors for the next six months.



Analysis of rectification evidence:

Rectification evidence reviewed:

Updated PD log for Mary Arapoglou

Updated PD log for Andrea Pouflis

Updated trainer & assessor matrix fo vocational competence for Andrea Pouflis

Updated PD log Kevin Donovan

Updated PD log Christine Dix

Pines Learning trainer PD sessions November 2014 and term 1 2015

The rectification evidence provided demonstrated that the trainers and assessors have the required professional development evidence and planned professional development for early 2015.

15.5 Assessment including Recognition of Prior Learning (RPL):
(a) meets the requirements of the relevant Training Package or VET accredited course; and
(b) is conducted in accordance with the principles of assessment and the rules of evidence; and
(c) meets workplace and, where relevant, regulatory requirements; and
(d) is systematically validated.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

Unit s of Competence assessment tools:

CHCECE003 Provide care for children: Assessment overview, Assessment task 1 cover sheet, Assessment task 1 theory assessment, Assessment summary checklist, work placement manual

CHCECE005 Provide care for babies and toddlers: Assessment overview, Assessment task 1 cover sheet, Assessment task 1 theory assessment, Assessment summary checklist, work placement manual

CHCCS411C Work effectively in the community sector:

CHCICS305B Provide behaviour support in the context of individualised plans:

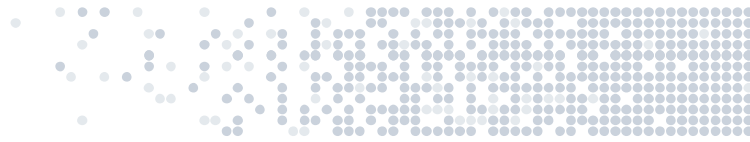
TAEASS402B Assess competence: Assessment checklist, assessment mapping guide, Assessment instructions, Assess competence assessment task 10, simulated assessment task 10

TAEDEL401A Plan, organise and deliver group-based learning: Assessment checklist, assessment mapping guide, Assessment task 5 planning & organizing group based learning, Assessment task 9 planning & organizing group based learning

There were no instructions to the assessor or the candidate on how to conduct the assessment in regards to the standard the candidate is required to meet to be deemed competent and no conditions of the assessment were stated. e.g. time to complete the written knowledge test, the standard to be achieved i.e. all questions are to be answered correctly, whether an open or closed book exam

There were no instructions to either the assessor or the candidate on how reassessment is to be conducted.

There were no instructions on how assessment appeals are to be managed and conducted



Qualification RPL assessment tools:

CHC30113 Certificate III in Early Childhood Education and Care: RPL Assessment

CHC30212 Certificate III in Aged Care

CHC30312 Certificate III in Home and Community Care

TAE40110 Certificate IV in Training and Assessment

There were no instructions to the assessor or the candidate on how to conduct the assessment in regards to the standard the candidate is required to meet to be deemed competent and no conditions of the assessment were stated. e.g. time lines given to complete the RPL process.

There were no instructions to either the assessor or the candidate on how reassessment is to be conducted.

There were no instructions on how assessment appeals are to be managed and conducted.

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

Demonstrate that the assessment tools listed above have been amended to show the identified requirements.

Analysis of rectification evidence:

Rectification evidence reviewed:

Amended: **Qualification RPL assessment tools.**

CHC30113 Certificate III in Early Childhood Education and Care: RPL Assessment

CHC30212 Certificate III in Aged Care

CHC30312 Certificate III in Home and Community Care

TAE40110 Certificate IV in Training and Assessment

Amended assessment tools for:

CHCECE003 Provide care for children

CHCECE005 Provide care for babies and toddlers

CHCCS411C Work effectively in the community sector

CHCICS305B Provide behaviour support in the context of individualised plans

TAEASS402B Assess competence

TAEDEL401A Plan, organise and deliver group-based learning

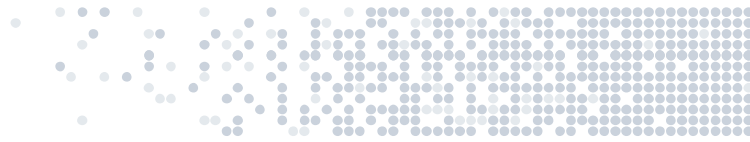
The rectification evidence has demonstrated that the provider's assessment tools have been amended to show that they meet the Principals of Assessment and Rules of Evidence.

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

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

Original finding: Compliant

Following rectification: n/a



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

Original finding: Compliant

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a

16.4 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

- Practical placement agreement
- Student / host employer agreement booklet – work placement manual 0-3 age group

The registered provider could not demonstrate sufficient evidence of how workplace personnel are informed of their training and assessment roles and responsibilities, where relevant to the training and assessment program, and has not demonstrated that it monitors Employers and other parties who contribute to the learners' training and assessment.

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

The registered provider is to demonstrate sufficient evidence of how workplace personnel are informed of their training and assessment roles and responsibilities, where relevant to the training and assessment program

Analysis of rectification evidence:

Rectification evidence reviewed:

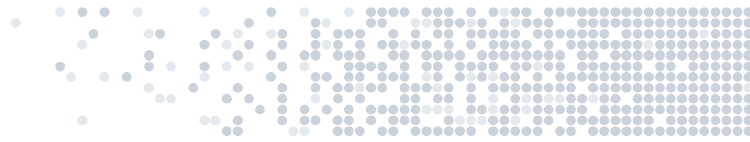
Aged Care & HACC Assessor Manual 15YAC01D v0.1

Aged Care & HACC Placement manual 15YAC01D 2015 v0.1

The CHC30113 Host employer booklet has been updated to clearly set out the roles and responsibilities of all parties. Refer to the highlighted sections on pages 5-7.

The CHC30113 0-3 work placement manual has been updated to clearly outline the role of the workplace supervisor. Refer to the highlighted sections on pages 9-10 and page 45.

The rectification evidence provided demonstrates sufficient evidence of how workplace personnel are informed of their training and assessment roles and responsibilities, where relevant to the training and assessment program.



16.5	Learners receive training, assessment and support services that meet their individual needs.
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Original finding: Compliant

Following rectification: n/a

16.6	Learners have timely access to current and accurate records of their participation and progress.
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Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

Learner information handbook 2014

The registered provider's evidence does not demonstrate in detail how learners are informed about how to gain access to their records. There is no information to the learner on the time periods that it will take for them to access their records after they have submitted their 'Learner request for records form.

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

Amend all information given to the learner about how to gain access to their records detailing the major processes for learners to have timely access to their records of their participation and progress.

Analysis of rectification evidence:

Rectification evidence reviewed:

Learner Request for records formv3 attached has been amended to reflect time periods as highlighted.

See Learner Information Handbook 2014v3 September attached - page 7 as highlighted to include the time frame and process

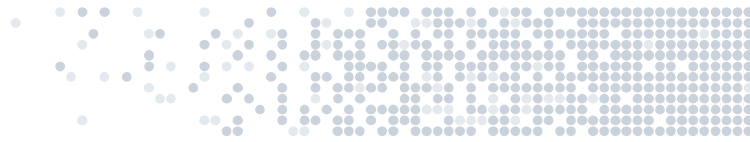
The rectification evidence provided demonstrates how the learner gains access to their records detailing the major processes for learners to have timely access to their records of their participation and progress.



16.7	The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.
Original finding: Not compliant	Following rectification: Compliant
<i>Reasons for finding of non-compliance:</i>	
<u>Evidence audited:</u>	
Complaints & appeals procedure V 2.3	
Learner information handbook 2014	
The registered providers evidence does not demonstrate how they inform the learner of the total time that the complaints and appeals process will take once they have lodged their formal written complaint or appeal.	
There is no guarantee given by the registered provider to the learner that their enrolment will not be suspended, deferred, or cancelled during the complaints and appeals process	
Time for procedures are articulated in the complaints & appeals procedure V 2.3 but not on the complaint form or in the learner information handbook.	
<i>In order to become compliant, the organisation is required to:</i>	
Demonstrate that the registered providers Complaints & appeals procedure and Learner information handbook have been amended to ensure that:\	
<ul style="list-style-type: none">• Effective management of complaints and appeals and their resolution are demonstrated.	
<i>Analysis of rectification evidence:</i>	
<u>Rectification evidence reviewed:</u>	
VET Complaints and Appeals procedure v3 with amendments as highlighted on page 45-48 of Learner Information Handbook attached.	
Complaint form on page 43 of the Learner information handbook attached with timeline highlighted.	
Complaints and Appeals are referenced on page 4, as highlighted, of the Learner information handbook	
The rectification evidence provided demonstrates an effective management of complaints and appeals and their resolution process.	
SNR 17	Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:
17.1	The NVR registered training organisation’s management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.
Original finding: Compliant	Following rectification: n/a
17.2	The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.
Original finding: Compliant	Following rectification: n/a



17.3	The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.
Original finding: Compliant	Following rectification: n/a
17.4	The NVR registered training organisation manages records to ensure their accuracy and integrity.
Original finding: Compliant	Following rectification: 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.
Original finding: Not compliant	Following rectification: Compliant
<i>Reasons for finding of non-compliance:</i>	
<u>Evidence audited:</u>	
Registered providers evidence for: SNRs 15, 16, 17, 18, 20.2, 22.2, 22.3, 23.1, 24.1 & 25	
The registered provider was found to not satisfy the requirements for SNRs: 15. 2, 15.4, 15.5, 16.4, 16.6, 16.7, 20.2, & 23.1	
<i>In order to become compliant, the organisation is required to:</i>	
Provide rectification evidence that will satisfy the requirements for the SNRs identified as non-compliant above.	
<i>Analysis of rectification evidence:</i>	
<u>Rectification evidence reviewed:</u>	
Rectification evidence for SNRs: 15. 2, 15.4, 15.5, 16.4, 16.6, 16.7, 20.2, & 23.1	
18.2	The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.
Original finding: Compliant	Following rectification: n/a



SNR 19 Interactions with the National VET Regulator

19.1 The NVR registered training organisation must co-operate with the National VET Regulator:
(a) in the conduct of audits and the monitoring of its operations;
(b) by providing accurate and timely data relevant to measures of its performance;
(c) by providing information about significant changes by its operations;
(d) by providing information about significant changes to its ownership; and
(e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.

Original finding: Not audited

Following rectification: n/a

SNR 20 Compliance with legislation

20.1 The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.

Original finding: Not audited

Following rectification: n/a

20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

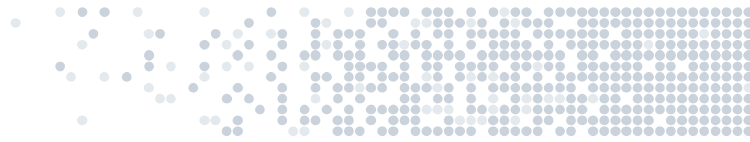
- Learner information handbook 2014
- Trainer handbook (VCAL & VET) 2014
- Staff meeting minutes
- Position descriptions for VET manager
- Position description trainer
- Student induction process

The registered training organisation could not demonstrate how it 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.

Because of the non-compliances found for SNR 15.4 it was evident that the training and assessment staff are not fully of their regulatory requirements that affect their duties in vocational education and training.

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

Demonstrate how the registered provider will ensure that the staff and learner clients will be fully informed of their legislative and regulatory requirements that affects their duties and participation in VET.



Analysis of rectification evidence:

Rectification evidence reviewed:

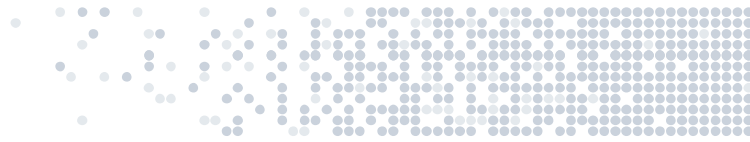
The evidence provided that demonstrates the training staff are fully informed of legislative and regulatory requirements are:

The VET Trainer Induction Checklist has been updated to show that the necessary documents are provided to the trainer upon recruitment and discussed with them (see highlighted section on page 2). On page three the trainer is required to sign to confirm that they have been advised of the legislative and regulatory requirements relating to their role.

These are also included in the updated Trainer PD and Vocational Competency Procedure v2 attached, which is distributed to trainers in the Trainer Handbook upon recruitment and annually thereafter.

The trainer meeting template attached includes a standing item on legislative and regulatory requirements that are applicable to trainers and assessors.

SNR 21	Insurance
21.1	The NVR registered training organisation must hold public liability insurance throughout its registration period.
Original finding:	Not audited
Following rectification:	n/a
SNR 22	Financial management
22.1	The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.
Original finding:	Not audited
Following rectification:	n/a
22.2	The NVR registered training organisation must provide the following fee information to each client: (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges; (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee; (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course; (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and (e) the organisation's refund policy.
Original finding:	Compliant
Following rectification:	n/a



22.3 Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:

(a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;

(b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;

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

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

(e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.

Original finding: Compliant

Following rectification: n/a

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

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

(a) meets the Australian Qualifications Framework (AQF) requirements;

(b) identifies the NVR registered training organisation by its national provider number from the National Register and

(c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

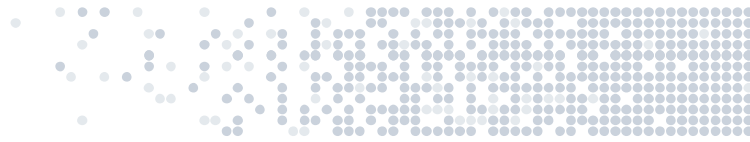
- Sample testamur/certificate
- Sample Statement of Attainment
- Auditable register of the AQF qualifications issued by the registered provider

The registered providers Testamur/Certificate did not comply with the AQF qualifications issuance policy contents of testamurs 2.1.5, the testamur identified the qualification using both the words;

- ***‘The qualification is recognised within the Australian Qualifications Framework’,*** and the AQF logo. The AQF issuance policy 2.1.5 guidance states that the testamur can carry ***EITHER*** the words OR the AQF logo, not both.

The registered providers Statement of Attainment did not comply with the AQF contents of Statements of Attainment or Records of Results policy 2.5.5, and the NSSC Application of AQF qualifications issuance policy March 2013 for the following reason:

The Statement of attainment must be in a form that ensures it cannot be mistaken for a testamur



or for a full AQF qualification. It must include the statement:

'A Statement of attainment is issued when an individual has completed one or more accredited units'. OR

Use the statement below from the NSSC requirement March 2013:

'A Statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units.'

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

Demonstrate that the Testamur/Certificate has been amended to be in accordance with the AQF qualifications issuance policy contents of testamurs 2.1.5

Demonstrate that the Statement of Attainment has been amended to be in accordance with AQF contents of Statements of Attainment or Records of Results policy 2.5.5, or the NSSC Application of AQF qualifications issuance policy March 2013.

Analysis of rectification evidence:

Rectification evidence reviewed:

Sample Testamur

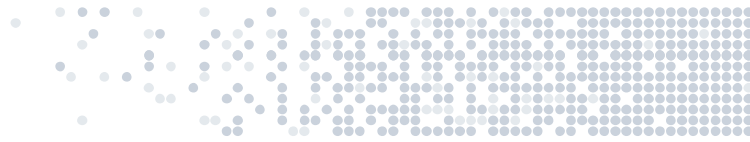
Sample Statement of Attainment

Demonstrates that the Testamur/Certificate has been amended to be in accordance with the AQF qualifications issuance policy contents of testamurs 2.1.5

Demonstrates that the Statement of Attainment has been amended to be in accordance with AQF contents of Statements of Attainment or Records of Results policy 2.5.5

23.2	The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.
Original finding: Not audited	Following rectification: n/a
23.3	The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.
Original finding: Not audited	Following rectification: n/a
23.4	The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]
This element was not audited.	
23.5	The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]
This element was not audited.	

SNR 24 Accuracy and integrity of marketing



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

Original finding: Compliant

Following rectification: n/a

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

Original finding: Not audited

Following rectification: n/a

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

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

Original finding: Compliant

Following rectification: n/a

25.2 The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.

Original finding: Compliant

Following rectification: n/a