



AUDIT REPORT

VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	RTO Management Group Pty Ltd
Trading name/s	Australian Academy of RTO Management, Library Training Services Australia
RTO number	32275
CRICOS number	N/A

AUDIT TEAM

Lead auditor	Pauline Bowtell
Auditors	Jane Connellan
Technical adviser/s	N/A

AUDIT DETAILS

Application number/s	N/A	
Audit number/s	1002598	
Audit reason 1	Post initial	
Audit reason 2	N/A	
Audit reason 3	N/A	
Activity type	Site visit	
Address of site/s visited	Level 1 , 29 Black Street, Milton, QLD	
Date/s of audit	30 April 2013	
Organisation's contact for audit	Maciek Fibrich	Director
	maciek@rtogroup.com.au	1300 885 304
NVR Standards audited	All Essential Standards for Continuing Registration	

BACKGROUND

The RTO operates in partnership with several organisations and provides RTO consultancy services. Delivery is focused to sites within Queensland; however, the Library Services qualifications are offered via distance delivery. Prior to the site audit the RTO amended its scope of registration and withdrawing several qualifications. The RTO intends on further reducing its scope of registration and ceasing partnership delivery for the RII12 qualifications in the coming months.

Total number of current enrolments in RTO as at audit date:
61

AUDIT SAMPLE

Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment	Current enrolments
CUL20111	Certificate II in Information and Cultural Services	<input type="checkbox"/> Apprenticeship <input checked="" type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input checked="" type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	1
CUL50111	Diploma of Library-Information Services	<input type="checkbox"/> Apprenticeship <input checked="" type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input checked="" type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	3
RII30112	Certificate III in Surface Extraction Operations	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input checked="" type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input checked="" type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input checked="" type="checkbox"/> Other – Partnership	0
RII40109	Certificate IV in Surface Extraction Operations	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input checked="" type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input checked="" type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input checked="" type="checkbox"/> Other – Partnership	10

TAE440110	Certificate IV in Training and Assessment	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input checked="" type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input checked="" type="checkbox"/> Other – RPL	0
-----------	---	--	---

INTERVIEWEES - Staff

Name	Position	Qualification/course
Maciek Fibrick	Director	TAE40110 Certificate IV in Training and Assessment
Brex Butler	Consultant	N/A

AUDIT FINDING

ORIGINAL AUDIT FINDING

Audit finding as at Tuesday, 30 April 2013:

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

Level of non-compliance: significant

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

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

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following additional evidence received Friday, 28 June 2013

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

AUDIT FINDING BY REQUIREMENT

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

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

**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:

- please provide requirements or enter N/A

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

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:

- please provide reasons for finding non-compliance or enter N/A

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

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

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:

RII30112 Certificate III in Surface Extraction Operations
RII40109 Certificate IV in Surface Extraction Operations

- The RTO did not demonstrate that it had training and assessment resources for all units of competency within the training and assessment strategies relating to the partnership arrangement with MinRes. Additionally, the organisation is registered for delivery in QLD

and NSW. The organisation did not demonstrate that its training and assessment materials were appropriate for the legislative environment in NSW.

In order to become compliant the organisation is required to:

RII30112 Certificate III in Surface Extraction Operations
 RII40109 Certificate IV in Surface Extraction Operations

- Provide evidence to demonstrate that it has training and assessment resources for all units of competency within the training and assessment strategies relating to the partnership arrangement with MinRes. This evidence must address both delivery in QLD and NSW. Specifically the evidence must demonstrate that its training and assessment materials are appropriate for the legislative environment in NSW.

Analysis of rectification evidence

The RTO advised that t-he Certificate IV in Surface Extraction Operations is only delivered in Queensland and there are no students currently enrolled or will be enrolled into the Certificate IV in Surface Extraction Operations who are NSW based.

The RTO provided evidence to demonstrate that it has training and assessment resources for all units of competency within the training and assessment strategies relating to the partnership arrangement with MinRes. This evidence addresses both delivery in QLD and NSW.

Audit finding following review of rectification evidence

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

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

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input 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:
	CUL20111 Certificate II in Information and Cultural Services CUL50111 Diploma of Library and Information Services <ul style="list-style-type: none"> • The RTO does not currently have a trainer and/or assessor engaged for these qualifications.

RII30112 Certificate III in Surface Extraction Operations

- The RTO did not demonstrate the trainer and assessor, Brian Gage from MinRes, had current industry skills relevant to all operational areas of the units of competency in the relevant training and assessment strategy.

RII40109 Certificate IV in Surface Extraction Operations

- The RTO did not demonstrate the trainer and assessor, Brian Gage from MinRes, had current industry skills relevant to supervisory roles in the mining industry. The evidence provided identified since 2004 Mr Gage has been engaged in operator roles with Hanson Construction Materials.

In order to become compliant the organisation is required to:

CUL20111 Certificate II in Information and Cultural Services

CUL50111 Diploma of Library and Information Services

- Provide evidence of having access to a trainer and assessor who has:
 - the necessary training and assessment competencies as determined by the NQC or its successor
 - relevant vocational competencies at least to the level being delivered or assessed
 - current industry skills directly relevant to the training/assessment being undertaken
 - continued development of vocational education and training (VET) knowledge and skills as well as industry currency and trainer/assessor competence.

RII30112 Certificate III in Surface Extraction Operations

- Provide evidence to demonstrate the trainer and assessor, Brian Gage from MinRes, has current industry skills relevant to all operational areas of the units of competency in the relevant training and assessment strategy.

RII40109 Certificate IV in Surface Extraction Operations

- Provide evidence to demonstrate the trainer and assessor, Brian Gage from MinRes, has current industry skills relevant to supervisory roles in the mining industry.

Analysis of rectification evidence

CUL20111 Certificate II in Information and Cultural Services

CUL50111 Diploma of Library and Information Services

- The nominated trainer and assessor Helen Ladewig - has the necessary training and assessment competencies as determined by the NQC, relevant vocational competencies, current industry skills and has continued to develop VET knowledge and skills.

RII30112 Certificate III in Surface Extraction Operations

RII40109 Certificate IV in Surface Extraction Operations

- Brian Gage is no longer employed by MinRes.

The RTO have provided evidence that it has a copy of the new trainer/assessors credentials. The RTO have also provided a separate partnership checklist showing that the files have been reviewed. The trainer/assessor (Jim Boorer) holds 11 units of competency which relate directly to the units he will be delivering and assessing.

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

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:

- 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:

RII30112 Certificate III in Surface Extraction Operations

RIIRIS301B Apply risk management processes

The completed assessment for student Jed Overdijk (assessed by MIST) demonstrated a floor in the assessor instructions. Mr Overdijk had not completed all sections of Task 2, which other students had, and it was determined the assessment had been satisfactorily completed. It was noted, a review of the assessment tools identified Mr Overdijk would have meet the minimum requirements of the unit of competency.

RII40109 Certificate IV in Surface Extraction Operations

RIIPRO401A Supervise processing operations

The RTO did not provide any assessment tools for the above unit of competency. The RTO therefore did not demonstrate it has access to assessment tools for this unit that address all the requirements of the unit of competency; are supported by clear instructions for students and assessors; and include criteria defining acceptable performance to ensure consistency in assessment decisions. It was noted that this unit was offered under partnership with MinRes.

In order to become compliant the organisation is required to:

RII30112 Certificate III in Surface Extraction Operations

RIIRIS301B Apply risk management processes

Provide amended assessment tools which include clear instructions for the assessor.

RII40109 Certificate IV in Surface Extraction Operations

RIIPRO401A Supervise processing operations

Provide assessment instruments including the guidance for trainers and assessors that ensures performance standards are consistent with the requirements of the training package and that assessment is conducted consistently across a range of assessors as utilised by MinRes.

Analysis of rectification evidence

RII30112 Certificate III in Surface Extraction Operations

RIIRIS301B Apply risk management processes

The RTO provided amended assessment tools which include clear instructions for the assessor.

RII40109 Certificate IV in Surface Extraction Operations

RIIPRO401A Supervise processing operations

The RTO provided amended assessment instruments which include the guidance for trainers and

assessors that ensures performance standards are consistent with the requirements of the training package and that assessment is conducted consistently across a range of assessors as utilised by MinRes.

Audit finding following review of rectification evidence

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

<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"> please provide reasons for finding non-compliance or enter N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> please provide requirements or enter N/A

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

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 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"> There was no evidence to support a range of data relating to client services being collected with regards to the partnership arrangement in place with MinRes.
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> Provide evidence which supports the collection of a range of data relating to client services for activities covered under the partnership agreement with MinRes.

Analysis of rectification evidence

<ul style="list-style-type: none"> The RTO provided evidence which supports the collection of a range of data relating to client services for activities covered under the partnership agreement with MinRes

Audit finding following review of rectification evidence

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

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

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:

- please provide reasons for finding non-compliance or enter N/A

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

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

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**

<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"> please provide reasons for finding non-compliance or enter N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> please provide requirements or enter N/A

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

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"> please provide reasons for finding non-compliance or enter N/A
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> please provide requirements or enter N/A

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:

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

- please provide reasons for finding non-compliance or enter N/A

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

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:

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

- please provide reasons for finding non-compliance or enter N/A

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

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

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:

- please provide reasons for finding non-compliance or enter N/A

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

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

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:

The partnership arrangement for MinRes identified the RTO would review the trainers and assessors to ensure they meet the requirements of the NVR Standards and review the training and assessment resources to ensure they meet the requirements of the relevant training package. The evidence reviewed at audit confirmed this review and process had not been followed or implemented as the RTO was unable to demonstrate that some of the training and assessment material and the trainers/assessors meet the requirements of the NVR Standards and the relevant training package.

In order to become compliant the organisation is required to:

- Provide evidence of having reviewed the trainers and assessor to ensure they meet the requirements of the NVR Standards and training and assessment resources to ensure they meet the requirements of the relevant training package with specific regard to the MinRes partnership agreement.

Analysis of rectification evidence

- Brian Gage is no longer employed by MinRes.
- New trainer review form – Jim Boorer.

Audit finding following review of rectification evidence

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

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was not examined
<input type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
<input checked="" type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	<ul style="list-style-type: none"> The records relating to the MinRes partnership agreement have not been systematically managed. Without access to the records the auditors could not determine that ASQA's General Direction: Retention requirements for completed student assessment items had been adhered to.
	In order to become compliant the organisation is required to:
	<ul style="list-style-type: none"> Provide evidence of the records relating to the MinRes partnership agreement having been systematically managed and evidence of the records relating to MinRes to determine that ASQA's General Direction: Retention requirements for completed student assessment items. Provide completed assessment records for the following students: Dylan Crichton - RIIMPO301C Conduct hydraulic excavator operations Josh MacFadzen - RIIMPO301C Conduct hydraulic excavator operations Clayton Tagira – RIIRIS301B Apply risk management processes.

Analysis of rectification evidence

The RTO advised that shortly after the audit, a meeting was held with Julie Warren of MinRes. Ms Warren provided the RTO with all past student records. These records are now in the RTO's possession and will remain in our office until such time as they are scanned. The RTO has set up a shared drop box account and Ms Warren now scans files into the folder ensuring the RTO has access to the records at all times.

The RTO provided completed assessment records for the following students:

- Dylan Crichton - RIIMPO301C Conduct hydraulic excavator operations
- Josh MacFadzen - RIIMPO301C Conduct hydraulic excavator operations
- Clayton Tagira – RIIRIS301B Apply risk management processes.

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:

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

As non-compliances have been identified with other SNR standards audited, this provides evidence that the RTO's CEO has not ensured that the RTO complies with the VET Quality Framework.

In order to become compliant the organisation is required to:

- The RTO is required to provide satisfactory evidence for non-compliances to ensure compliance with the VET Quality Framework.

Analysis of rectification evidence

- The RTO provided satisfactory evidence for non-compliances.

Audit finding following review of rectification evidence

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

- please provide reasons for finding non-compliance or enter N/A

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

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:

- please provide reasons for finding non-compliance or enter 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 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 did not co-operate with the regulator as requested, data and information relating to the RTO’s scope of registration was not provided despite being requested on several occasions.

In order to become compliant the organisation is required to:

- Provide evidence of how it will co-operate with the regulator in the conduct of audits and the monitoring of its operations.

Analysis of rectification evidence

- The RTO provided a Governance Statement, Interaction with ASQA process and CEO duty statement. It should be noted that the rectification evidence was not provided as requested.

Audit finding following review of rectification evidence

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

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 	

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 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 student information for Library Training Services Australia is not sufficient as it does not address legislation or regulatory requirements which would impact the student's involvement in vocational education and training. There was no evidence of how the partnering organisation "MinRes" informs staff or 	

clients on legislation and regulatory requirements which impact their duties and participation in vocational education and training.

In order to become compliant the organisation is required to:

- Provide evidence of how the Library Training Services Australia students will be made aware of legislation and regulatory requirements which impact their participation in vocational education and training.
- Provide evidence of how the partnering organisation "MinRes" will inform staff and clients on legislation and regulatory requirements which affect their duties and participation in vocational education and training.

Analysis of rectification evidence

- The RTO provided evidence of how the Library Training Services Australia students will be made aware of legislation and regulatory requirements which impact their participation in vocational education and training.
- The RTO provided evidence of how the partnering organisation "MinRes" will inform staff and clients on legislation and regulatory requirements which affect their duties and participation in vocational education and training.

Audit finding following review of rectification evidence

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

SNR 21: Insurance

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

Select one:

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

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

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:

- 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:

-

In order to become compliant the organisation is required to:

-

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

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.

Select one:

- 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:
	•
	In order to become compliant the organisation is required to:
	•

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:
	• 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 checked="" type="checkbox"/> Option 3	<input type="checkbox"/> Option 4	Option 5
---	-----------------------------------	---------------------	--	-----------------------------------	---------------------

Select one:

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

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

Analysis of rectification evidence

<ul style="list-style-type: none"> please enter analysis of rectification evidence 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

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

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

- (a) meets the Australian Qualifications Framework (AQF) requirements;
- (b) identifies the NVR registered training organisation by its national provider number from the National Register; and
- (c) includes the NRT logo in accordance with its current conditions of use.

Select one:

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

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 	

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

Select one:

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

- please provide reasons for finding non-compliance or enter N/A

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

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

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:

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:

- please provide reasons for finding non-compliance or enter N/A

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

Analysis of rectification evidence

- please enter the 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

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

Select one:

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

Analysis of rectification evidence

<ul style="list-style-type: none"> please enter the 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

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

Select one:

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

Analysis of rectification evidence

- please enter the 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 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:

- 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:

- please provide reasons for finding non-compliance or enter N/A

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

Analysis of rectification evidence

- please enter the 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

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

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:

- please provide reasons for finding non-compliance or enter N/A

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

Analysis of rectification evidence

- please enter the 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

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

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

Select one:

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

Analysis of rectification evidence

<ul style="list-style-type: none"> please enter the 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 	

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

Select one:

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

- please provide requirements or enter N/A

Analysis of rectification evidence

- please enter the 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:

- please provide reasons for finding non-compliance or enter N/A