



AUDIT REPORT

VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Central Australian Institute of Technology Pty Ltd
Trading name/s	Central Australian College
RTO number	22302
CRICOS number	03217C

AUDIT TEAM

Lead auditor	Leslie Comley
Auditors	David Scott, Leighton Blackburn
Technical adviser/s	N/A

AUDIT DETAILS

Application number/s	N/A	
Audit number/s	1003000	
Audit reason 1	Compliance monitoring	
Audit reason 2	Other - specify	
Audit reason 3		
Activity type	Sit visit	
Address of site/s visited	8 – 10 Cross Street, Footscray	
Date/s of audit	30 April – 2 May and 9 May 2013	
Organisation's contact for audit	Sachin Yonzon	CEO
	info@cac.vic.edu.au	03 9687 4275
NVR Standards audited	To assess ongoing compliance with the VQF where the focus is on evidence of effective ongoing deployment of systems SNRs: 15, 16, 17, 18, 21, 22,23, 24	

BACKGROUND

Central Australian Institute of Technology Pty Ltd, trading as Central Australian College (CAC) was registered as an RTO on 20 June 2010 and registered on the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) on 29 October 2010.

Training programs are based upon the AUR05 Automotive Industry Retail, Service and Repair Training Package and the BSB07 Business Services Training Package.

All training is delivered from the provider's site at 8 – 10 Cross Street, Footscray and there are no partnership arrangements for delivery to be conducted by other training organisations.

The provider's student cohort is primarily international although enrolment of domestic students has commenced. On 1 May 2013 the provider submitted documentation showing that 207 students were enrolled. PRISMS data indicated that, as at 29 April 2013, the organisation had 201 international students enrolled. On day 2 of the audit the organisation advised that it had enrolled 6 domestic students.

The RTO schedules classes which the students may choose to attend. Training and assessment materials are provided to students in a print form. Assessment may be completed at the campus or online.

During the audit the audit team conducted two 'roll calls' and found that attendance rates were low and that scheduled classes were not being conducted. The RTO advised that attendance to classes was 'flexible, students being able to select the classes they attended. The CEO advised the audit team that attendance was 'problematic' and that the provider was exploring ways in which participation could be improved.

Total number of current enrolments in RTO as at audit date: 207

AUDIT SAMPLE

Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment	Current enrolments
AUR20705	Certificate II in Automotive Mechanical	<input type="checkbox"/> Apprenticeship	3
AUR30405	Certificate III in Automotive Mechanical Technology	<input type="checkbox"/> Distance <input type="checkbox"/> Face to face	17
AUR50105	Diploma of Automotive Management	<input type="checkbox"/> Online	32
BSB40207	Certificate IV in Business	<input checked="" type="checkbox"/> Mixed	33
BSB51107	Diploma of Management	<input type="checkbox"/> Workplace	37
BSB60407	Advanced Diploma of Management	<input type="checkbox"/> Traineeship	13
BSB60507	Advanced Diploma of Marketing	<input type="checkbox"/> Other	72

INTERVIEWEES - Staff

Name	Position	Qualification/course
Sachin Yonzon	CEO	ALL
Iona Annin	Director of Studies	ALL
Alvin (Chee How Liau)	Trainer/Assessor	Business
Bom Yonzon	Trainer/Assessor	Business
Henry	Trainer/Assessor	Business/Automotive

AUDIT FINDING

ORIGINAL AUDIT FINDING

Audit finding as at 9/05/2013:

The organisation has not demonstrated compliance with all compliance requirements examined for the audit

Level of non-compliance:Critical

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, 11 October 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	Non-compliant.	Compliant.
SNR 16	Non-compliant..	Compliant.
SNR 17	Non-compliant..	Compliant.
SNR 18	Non-compliant.	Compliant.
SNR 19	Not audited.	Not audited.
SNR 20	Not audited.	Not audited..
SNR 21	Compliant..	Compliant.
SNR 22	Non-compliant.	Compliant.
SNR 23 / AQF	Non-compliant.	Compliant.
SNR 24	Compliant.	Compliant.
SNR 25	Not audited.	Not audited.

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

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

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

Select one:

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

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:

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

Evidence reviewed:

Training and Assessment Strategies:

- AUR20705 Certificate II in Automotive Mechanical
- AUR30405 Certificate III in Automotive Mechanical Technology
- AUR50105 Diploma of Automotive Management
- BSB40207 Certificate IV in Business
- BSB51107 Diploma of Management
- BSB60407 Advanced Diploma of Management
- BSB60507 Advanced Diploma of Marketing

Reasons for finding of non-compliance:

Training and assessment strategies have not been endorsed by the RTO manager which is a requirement of the organisation's process.
 Training and assessment strategies have not included delivery sequence details
 There was no evidence of industry consultation having been undertaken in the development of the training and assessment strategies
 There was no evidence that the organisation was monitoring and reviewing the training and assessment strategies
 Training and assessment strategies did not identify the current trainers and assessors. The following staff were listed as trainers and assessors: Andrew David, Neil Hunichen, and Barry Rollinson which was incorrect.
 Staff were not identified for the BSB60507 Advanced Diploma of Marketing.
 The training and assessment strategy for BSB60507 Advanced Diploma of Marketing did not identify any trainer or assessor.
 Training and assessment strategies did not identify a complete list of resources, equipment or identify the facilities to be used to conduct the training and assessment.
 Training and assessment strategies for BSB60407 Advanced Diploma of Management, BSB60507 Advanced Diploma of Marketing and AUR50105 Diploma of Automotive Management did not meet training package requirements. Packaging of qualifications was incorrect and unit codes and/or titles were not correctly shown.

In order to become compliant the organisation is required to:

Submit evidence that demonstrates that it has reviewed and revised all of its training and assessment strategies to ensure that:

- packaging of qualifications is in accordance with relevant training package requirements.
- all trainers and assessors involved in the delivery and assessment of training are accurately identified
- the location at which the training is to be conducted is clearly identified.
- a complete list of resources to be used in the delivery and assessment of training is provided
- a process for monitoring and review each training and assessment strategy is identified.

Submit evidence to demonstrate that industry consultation has been undertaken and that the industry feedback has been utilised in the development of all training and assessment strategies.

Submit evidence that demonstrates that the process for monitoring and reviewing training and assessment strategies has been implemented.

Analysis of rectification evidence

- Training and Assessment Strategy Development Policy
- Annual Planning and Review Schedule
- Training and Assessment Policy
- Training and Assessment Strategy Review Tool
- Completed Industry Consultation forms for:
 - BSB40207 Certificate IV in Business
 - BSB51107 Diploma of Management
 - BSB60407 Advanced Diploma of Management
 - BSB60507 Advanced Diploma of Marketing
 - AUR20705 Certificate II in Automotive Mechanical
 - AUR30405 Certificate III in Automotive Mechanical Technology
 - AUR50105 Diploma of Automotive Management
- Completed Industry validation forms for the following training and assessment strategies:
 - BSB40207 Certificate IV in Business
 - BSB51107 Diploma of Management
 - BSB60407 Advanced Diploma of Management
 - BSB60507 Advanced Diploma of Marketing
 - AUR20705 Certificate II in Automotive Mechanical
 - AUR30405 Certificate III in Automotive Mechanical Technology
 - AUR50105 Diploma of Automotive Management
- Training and assessment strategies for:
 - BSB51107 Diploma of Management
 - BSB60407 Advanced Diploma of Management
 - BSB60507 Advanced Diploma of Marketing
 - AUR20705 Certificate II in Automotive Mechanical
 - AUR30405 Certificate III in Automotive Mechanical Technology
 - AUR50105 Diploma of Automotive Management
- The RTO has provided evidence that:
 - packaging of qualifications is in accordance with relevant training package requirements.
 - all trainers and assessors involved in the delivery and assessment of training are accurately identified
 - the location at which the training is to be conducted is clearly identified.

- a complete list of resources to be used in the delivery and assessment of training is provided
- a process for monitoring and review each training and assessment strategy is identified
- industry consultation has been undertaken and that the industry feedback has been utilised in the development of all training and assessment strategies
- the process for monitoring and reviewing training and assessment strategies have been implemented.

Audit finding following review of rectification evidence

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

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:

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

Evidence reviewed:

- Training and assessment strategies
- Lease – 8 – 10 Cross Street, Footscray
- Staff Files
- Training materials
- Assessment materials
- Site inspection including classrooms and automotive workshop

Reasons for finding of non-compliance:

The organisation did not demonstrate that the training and assessment materials had been developed through effective consultation with industry

The organisation did not demonstrate that the training and assessment materials were appropriate for the RTO. As a majority of the students are from overseas and English would be their second language the materials would not be suitable to deliver in their current format. For example: the training materials purchased for TAEASS403B *Participate in assessment validation* from JNB Publications used language requiring a higher level than the minimum required by students for entry into their course.

Students are not provided with information regarding the reassessment process/policy as required by the Training Package (e.g. BSB07 and AUR05 Training Packages.)

The assessment used by the organisation did not meet the requirements of its training and assessment strategies because adjustments were included for distance-based learners. However, the RTO does not offer distance learning. Refer for examples: BSBMKG607B *Manage market research* and BSBMKG609A *Develop a marketing plan*.

The conditions under which the assessment is to be conducted have not been developed or articulated to the students and /or the assessor. Refer for examples: BSBPMG510A *Manage projects*, BSBMGT502B *Manage people performance* and BSBRES401A *Analyse and present research information*.

The assessment tasks do not meet Training Package requirements as they apply to the individual units of competency. For example BSBPMG510A *Manage projects* requires students to arrange a graduation dinner. The assessment does not include all of the critical aspects of assessment which requires them to “*demonstrate details of monitoring arrangement/s and evaluation of the project plan’s efficacy to address time lines and budgets of project and knowledge of relevant legislation evidence*”. The assessment task does not require students to monitor arrangements or evaluate the plan’s efficacy and does not require the students to demonstrate their knowledge of applicable legislation.

Training and assessment strategies did not identify the current trainers and assessors. The

following staff were identified as trainers and assessors: Andrew David, Neil Hunichen, and Barry Rollinson which was incorrect as they were longer employed by the organisation.

In order to become compliant the organisation is required to:

Submit evidence which demonstrates that it possesses or has access to training and assessment materials that:

are suitable for their intended audience/client group/s

have been developed through effective consultation with industry

meet Training Package requirements

are consistent with the detail provided in the relevant training and assessment strategy.

Analysis of rectification evidence

BSB40207 Certificate IV in Business

- BSBRES401A Analyse and Present Research Information
 - Session Plan
 - Work booklet
 - Assessment Mapping
 - Competency Summary Record Sheet
 - Assessment Task Portfolio
 - Pre-assessment checklist
 - Assessment task 1 – 15 Written question and answer
 - Assessment task 2 – Practical prepare information
 - Assessment task 3 – 9 Written and/or oral questions
 - Student assessment feedback
 - Assessor Marking Guide for assessments

BSB51107 Diploma of Management

- BSBMGT502B Manage People Performance
 - Learning and Assessment Plan and Information Sheet
 - Assessment Mapping
 - Competency Summary Record Sheet
 - Assessment Task Portfolio
 - Pre-assessment checklist

- Assessment task 1 – 40 Written question and answer
- Assessment task 2 – Practical 4 case studies
- Assessment task 3 – 11 Written and/or oral questions
- Student assessment feedback
- Assessor Marking Guide for assessments
- BSBCUS501C Manage Quality Customer Service
 - Session Plan
 - Work booklet
 - Assessment Mapping
 - Learning and Assessment Plan and Information Sheet
 - Competency Summary Record Sheet
 - Assessment Task Portfolio
 - Pre-assessment checklist
 - Assessment task 1 – 7 Written question and long answer
 - Assessment task 2 – Practical case study
 - Assessment task 3 – 8 Written and/or oral questions
 - Student assessment feedback
 - Assessor Marking Guide for assessments
- BSB60407 Advanced Diploma of Management
 - BSBMGT616A Develop and Implement Strategic Plans
 - Session Plan
 - PowerPoint
 - Assessment Mapping
 - Learning and Assessment Plan and Information Sheet
 - Competency Summary Record Sheet
 - Assessment Task Portfolio
 - Pre-assessment checklist
 - Assessment task 1 – Case Study and written responses
 - Assessment task 2 – Case Study and written responses
 - Assessment task 3 – Case Study and written responses
 - Assessment task 4 – Case Study and written responses
 - Student assessment feedback
 - Assessor Marking Guide for assessments
 - BSBINN601B Manage Organisational Change
 - Session Plan
 - PowerPoint
 - Student workbook
 - Assessment Mapping
 - Learning and Assessment Plan and Information Sheet
 - Competency Summary Record Sheet
 - Assessment Task Portfolio
 - Pre-assessment checklist
 - Assessment task 1 – Case Study and written responses - report
 - Assessment task 2 – Case Study and written responses - report/presentation
 - Assessment task 3 – Case Study and written responses - report
 - Student assessment feedback
 - Assessor Marking Guide for assessments
- BSB60507 Advanced Diploma of Marketing
 - BSBMKG607B Manage Market Research
 - Session Plan
 - PowerPoint
 - Student workbook
 - Assessment Mapping
 - Learning and Assessment Plan and Information Sheet

- Competency Summary Record Sheet
- Assessment Task Portfolio
- Pre-assessment checklist
- Assessment task 1 – Case Study and written responses - report
- Assessment task 2 – Case Study and written responses - report
- Assessment task 3 – Case Study and written responses - report
- Student assessment feedback
- Assessor Marking Guide for assessments
- BSBMKG609A Develop a Marketing Plan
 - Session Plan
 - PowerPoint
 - Student workbook
 - Assessment Mapping
 - Learning and Assessment Plan and Information Sheet
 - Competency Summary Record Sheet
 - Assessment Task Portfolio
 - Pre-assessment checklist
 - Assessment task 1 – Case Study and written responses - report
 - Assessment task 2 – Case Study and written responses – report and presentation
 - Student assessment feedback
 - Assessor Marking Guide for assessments
- AUR20705 Certificate II in Automotive Mechanical
 - AURC361230A Inspect Technical Quality of Work
 - Session Plan
 - PowerPoint
 - Student workbook
 - Assessment Mapping
 - Learning and Assessment Plan and Information Sheet
 - Competency Summary Record Sheet
 - Assessment task 1 – 3 x Observations of quality inspections
 - Assessment task 2 – 15 Written and/or oral questions
 - Student assessment feedback
 - Assessor Marking Guide for assessments
 - AURT201170A Inspect and Service Engines
 - Session Plan
 - PowerPoint
 - Student workbook
 - Assessment Mapping
 - Learning and Assessment Plan and Information Sheet
 - Competency Summary Record Sheet
 - Assessment task 1 – 3 x Observations of engine services
 - Assessment task 2 – 15 Written and/or oral questions
 - Student assessment feedback
 - Assessor Marking Guide for assessments
- AUR30405 Certificate III in Automotive Mechanical Technology
 - AURE318866A Repair Electrical Systems
 - Session Plan
 - PowerPoint
 - Student workbook
 - Assessment Mapping
 - Learning and Assessment Plan and Information Sheet
 - Competency Summary Record Sheet
 - Assessment task 1 – 3 x Observations of Electrical system repairs
 - Assessment task 2 – 25 Written and/or oral questions

- Student assessment feedback
 - Assessor Marking Guide for assessments
 - AURC361230A Inspect Technical Quality of Work as per AUR20705 Certificate II in Automotive Mechanical
 - AURT201170A Inspect and Service Engines as per AUR20705 Certificate II in Automotive Mechanical
- AUR50105 Diploma of Automotive Management
- BSBMGT502B Manage People Performance as per BSB51107 Diploma of Management
 - AURC361230A Inspect Technical Quality of Work as per AUR30405 Certificate III in Automotive Mechanical Technology

Audit finding following review of rectification evidence

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

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

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

Select one:

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

Evidence reviewed:

Staff Files for:

- Chow How (Alvin) Liau
- Pawan Shah
- Michael Sorraghan
- Henry
- Bom Bahadur Yonzon
- Charles Camilleri
- Ionessa Annin
- Barry Rollinson (no longer employed by this organisation)

Reasons for finding of non-compliance:

There was no evidence that demonstrated that the organisation:

- established, verified and monitored trainer and assessor competence including vocational currency
- ensured the development of trainer and assessor competency to ensure currency
- possessed and implemented processes for ensuring that vocationally competency assessors who did not hold the assessment competencies will conduct assessment in conjunction with a qualified assessor.

Chee How (Alvin) Liau – BSB60407 Advanced Diploma of Management

- Qualifications and experience matrix does not demonstrate relevant qualification or vocational experience to the training package being delivered; example: background is in marketing. Staff member is delivering and assessing BSB60407 Advanced Diploma of Management.
- Does not hold TAE40110 or equivalent, and no evidence was presented to ensure

	<p>measures in place so that assessments are conducted with qualified assessor</p> <ul style="list-style-type: none"> No evidence was presented to demonstrate trainer and assessor competence and vocational currency had been established, verified and monitored No evidence was sighted that demonstrated possession of current industry skills directly relevant to the training/assessment being undertaken. <p><u>Michael Sorraghan - AUR20705 Certificate II in Automotive Mechanical and AUR30405 Certificate III in Automotive Mechanical</u></p> <ul style="list-style-type: none"> No evidence was sighted that demonstrated development of VET knowledge and skills and trainer/assessor competence. <p><u>Pawan Shah - AUR20705 Certificate II in Automotive Mechanical; AUR30405 Certificate III in Automotive Mechanical; AUR50105 Diploma of Automotive Management; BSB40207 Certificate IV in Business</u></p> <ul style="list-style-type: none"> Evidence did not demonstrate sufficient development of VET knowledge and skills, industry currency and trainer/assessor competence.
	<p>In order to become compliant the organisation is required to</p>
	<p>Submit evidence which demonstrates that all of its trainers and assessors meet the requirements of element 15.4 of the Standards for NVR registered training organisations.</p>

Analysis of rectification evidence

	<ul style="list-style-type: none"> Training Staff Recruitment and Induction Policy and Procedure Training staff qualification and experience validation kit Trainer Supervision Policy Trainer Supervision Form Training allocation policy and procedure <p>Michael Sorraghan - AUR20705 Certificate II in Automotive Mechanical and AUR30405 Certificate III in Automotive Mechanical</p> <ul style="list-style-type: none"> TAE40110 Certificate IV in Training and Assessment, Training Sense Pty Ltd, dated: 04/10/2013 Trainer's Matrix Record of competency development and Industry currency <p>Pawan Shah - AUR20705 Certificate II in Automotive Mechanical, AUR30405 Certificate III in Automotive Mechanical; AUR50105 Diploma of Automotive Management; BSB40207 Certificate IV in Business</p> <ul style="list-style-type: none"> TAE40110 Certificate IV in Training and Assessment, Plenty Training, date: 08/03/2012, cert no: 12030803, Trainer's Matrix Record of competency development and Industry currency ACPET National subscription Resume - Current <p>Chee How (Alvin) Liao - BSB60507 Advanced Diploma of Marketing</p> <ul style="list-style-type: none"> Completed Trainer Supervision Form for BSBMKG607B Manage Market Research Completed Trainer Supervision Form for BSBMKG603B Manage the Marketing Process Completed Trainer Supervision Form for BSBMGT605B Provide Leadership across the Organisation Trainer Matrix Record of competency development and Industry currency Professional development – statement of attendance – ACPET Assessment Validation Continuing Professional development Log Sheet Member American Marketing Association ACPET National subscription Resume - Current <p>Charles Camilleri – AUR50205 Diploma of Automotive Technology, AUR40208 Certificate IV in Automotive Technology, AUR30405 Certificate III in Automotive Mechanical Technology – Light Vehicle, BSB51004 Diploma of Business (Frontline Management)</p> <ul style="list-style-type: none"> Certificate of Proficiency Motor Mechanics, date: 19/02/1986, certificate number: 332381
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- Trainer's matrix
- Record of competency development and Industry currency
- Continuing Professional development Log Sheet
- ACPET National subscription
- Resume - Current

Kwok Shun Chiu (Victor)

- TAE40110 Certificate IV in Training and Assessment, RMIT, dated: 28/05/2013, certificate no:3311205
- Master of Business Administration, Swinburne University, dated; 17/04/2000
- Associate Diploma of Business in Hospitality Supervision, William Angliss TAFE, dated: 02/07/1997, certificate number: 9565569H

Bom Bahadur Yonzon – BSB51107 Diploma of Management

- Resume - Current
- Trainer's matrix
- Record of competency development and Industry currency
- Continuing Professional development Log Sheet
- ACPET National subscription

The RTO has submitted evidence which demonstrates that all of its trainers and assessors meet the requirements of element 15.4 of the Standards for NVR registered training organisations.

Audit finding following review of rectification evidence

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

15.5 Assessment including Recognition of Prior Learning (RPL):

- (e) meets the requirements of the relevant Training Package or VET accredited course; and**
- (f) is conducted in accordance with the principles of assessment and the rules of evidence; and**
- (g) meets workplace and, where relevant, regulatory requirements; and**
- (h) is systematically validated.**

Select one:

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

Evidence reviewed:

- Assessment tools
- Completed student assessment for :
 - Amit Shrestha
 - Jet Vun Chu
 - Eak Narayan Lamichhane
 - Parvati Chhantyal
 - Venkata Tiriveedhi
 - Kabita Rajak

Reasons for finding of non-compliance:

AUR30405 Certificate III in Automotive Mechanical

Assessment did not comply with the assessment requirements of the training package
Assessment did not appropriately simulate workplace conditions
Assessment tools were not systematically validated.

AURT201170A Inspect and service engines

AURE318866A Repair electrical systems

Assessment tools comprise:

- Assessment Task Portfolio documentation
- Assessment Question & Answer documentation
- Assessor Answer Sheet documentation
- Assessment Practical demonstration documentation
- Assessment Oral Questions
- Work books including activities

The assessment tools did not meet the principles of assessment because they did not:

- Address all of the unit of competency requirements (i.e. elements; range statement; required knowledge; required skills; critical aspects of evidence; context of assessment)
- Include criteria defining acceptable performance
- Provide clear information to students and assessors about the assessment requirements
- Allow for reasonable adjustment
- Cover the dimensions of competency and transferability to different contexts.

The assessment tools did not meet the rules of evidence because they did not:

- Gather sufficient evidence to substantiate the assessors judgement
- Gather evidence that had direct relevance to the unit's requirements.

AUR50105 Diploma of Automotive Management

Assessment did not comply with the assessment requirements of the training package
Assessment did not appropriately simulate workplace conditions
Assessment tools were not systematically validated.

AURC361230A Inspect technical quality of work

The assessment tools for this unit comprise:

- Assessment Observation checklist - practical demonstration three assessments
- Assessment Written task
- Assessor Instructions
- Student Instructions

The assessment tools for AURC361230A Inspect technical quality of work did not meet the principle of assessment because they did not:

- Address all of the unit of competency requirements (i.e. context of assessment)
- Include criteria defining acceptable performance
- Provide clear information to students and assessors about the assessment requirements
- Allow for reasonable adjustment
- Cover the dimensions of competency and transferability to different contexts.

BSB40207 Certificate IV in Business

Assessment did not comply with the assessment requirements of the training package

Assessment did not appropriately simulate workplace conditions

Assessment tools were not systematically validated.

BSBRES401A Analyse and present research information

Assessment tools comprise:

- Assessment Case study Question and Answer
- Assessment Question & Answer documentation
- Assessment Written Project
- Assessment Oral Questioning (group activity)
- Assessor Marking Guide
- Competency Summary Record Sheet

The assessment tools did not meet the principles of assessment because they did not:

- Address all of the unit of competency requirements (i.e. elements; required skills; critical aspects of evidence; context of assessment)
- Include criteria defining acceptable performance
- Provide clear information to students and assessors about the assessment requirements
- Allow for reasonable adjustment
- Cover the dimensions of competency and transferability to different contexts.

The assessment tools did not meet the rules of evidence because they did not:

- Gather sufficient evidence to substantiate the assessors judgement
- Gather evidence that had direct relevance to the unit's requirements.

BSB51107 Diploma of Management

Assessment did not comply with the assessment requirements of the training package

Assessment did not appropriately simulate workplace conditions

Assessment tools were not systematically validated.

BSBMGT502A

Assessment tools comprise:

- Assessor instructions
- Student instructions
- Assessment Written
- Assessment Case study 1
- Assessment Case study 2
- Assessment Case study 3
- Assessment Case study 4
- Assessment Oral questions (group work)

BSBPMG510A Manage projects

Assessment tools comprise:

- Assessment Written

- Assessment Case study 1
- Assessment Case study 2
- Assessment Case study 3
- Assessment Case study 4
- Assessment Oral Questioning (group activity)
- Assessor Marking Guide

The assessment tools did not meet the principles of assessment because they did not:

- Address all of the unit of competency requirements (i.e. elements; range statement; required knowledge; required skills; critical aspects of evidence; context of assessment)
- Include criteria defining acceptable performance
- Provide clear information to students and assessors about the assessment requirements
- Allow for reasonable adjustment
- Cover the dimensions of competency and transferability to different contexts.

The assessment tools did not meet the rules of evidence because they did not:

- Gather sufficient evidence to substantiate the assessors judgement
- Gather evidence that had direct relevance to the unit's requirements.

BSB60507 Advanced Diploma of Marketing

Assessment did not comply with the assessment requirements of the training package

Assessment did not appropriately simulate workplace conditions

Assessment tools were not systematically validated.

BSBMKG607A Manage Market Research

Assessment tools comprise:

- Assessment Task 1 Case study
- Assessor marking guide (Facilitator guide) for each assessment
- Assessment market research Task 2
- Assessment market research and Case study task 2
- Assessment Research project evaluation and Case study 3

The assessment tools did not meet the principles of assessment because they did not:

- Address all of the unit of competency requirements (i.e. elements; critical aspects of evidence; context of assessment)
- Include criteria defining acceptable performance
- Provide clear information to students and assessors about the assessment requirements
- Allow for reasonable adjustment
- Cover the dimensions of competency and transferability to different contexts.

The assessment tools did not meet the rules of evidence because they did not:

- Gather evidence that had direct relevance to the unit's requirements.

BSBMKG609A Develop a marketing plan

Assessment tools comprise:

- Assessment Task 1 part A Develop a market research plan
- Assessor marking guide (Facilitator guide) for each assessment
- Assessment Case study Task 1 part B
- Assessment market research and Case study task 2
- Assessment Research project evaluation and Case study 3

The assessment tools did not meet the principles of assessment because they did not:

- Address all of the unit of competency requirements (i.e. elements; critical aspects of evidence; context of assessment)
- Include criteria defining acceptable performance
- Provide clear information to students and assessors about the assessment requirements
- Allow for reasonable adjustment
- Cover the dimensions of competency and transferability to different contexts.

The assessment tools did not meet the rules of evidence because they did not:

- Gather evidence that had direct relevance to the unit's requirements.

BSB60407 Advanced Diploma of Management

The units sampled were:

- BSBINN601B Manage organisational change
- BSBMGT616A Develop and implement strategic plans

The assessment materials provided by the organisation were commercially published by IBSA. They were submitted to the audit team in their original packaging which was sealed and showed that the organisation had not reviewed them for suitability against the Training Package, the rule of evidence and the principles of assessment.

A review of student files showed that the rules of evidence and principles of assessment had not been applied. For example:

- Venkata S Triveedhi – there is evidence that the assessment responses submitted by this student are not authentic (see BSBRES401A *Analyse and present research information*; BSBMKG502B *Establish and adjust the marketing mix*) and that the assessment judgements were not valid (see BSBFIM501A *Manage budgets and financial plans*).
- Amit Shrestha – there is evidence that the assessment responses submitted by this student are not authentic (see BSBLED501A *Develop a workplace learning environment*) and that the assessment judgements were not valid (see BSBWOR502A *Ensure team effectiveness*; course credit awarded for AUR50105 Diploma of Automotive Management).
- Parvati Chhantyal - there is evidence that the assessment responses submitted by this student are not authentic (see BSBCUS403B *Implement customer service standards*), that the responses lacked sufficiency and were not valid (see BSBMKG507A *Interpret market trends and developments*) and that assessment judgements were not valid (see BSBCUS403B *Implement customer service standards*; BSBMKG507A *Interpret market trends and developments*; BSBMKG401B *Profile the market*).
- Jet Vun Chu – the assessment responses submitted by and accepted from this student lacked sufficiency particularly when compared to responses from another student Eack Narayan Lamichhane undertaking assessment in the same units of competency (BSBLED401A *Develop teams and individuals*; BSBCUS401B *Coordinate implementation of customer service strategies* or BSBCUS403B *Implement customer services standards*) and that the assessment judgements were not valid or reliable (see BSBRES401A *Analyse and present research information*; BSBLED401A *Develop teams and individuals*; BSBCUS401B *Coordinate implementation of customer service strategies* or BSBCUS403B *Implement customer services standards*).

A review of assessment being conducted in class time by students showed that the assessment tools being used lacked currency and validity and, therefore that any assessment judgements made in relation to those tools would not be reliable (see the assessment tools being used for BSBCUS501C *Manage quality customer service*. These assessment tools had been prepared for a unit of competency BSBFLM507B *Manage quality customer service* which had been superseded in December 2007).

The organisation's assessment tools did not meet workplace requirements because the organisation does not require assessment to be carried out in a real workplace and there is no information provided that would ensure that assessment was undertaken in a suitably constructed simulated workplace (for examples refer BSBMGT502B *Manage people performance*, AURC361230 *Inspect technical quality of work* and BSBPMG510A *Manage projects*).

In order to become compliant the organisation is required to:

Submit evidence that it has:

- developed and fully implemented a process/es that will enable the organisation to

demonstrate that its assessment tools meet the requirements of each unit of competency

- reviewed and revised the assessment tools for all units of competency and ensured that they meet relevant training package requirements, the principles of assessment and rules of evidence
- developed and fully implemented processes to ensure that:
 - all assessment was authentic and the student's own work
 - assessment is conducted in accordance with training package requirements, the principles of assessment and rules of evidence

Analysis of rectification evidence

BSB40207 Certificate IV in Business

- BSBRES401A Analyse and Present Research Information
 - Assessment Mapping
 - Competency Summary Record Sheet
 - Assessment Task Portfolio
 - Pre-assessment checklist
 - Assessment task 1 – 15 Written question and answer
 - Assessment task 2 – Practical prepare information
 - Assessment task 3 – 9 Written and/or oral questions
 - Student assessment feedback
 - Assessor Marking Guide for assessments

BSB51107 Diploma of Management

- BSBMGT502B Manage People Performance
 - Learning and Assessment Plan and Information Sheet
 - Assessment task 1 – 40 Written question and answer
 - Assessment task 2 – Practical 4 case studies
 - Assessment task 3 – 11 Written and/or oral questions
 - Student assessment feedback
 - Assessor Marking Guide for assessments
- BSBCUS501C Manage Quality Customer Service
 - Assessment task 1 – 7 Written question and long answer
 - Assessment task 2 – Practical case study
 - Assessment task 3 – 8 Written and/or oral questions
 - Student assessment feedback
 - Assessor Marking Guide for assessments

BSB60407 Advanced Diploma of Management

- BSBMGT616A Develop and Implement Strategic Plans
 - Assessment task 1 – Case Study and written responses
 - Assessment task 2 – Case Study and written responses
 - Assessment task 3 – Case Study and written responses
 - Assessment task 4 – Case Study and written responses
 - Student assessment feedback
 - Assessor Marking Guide for assessments
- BSBINN601B Manage Organisational Change
 - Assessment task 1 – Case Study and written responses - report
 - Assessment task 2 – Case Study and written responses - report/presentation
 - Assessment task 3 – Case Study and written responses - report
 - Student assessment feedback
 - Assessor Marking Guide for assessments

BSB60507 Advanced Diploma of Marketing

- BSBMKG607B Manage Market Research

- Assessment task 1 – Case Study and written responses - report
- Assessment task 2 – Case Study and written responses - report
- Assessment task 3 – Case Study and written responses - report
- Student assessment feedback
- Assessor Marking Guide for assessments
- BSBMKG609A Develop a Marketing Plan
 - Assessment task 1 – Case Study and written responses - report
 - Assessment task 2 – Case Study and written responses – report and presentation
 - Student assessment feedback
 - Assessor Marking Guide for assessments
- AUR20705 Certificate II in Automotive Mechanical
 - AURC361230A Inspect Technical Quality of Work
 - Assessment task 1 – 3 x Observations of quality inspections
 - Assessment task 2 – 15 Written and/or oral questions
 - Student assessment feedback
 - Assessor Marking Guide for assessments
 - AURT201170A Inspect and Service Engines
 - Assessment task 1 – 3 x Observations of engine services
 - Assessment task 2 – 15 Written and/or oral questions
 - Student assessment feedback
 - Assessor Marking Guide for assessments
- AUR30405 Certificate III in Automotive Mechanical Technology
 - AURE318866A Repair Electrical Systems
 - Assessment task 1 – 3 x Observations of Electrical system repairs
 - Assessment task 2 – 25 Written and/or oral questions
 - Student assessment feedback
 - Assessor Marking Guide for assessments
 - AURC361230A Inspect Technical Quality of Work as per AUR20705 Certificate II in Automotive Mechanical
 - AURT201170A Inspect and Service Engines as per AUR20705 Certificate II in Automotive Mechanical
- AUR50105 Diploma of Automotive Management
 - BSBMGT502B Manage People Performance as per BSB51107 Diploma of Management
 - AURC361230A Inspect Technical Quality of Work as per AUR30405 Certificate III in Automotive Mechanical Technology

Audit finding following review of rectification evidence

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

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:

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

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

Select one:

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

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:

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

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**

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

Select one:

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

Evidence reviewed:

- Completion Within Expected Duration Policy and Procedure
- Monitoring International Student Academic Progress Policy and Procedure
- Student Files
- Course Duration Comparison Export (23 April 2012 – 23 April 2013) downloaded from PRISMS 23 April 2013

Reasons for finding of non-compliance:

A component of the organisation's *Completion Within Expected Duration Policy and Procedure* is based upon monitoring student attendance however it has elected to apply the DIICSTRE-DIAC approved course progress policy and procedures. The audit found that the organisation does not monitor attendance. Therefore, the processes identified in the organisation's *Completion Within Expected Duration Policy and Procedure* to ensure that students are able to complete their training and assessment within the expected duration are not fully implemented.

15 CoEs had been issued with an expected duration of study which exceeded the registered CRICOS duration.

The organisation's Monitoring International *Student Academic Progress Policy and Procedure* does not detail or refer to the provision of an intervention strategy for a student identified as being at risk of unsatisfactory course progress.

The organisation's Monitoring International *Student Academic Progress Policy and Procedure* does not indicate that an intervention strategy will be implemented for a student identified as being at risk of unsatisfactory course progress.

In order to become compliant the organisation is required to:

Submit evidence that it has reviewed and revised its policies and procedures to ensure that students are provided with the required support to ensure that:

- they are able to complete their course
- those courses are completed within the relevant expected duration.

Analysis of rectification evidence

Rectification evidence audited:

Completion within expected policy and procedure
 Student progress monitoring and support policy and procedure
 Poor academic progress 1st^d warning letter
 Poor academic progress 2nd warning letter
 Student academic progress breach recorded letter
 Poor academic progress notification letter

Audit finding following review of rectification evidence

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

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

Select one:

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

Evidence reviewed:

Student records management system (RTO Manager):

- Karanjit Singh Lamba
- Parvati Chhantayl
- Rajandra Thapa
- Amit Shreshtra
- Venkata S Triveedhi

Reasons for finding of non-compliance:

Records of student participation and progress is not systematically collected, recorded and stored and there are no defined practices associated with the management of student records because:

- there is no formal process for ensuring the accuracy of the data entered into the student records management system
- the organisation's records of student participation and progress are not current or accurate. A review of the student records for five students on RTO Manager (i.e. the student records management system) against actual assessment results showed that the status of students and their results is not current and is inaccurate (refer Karanjit Singh Lamba, Amit Shreshtra, Venkata S Triveedhi).

In order to become compliant the organisation is required to:

Submit evidence which demonstrates that it has developed, documented and fully implemented systematic processes and practices which will ensure that the records of participation and progress of each student is accurately recorded.

Analysis of rectification evidence

Rectification evidence audited:

- Records management Policy and procedure
- Privacy policy and procedure
- Monitoring International Student Academic Progress
- Annual Planning and Review Schedule 2013-2014
- Student hand book
- Trainer and assessor hand book
- Completion within expected policy and procedure
- Student progress monitoring and support policy and procedure
- Poor academic progress 1st^d warning letter

Poor academic progress 2nd warning letter
Student academic progress breach recorded letter
Poor academic progress notification letter

Audit finding following review of rectification evidence

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

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:

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

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:

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

Reasons for finding of non-compliance:

The organisation is not able to ensure that it is delivering the services detailed in each student’s agreement with the organisation because:

The organisation’s agreements with its students are for the delivery and assessment of qualifications which is to undertaken in accordance with relevant conditions applying to a student visa. Among the conditions applying to these visas is a requirement for the student to maintain satisfactory course progress.

The organisation has not reviewed and monitored the course progress of its international students as required by the DIICSTRE-DIAC Course Progress Policy and Procedures which it has elected to apply. The Director of Studies had not reviewed and monitored student course progress at the end of a study period as required. The organisation also requires its Automotive trainers to review and monitor the course progress of their students; these trainers have been provided with no advice or tools to enable them to undertake this task.

Student attendance to classes is flexible and students can choose which classes and when they are to attend. The CEO also advised the audit team that student attendance to classes is problematic and that the organisation was exploring ways in which to improve student participation. However, the problem is not only restricted to the attendance by students to classes but also the provision of training by the organisation. The audit team collected details of student attendance on two occasions throughout the audit, on 1 May 2013 and on 9 May 2013.

On 1 May 2013:

- four classes were scheduled. Only two trainers were in attendance.

- one of the scheduled classes was being conducted for the BSB60507 Advanced Diploma of Marketing however the room in which it was being delivered (Room 3) was not the room that was shown on the timetable (Room 2).
- the unit being delivered in Room 3 was BSBMGT605B *Provide leadership across the organisation* however the trainer did not have a list of students who were to be in attendance for this class. The trainer did have a list of all students enrolled in the BSB60507 Advanced Diploma of Marketing which showed that there were 86 students undertaking this qualification. 18 students were in attendance and two additional students arrived as the auditors were completing the roll call; these students arrived more than one hour after the class's scheduled commencement time.
- the second class was not a formal class. The trainer advised the audit team that it was a make-up class comprising Diploma of Automotive Management and Certificate IV in Business students. Three students were in attendance and appeared to be completing assessment tasks.
- the trainer taking the second class was shown on the timetable as being scheduled to deliver an Advanced Diploma of Management class.

On 9 May 2013:

- timetables showed that six classes were scheduled for the day five of which were to be in progress at the time the audit team was in attendance. Only three trainers were in attendance although it was noted that one was absent because of illness.
- a scheduled class was being conducted for the BSB60507 Advanced Diploma of Marketing. Four students were in attendance and they advised that normally 12 would attend. Two other students arrived as the audit team was completing the roll call.
attendance sheets provided by the trainer showed that only 19 of 69 students scheduled to attend between 6 May 2013 and 9 May 2013 had participated in class
- a scheduled class was being conducted for the BSB40207 Certificate IV in Business. One student was present.
The attendance sheets indicated that three students had attended on 8 May 2013 and that the one student in attendance on 9 May 2013 had not attended class on 8 May 2013. 33 students were listed on the attendance sheet for this qualification.
The trainer advised that the unit, BSBMGT403A *Implement continuous improvement* had commenced on 8 May 2013 and was to be completed in 40 hours by 19 May 2013.
One assessment activity was a role play but, without knowing how many students were to be in attendance from one class to the other the organisation could not ensure that the assessment task could be undertaken.
- a class was scheduled for BSB60407 Advanced Diploma of Management however the trainer advised that there were no students in attendance; an attendance list provided by the trainer showed that 22 students were enrolled in this qualification.
- two classes were scheduled for the AUR50105 Diploma of Automotive Management. The trainer assigned to the BSB60407 Advanced Diploma of Management was covering one of these classes as one of the trainers was ill. The trainer advised that there were two students in attendance and that they were undertaking BSBWRK509A *Manage industrial relations*.
The students advised the audit team that they were completing the AUR50105 Diploma of Automotive Management but were enrolled in the Advanced Diploma

and/or Diploma of Business Management (it was found that these students were enrolled in the BSB51107 Diploma of Management).

The provider was unable to explain the absence of the second trainer.

In order to become compliant the organisation is required to:

1. Submit an explanation:
 - a) detailing the reasons why it believes students are not attending classes
 - b) detailing the reasons why scheduled classes are not being delivered
 - c) detailing the processes it implements to ensure that students are receiving the services detailed in their agreement.
2. Submit evidence which demonstrates that it has reviewed and fully implemented processes which will enable the organisation to ensure that students receive the services detailed in their agreement.

Analysis of rectification evidence

Action plan 17.1

Audit finding following review of rectification evidence

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

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**

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**

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

Select one:

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

Evidence reviewed:

Student records management system (RTO Manager):

- Karanjit Singh Lamba
- Parvati Chhantayl
- Rajandra Thapa
- Amit Shreshtra
- Venkata S Triveedhi

Student files

- Nawin DAHAL
- Haoi Son TRINH

PRISMS data:

- Kabita Rajak
- Parvati Chhantyal
- Daljeet Kaur

Records Management Policy and Procedure

Staff files

Assessment tools

Reasons for finding of non-compliance:

The organisation does not systematically manage its records and does not ensure their accuracy and integrity. For example:

- A review of the student records for five students on RTO Manager (i.e. the student records management system) showed that the status of students and their results is not current and is inaccurate (refer Karanjit Singh Lamba, Amit Shreshtra, Venkata S Triveedhi).
- A review of the PRISMS data showed that the records relating to student status is inaccurate and incorrectly reported (Kabita Rajak was shown as having completed all of her training by 25 March 2013 but was found to be in class on 9 May 2013; Parvati Chhantyal is shown to have completed the BSB40207 Certificate IV in Business on two occasions, 15 March 2011 and 9 October 2011; Daljeet Kaur had had their CoE for the BSB60507 Advanced Diploma of Marketing cancelled as at 16 March 2013 on 28 June 2013. The date shown on the cancellation pre-dates the audit and the student was in class on 9 May 2013).
- The organisation's Records Management Policy and Procedure is inaccurate. It advises that "... student records and results are stored on the RTO student database (Excel spreadsheet)" however the organisation stores this information on a database (RTO Manager since July 2012 and on Wisenet prior to that time).
- Staff files were incomplete (refer Chee How (Alvin) Liau; Pawan Shah).
- Internal controls are not applied to ensure that the correct assessment tools are being used (refer Kabita Rajak and Jet Vun Chu who were using assessment tools developed for BSBFLM507B *Manage quality customer service* and not BSBCUS501C *Manage quality customer service*).
- The organisation was not able to provide the audit team with a complete list of names of

the currently enrolled students.

- International student files were not kept in accordance with the record keeping requirements of the National Code, ESOS Act and Regulations and included inaccurate information regarding fees (refer Nawin DAHAL (DOB 03/11/1989); Hai Son TRINH (DOB 11/04/1988)).

In order to become compliant the organisation is required to:

Submit evidence which demonstrates that it has reviewed, and revised, and fully implemented processes to ensure the accuracy and integrity of its records.

Analysis of rectification evidence

Rectification evidence audited:

Records management Policy and procedure

Privacy policy and procedure

Student hand book

Trainer and assessor hand book

Audit finding following review of rectification evidence

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

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:

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

Reasons for finding of non-compliance:

The organisation was compliant with SNRs: 15, 16, 17, 20.2, and 23.1

In order to become compliant the organisation is required to:

Satisfy the required rectification evidence for SNRs: 15, 16, 17, 20.2, and 23.1

Analysis of rectification evidence

The organisation satisfied the required rectification evidence for SNRs: 15, 16, 17, 20.2, and 23.1

Audit finding following review of rectification evidence

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

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:

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

SNR 19: Interactions with the National VET Regulator

The NVR registered training organisation must co-operate with the National VET Regulator:

- (i) in the conduct of audits and the monitoring of its operations;**
- (j) by providing accurate and timely data relevant to measures of its performance;**
- (k) by providing information about significant changes by its operations;**
- (l) by providing information about significant changes to its ownership; and**
- (m) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.**

Select one:

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

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:

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

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:

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

SNR 21: Insurance

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

Select one:

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

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**

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:

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

Evidence reviewed:

- Student Agreements (for example):
- o Nuradibah Binti Abdulk Rahman
 - o Peni Colamatisiga Lagilagi

Reasons for finding of non-compliance:

The provider's agreements with students do not:
show the total amount of all fees and charges
do not show the payment terms including the timing and amount of fees to be paid
do not include a guarantee regarding the completion of training once the program has commenced
do not provide advice regarding the options available to students who are deemed not yet competent at the completion of their training program.

In order to become compliant the organisation is required to:

Submit evidence which demonstrates that it has reviewed, revised and utilises its student agreement documentation to ensure that the requirements of this element are being met.

Analysis of rectification evidence

Rectification evidence audited:

- Enrolment Procedure
- Fees Refund Policy
- Refund Application Form
- Letter of Offer to study at Central Australian College
- Student Agreement

Audit finding following review of rectification evidence

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

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

- (a) (Option 1) the NVR registered training organisation is administered by a state, territory or Commonwealth government agency
- (b) ~~(Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme [Not available]~~
- (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500
- (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students
- (e) ~~(Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator. [Option not available]~~

Fee protection option/s nominated by organisation:

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

Select one:

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

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:

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

Select one:

<input checked="" type="checkbox"/>	The organisation has not demonstrated compliance with the requirements of this element.
	Reasons for finding of non-compliance:
	The organisation's testamur description of the AQF is inconsistent with the requirements of the <i>AQF Qualifications Issuance Policy</i> . The organisation's certificate register does not meet the requirements of the <i>AQF Qualifications Register Policy</i> .
	In order to become compliant the organisation is required to:
	submit evidence which demonstrates that it has reviewed and revised its testamurs and certificate register to ensure that they comply with the Australian Qualifications Framework requirements.

Analysis of rectification evidence

Rectification evidence reviewed:

Testamur/Certificate example

AQF Qualifications issuance register viewed at EOS audit conducted 4 December 2013 by F. Garai

Audit finding following review of rectification evidence

A sample Testamur/certificate was sighted at EOS audit conducted 4 December 2013 by F. Garai and was rectified to comply with the AQF Qualifications Issuance Policy Contents of Testamurs policy 2.1.5. The organisations AQF qualifications issuance register was seen EOS audit conducted 4 December 2013 by F. Garai and complies with AQF Register Issuance Policy procedures polices 2.4.1 & 2.4.2

Audit finding following review of rectification evidence

<input checked="" type="checkbox"/>	The organisation has demonstrated compliance with the requirements of this element.
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23.2 The NVR registered training organisation must recognise the AQF qualifications and statements of attainment issued by any other RTO.

Select one:

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

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:

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

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:

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

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

Select one:

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

SNR 24: Accuracy and integrity of marketing

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:

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

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

Select one:

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

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:

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

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:

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