



# AUDIT REPORT

## VET Quality Framework

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

### ORGANISATION DETAILS

Organisation's legal name	Down Under Training and Consulting Pty Ltd
Trading name/s	Down Under Training
RTO number	30820
CRICOS number	N/A

### AUDIT TEAM

Lead auditor	Anthony Barkey
Auditors	Jen Adlington, Judith Keller
Technical adviser/s	N/A

### AUDIT DETAILS

Application number/s	N/A	
Audit number/s	1002537	
Audit reason 1	Compliance Monitoring	
Audit reason 2	N/A	
Audit reason 3	N/A	
Activity type	Site visit	
Address of site/s visited	Nexus Business Park, 12/16 Transport Avenue, Paget QLD 4740	
Date/s of audit	9 & 10 April 2013	
Organisation's contact for audit	Mrs Tracey Woods	Director
	bookings@downundertraining.com.au	07 4953 4953
NVR Standards audited	Selected Essential Standards for Continuing Registration: SNR15,16,17,18,19, 20, 21, 22, 23, 24, 25	

## BACKGROUND

The organisation has been an RTO for 11 years. It is a small operation and has very minimal trainers which the majority are sub contracted when required. Mining is main industry; however, in recent months there has been a significant downturn in training.

The organisation has no partnering arrangements.

The organisation's main revenue source is fee for service and the organisation does not have any government funding contracts.

The organisation delivers most of its training and assessment face to face at its own premises or face to face practical on mine sites.

Total number of current enrolments in RTO as at audit date:  
271

## AUDIT SAMPLE

Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment	Current enrolments
TAE40110	Certificate IV in Training and Assessment	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <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 type="checkbox"/> Other – specify	0
RII30411	Certificate III in Resource Processing	<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 type="checkbox"/> Other – specify	0
BSBCMM401A	Make a presentation	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	0
FPICOT2237A	Maintain chainsaws	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	0

FPICOT2239A	Trim and cut felled trees	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	0
HLTCPR201A	Perform CPR	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	0
HLTFA301B	Apply first aid	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	0
RIIHAN201A	Operate a forklift	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	0
RIIHAN305A	Operate a gantry or overhead crane	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	0
RIIOHS202A	Enter and work in confined space	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	0
RIIPRO301C	Conduct crushing and screening plant operations	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace	0

		<input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	
RIIRIS402A	Carry out the risk management process	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify	0

#### INTERVIEWEES - Staff

Name	Position	Qualification/course
Tracey Woods	Director	n/a

## AUDIT FINDING

### ORIGINAL AUDIT FINDING

Audit finding as at Wednesday, 10 April 2013:

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

Level of non-compliance: minor

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

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

### AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following additional evidence received Tuesday, 11 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	Compliant	Not audited
SNR 17	Compliant	Not audited
SNR 18	Not-compliant	Compliant
SNR 19	Compliant	Not audited
SNR 20	Compliant	Not audited
SNR 21	Compliant	Not audited
SNR 22	Compliant	Not audited
SNR 23 / AQF	Compliant	Not audited
SNR 24	Compliant	Not audited
SNR 25	Compliant	Not audited

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

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

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

Select one:

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

**Reason for finding of non-compliance:**

- N/A

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

Select one:

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

**Reason for finding of non-compliance:**

- N/A

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

Select one:

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Reason for finding of non-compliance:**

- N/A

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

Select one:

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

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

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Reason for finding of non-compliance:**

- N/A



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

Select one:

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

**Reasons for finding of non-compliance:**

- RII30411 Certificate III in Resource Processing
- RIIQUA201A Maintain and monitor quality standards

Following the review of the assessment tools provided it was identified that the combined assessment tools/tasks do not meet the requirements of the unit of competency, in particular, the required skills and critical aspects of evidence. Consequently, the organisation's assessment material does not meet the requirements of the relevant training package.

The 'practical performance checklist' did not provide details as to the task/s students have undertaken to determine whether established criteria have been met.

The checklist does not allow assessor to record student responses to oral questions and don't record what the assessor has seen the student demonstrate to be given a 'tick' in the satisfactory column, e.g. 'Explain what a quality work outcome is' etc. Furthermore, there are no criteria defining acceptable performance for the oral questions. In addition, the assessment tool does not provide clear information about assessment requirements i.e. how assessment is going to be conducted and recorded.

Furthermore, as the checklists lack criteria defining the level of performance and don't allow for the gathering of sufficient assessment evidence to substantiate a competency judgement, indicates that assessment is not being conducted in accordance with the rules of evidence.

- RIIHAN201A Operate a forklift

The assessment tools/tasks provided by the organisation did not fully address all the requirements of the unit of competency, in particular, the performance criteria, required knowledge (e.g. basic geological and survey data related to forklift operations) and the required skills (e.g. use relevant hand tools, dispose of environmentally sensitive oils, fluids and materials).

Further, the 'practical competency assessment' does not provide students or assessors with clear information on the assessment requirements regarding how the practical assessment will be conducted e.g. the assessment conditions, the context and the resources required for practical assessment. In addition, there is no area to identify who the assessor is conducting the assessment or the date of when assessment was conducted.

In addition, the 'Assessment record form' currently only provides comment/feedback as to the result of individual assessment tasks (satisfactory/not satisfactory) but does not allow an assessor to record the overall results (competent/not competent) once all tasks have been completed.

- RIIHAN305A Operate a gantry or overhead crane

The assessment tools/tasks provided by the organisation did not fully address all the requirements of the unit of competency, in particular, the performance criteria, required knowledge (e.g. Australian standards related to cranes/lifting), the required skills (e.g. calculate volume and weight) and the critical aspects for assessment (e.g. implementation of requirements, procedures and techniques for safe, effective and efficient completion of the operation of a gantry or overhead crane).

Further, the 'practical competency assessment' does not provide students or assessors with clear information on the assessment requirements regarding how the practical assessment will be conducted e.g. the assessment conditions, the context and the resources required for practical assessment. In addition, there is no area to identify who the assessor is conducting the assessment or the date of when assessment was conducted.

In addition, the 'Assessment record form' currently only provides comment/feedback as to the result of individual assessment tasks (satisfactory/not satisfactory) but does not allow an assessor to record the overall results (competent/not competent) once all assessment tasks have been completed.

- RIIOHS202A Enter and work in confined spaces
- RIISAM301A Test operational functions of vehicles and equipment

The 'practical competency assessment' does not provide students or assessors with clear information on the assessment requirements regarding how the practical assessment will be conducted e.g. the assessment conditions, the context and the resources required for practical assessment.

In addition, the 'Assessment record form' currently only provides comment/feedback as to the result of individual assessment tasks (satisfactory/not satisfactory) but does not allow an assessor to record the overall results (competent/not competent) once all assessment tasks have been completed.

- RIIRIS402A Carry out the risk management process

The assessment tools/tasks provided by the organisation did not fully address all the requirements of the unit of competency, in particular, the required knowledge (e.g. basic human physiology, the effects of hazards on people's health and hygiene etc.) and the required skills (e.g. identify hazards which may have acute and long term effects on people).

The written assessment was accompanied by an answer guide; however, only questions 1 to 14 were covered the assessment contains 18 short answer questions.

- HLTCPR201A Perform CPR (superseded) No longer on scope.
- HLTFA301B Apply first aid (superseded)

The organisation clusters these two units of competency together. The assessment tools/tasks provided by the organisation for these two units of competency do not address all the units' requirements, including the essential knowledge (for example, but not limited to, awareness of stress management techniques and available support; substance misuse – common drugs and alcohol, including illicit drugs) and skills (for example, but not limited to, ability to call an ambulance and prepare a written incident report or provide information to enable preparation of an incident report), critical aspects of assessment (e.g. assessment must include demonstrated evidence of specified essential knowledge and essential skills identified in this competency unit) and access & equity requirements (e.g. assessors and trainers must take into account relevant access and equity issues, in particular relating to factors impacting on health of Aboriginal and/or Torres Strait Islander clients and communities).

The practical assessment checklists do not provide detailed guidance to assessor/s regarding the level of performance students are to demonstrate while undertaking practical assessment. Furthermore, the assessment does not provide clear assessment instructions regarding how assessment will be conducted, the context and conditions of the assessment, and how assessment will be recorded.

Based on the assessment tools/tasks provided insufficient assessment evidence would be gathered to substantiate an assessors judgement and therefore do not meet the requirements of the units of competency and assessment is not conducted in accordance with the principles of assessment and the rules of evidence.

- FPICOT2237A Maintain chainsaws
- FPICOT2239A Trim and cut felled trees

These two units of competency are clustered within the same assessment tools/tasks provided at audit. The assessment tools/tasks provided do not fully address both of the units of competency requirements including the required knowledge and skills and the critical aspects of evidence and the elements are not addressed to the levels defined in the performance criteria.

Furthermore, some of the assessment tools/task contained limited and in some instances no criteria defining acceptable level of performance students are required to demonstrate and ensure consistency in the judgements made by assessors.

In addition, as the assessment tools/tasks did not ensure the requirements of the units of competency are fully addressed indicates that assessment has not been conducted in accordance with the principles of assessment and the rules of evidence.

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

RII30411 Certificate III in Resource Processing  
RIIQUA201A Maintain and monitor quality standards

- Provide a full suite of assessment tools which address all the requirements of the relevant unit of competency, in particular, the required skills and critical aspects of evidence.
- Provide evidence its 'practical performance checklist' provides details as to the task/s

students are required to undertake and allow assessor/s to record those to determine whether established criteria have been met.

- Evidence that the checklist allows assessor/s to record student responses to oral questions and records what the assessor has seen the student demonstrate to be given a 'tick' in the satisfactory column and they contain criteria defining acceptable performance for the oral questions.
- Ensure all assessment tools/tasks provide clear information about assessment requirements i.e. how assessment is going to be conducted and recorded.
- Provide evidence the organisation has validated its assessment tools/tasks to demonstrate all the unit of competency is addressed and will ensure assessment will be conducted in accordance with the principles of assessment and the rules of evidence.

#### RIIHAN201A Operate a forklift

- Provide a suite of assessment tools/task which fully addresses all the requirements of the unit of competency, in particular, the performance criteria, required knowledge and the required skills.
- Provide an amended 'practical competency assessment' which provides students and assessors with clear information on the assessment requirements regarding how the practical assessment will be conducted e.g. the assessment conditions, the context and the resources required for practical assessment. In addition, identifies who the assessor is conducting the assessment and the date of when assessment was conducted.
- Provide an amended 'Assessment record form' to allow an assessor to record the overall results (competent/not competent).
- Provide evidence the organisation has validated its assessment tools/tasks to demonstrate all the unit of competency is addressed and will ensure assessment will be conducted in accordance with the principles of assessment and the rules of evidence.

#### RIIHAN305A Operate a gantry or overhead crane

- Provide a suite of assessment tools/tasks which fully address all the requirements of the unit of competency, in particular, the performance criteria, required knowledge, the required skills and the critical aspects for assessment.
- Provide an amended 'practical competency assessment' provided students or assessors with clear information on the assessment requirements regarding how the practical assessment will be conducted e.g. the assessment conditions, the context and the resources required for practical assessment.
- Provide an amended 'Assessment record form' to allow an assessor to record the overall results (competent/not competent).
- Provide evidence the organisation has validated its assessment tools/tasks to demonstrate all the unit of competency is addressed and will ensure assessment will be conducted in accordance with the principles of assessment and the rules of evidence.

RIIOHS202A Enter and work in confined spaces

RIISAM301A Test operational functions of vehicles and equipment

- Provide an amended 'practical competency assessment' which provides students or assessors with clear information on the assessment requirements regarding how the practical assessment will be conducted e.g. the assessment conditions, the context and the resources required for practical assessment.
- Provide an amended 'Assessment record form' to allow an assessor to record the overall results (competent/not competent).
- Provide evidence the organisation has validated its assessment tools/tasks to demonstrate all the unit of competency are addressed and will ensure assessment will be conducted in accordance with the principles of assessment and the rules of evidence.

RIIRIS402A Carry out the risk management process

- Provide full suite of assessment tools/tasks which fully address all the requirements of the unit of competency, in particular, the required knowledge and the required skills.
- Provide evidence it has developed criteria which define the level of performance required by the units of competency and ensure consistency in judgements made by assessors for all assessment tools/tasks.
- Provide evidence the organisation has validated its assessment tools/tasks to demonstrate all the unit of competency is addressed and will ensure assessment will be conducted in accordance with the principles of assessment and the rules of evidence.

HLTCPR211A Perform CPR

HLTFA311A Apply first aid

- Provide a full suite of assessment tools/tasks which fully address both units of competency in their entirety, especially the required knowledge and skills, critical aspects of evidence, resources required for assessment and access/equity requirements.
- Provide amended practical assessment checklists which provide detailed guidance to assessor/s regarding the level of performance students are to demonstrate while undertaking practical assessment.
- Ensure all assessment tools/tasks provides clear assessment instructions regarding how assessment will be conducted, the context of the assessment, and how assessment will be recorded.
- Provide evidence the organisation has validated its assessment tools/tasks to demonstrate all the unit of competency requirements have been addressed and will ensure assessment will be conducted in accordance with the principles of assessment and the rules of evidence.

FPICOT2237A Maintain chainsaws

FPICOT2239A Trim and cut felled trees

- Provide a full suite of assessment tools/tasks which fully address both units of competency in their entirety, especially the required knowledge and skills, critical aspects



of evidence, resources required for assessment and access/equity requirements.

- Provide amended practical assessment checklists which provide detailed guidance to assessor/s regarding the level of performance students are to demonstrate while undertaking practical assessment.
- Ensure all assessment provides clear assessment instructions regarding how assessment will be conducted, the context of the assessment, and how assessment will be recorded.
- Provide evidence the organisation has validated its assessment tools/tasks to demonstrate all the unit of competency requirements have been addressed and will ensure assessment will be conducted in accordance with the principles of assessment and the rules of evidence.

#### Analysis of rectification evidence

- RII30411 Certificate III in Resource Processing  
RIIQUA201A Maintain and monitor quality standards

Analysis of the rectification evidence submitted identified that the amended theory and practical assessment tools now fully address all of the requirements of the unit of competency.

The assessment tools identify the specific tasks to be undertaken as part of the practical assessment for this unit, and that the practical performance checklist now includes a mechanism for gathering and recording evidence of candidate performance to support judgements about competency. The performance checklist is supported by model answers to the oral questions defining acceptable responses, in addition to criteria for the relevant practical tasks.

Both the theory and practical assessment tools are accompanied by clear information for students about the assessment requirements, in addition to instructions for assessors about the conduct of assessment.

The accompanying mapping document, together with minutes of a meeting held on 24 May 2013, provide evidence that the organisation has validated its revised and amended assessment tools for this unit to ensure that all aspects of the unit of competency have been addressed and that the tools contain sufficient information to ensure that assessment will be conducted in accordance with the principles of assessment and rules of evidence.

- RIIHAN201A Operate a forklift

Analysis of the rectification evidence submitted has determined that the amended theory and practical assessment tools now fully address all of the requirements of the unit of competency. Both the theory and practical assessment tools are accompanied by clear information for students about the assessment requirements, in addition to guidance for assessors about how the practical assessment is to be conducted to ensure consistency over time and across a range of learners. The organisation has established a mechanism for identifying the assessor who has conducted a candidate's practical assessment and the date of assessment.

It is noted that the amended assessment record form includes space for the assessor to record the candidate's overall result of assessment for the unit as either competent/not competent once all assessment tasks have been completed.

The accompanying mapping document, together with minutes of a meeting held on 31 May 2013, provide evidence that the organisation has validated its revised and amended assessment tools

for this unit to ensure that all aspects of the unit of competency have been addressed and that the tools contain sufficient information to ensure that assessment will be conducted in accordance with the principles of assessment and rules of evidence.

- RIIHAN305A Operate a gantry or overhead crane

Analysis of the rectification evidence submitted has determined that the amended theory and practical assessment tools now fully address all of the requirements of the unit of competency. Both the theory and practical assessment tools are accompanied by clear information for students about the assessment requirements, in addition to guidance for assessors about how the practical assessment is to be conducted to ensure consistency over time and across a range of learners. The organisation has established a mechanism for identifying the assessor who has conducted a candidate's practical assessment and the date of assessment.

It is noted that the amended assessment record form includes space for the assessor to record the candidate's overall result of assessment for the unit as either competent/not competent once all assessment tasks have been completed.

The accompanying mapping document, together with minutes of a meeting held on 5 June 2013, provide evidence that the organisation has validated its revised and amended assessment tools for this unit to ensure that all aspects of the unit of competency have been addressed and that the tools contain sufficient information to ensure that assessment will be conducted in accordance with the principles of assessment and rules of evidence.

- RIIOHS202A Enter and work in confined space

Analysis of the rectification evidence submitted indicates that both the theory and practical assessment tools are accompanied by clear information for students about the assessment requirements, and include guidance for assessors about how the practical assessment is to be conducted to ensure consistency over time and across a range of learners.

It is noted that the amended assessment record form includes space for the assessor to record the candidate's overall result of assessment for the unit as either competent/not competent once all assessment tasks have been completed.

The accompanying mapping document, together with minutes of a meeting held on 31 May 2013, provide evidence that the organisation has validated its amended assessment tools for this unit to ensure that all aspects of the unit of competency have been addressed and that the tools contain sufficient information to ensure that assessment will be conducted in accordance with the principles of assessment and rules of evidence.

- RIISAM301A Test operational functions of vehicles and equipment

Analysis of the rectification evidence submitted indicates that both the theory and practical assessment tools are accompanied by clear information for students about the assessment requirements, and include guidance for assessors about how the practical assessment is to be conducted to ensure consistency over time and across a range of learners.

It is noted that the amended assessment record form includes space for the assessor to record the candidate's overall result of assessment for the unit as either competent/not competent once all assessment tasks have been completed.

The accompanying mapping document, together with minutes of a meeting held on 31 May 2013, provide evidence that the organisation has validated its amended assessment tools for this unit to

ensure that all aspects of the unit of competency have been addressed and that the tools contain sufficient information to ensure that assessment will be conducted in accordance with the principles of assessment and rules of evidence.

- RIIRIS402A Carry out the risk management process

Analysis of the rectification evidence submitted has determined that the amended theory and practical assessment tools now fully address all of the requirements of the unit of competency. The assessment tools are supported by model answers and criteria that define the level of performance required to ensure consistency in judgements made by assessors over time and across candidates.

The accompanying mapping document, together with minutes of a meeting held on 5 June 2013, provide evidence that the organisation has validated its revised and amended assessment tools for this unit to ensure that all aspects of the unit of competency have been addressed and that the tools contain sufficient information to ensure that assessment will be conducted in accordance with the principles of assessment and rules of evidence.

- HLTCPR211A Perform CPR

Analysis of the rectification evidence submitted has determined that the theory and practical assessment tools fully address all of the requirements of the unit of competency HLTCPR211A Perform CPR. The assessment tools contain instructions and relevant information about the required resources and assessment tasks to ensure reliability and consistency in the conduct of assessment.

The practical assessment checklist contains guidance for assessors about the level of performance that candidates are required to demonstrate whilst undertaking the practical assessment tasks, in addition to a mechanism for the assessor to record details of the assessment evidence gathered and the recording of assessment outcomes.

The accompanying mapping document, together with minutes of a meeting held on 24 May 2013, provide evidence that the organisation has validated its assessment tools corresponding to superseded unit HLTCPR201A to ensure that all aspects of the unit of competency have been addressed and that the tools contain sufficient information to ensure that assessment will be conducted in accordance with the principles of assessment and rules of evidence.

- HLTF311A Apply first aid

Analysis of the rectification evidence submitted has determined that the theory and practical assessment tools address all of the requirements of the unit of competency HLTF311A Apply first aid. The assessment tools contain instructions and relevant information about the required resources and assessment tasks to ensure reliability and consistency in the conduct of assessment.

The practical assessment checklists contain guidance for assessors about the level of performance that candidates are required to demonstrate whilst undertaking the practical assessment tasks, in addition to a mechanism for the assessor to record a candidate's assessment outcomes against the criteria specified for satisfactory performance.

The accompanying mapping document, together with minutes of a meeting held on 24 May 2013, provide evidence that the organisation has validated its assessment tools corresponding to superseded unit HLTF301B to ensure that all aspects of the unit of competency have been addressed and that the tools contain sufficient information to ensure that assessment will be conducted in accordance with the principles of assessment and rules of evidence.



- FPICOT2237A Maintain chainsaws
- FPICOT2239A Trim and cut felled trees

Analysis of the rectification evidence submitted has determined that the theory and practical assessment tools address all of the requirements of units of competency FPICOT2237A and FPICOT2229A. The assessment tools contain instructions and other relevant information to support consistency in the conduct of assessment.

The practical assessment checklists contain guidance for assessors about the level of performance that candidates are required to demonstrate whilst undertaking the practical assessment tasks, in addition to a mechanism for the assessor to record a candidate's assessment outcomes against the criteria specified for satisfactory performance, on multiple occasions.

The accompanying mapping documents, together with minutes of a meeting held on 5 June 2013, provide evidence that the organisation has validated its assessment tools to ensure that all aspects of the units of competency have been addressed and that the tools contain sufficient information to ensure that assessment will be conducted in accordance with the principles of assessment and rules of evidence.

#### Audit finding following review of rectification evidence

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

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

Select one:

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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

**Reason for finding of non-compliance:**

- N/A

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

Select one:

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

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

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Reason for finding of non-compliance:**

- N/A

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

Select one:

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

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

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

**Reasons for finding of non-compliance:**

- N/A

In order to become compliant the organisation is required to:

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Reason for finding of non-compliance:**

- N/A

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

Select one:

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

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

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Reason for finding of non-compliance:**

- N/A

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

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

Select one:

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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

Select one:

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

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Reason for finding of non-compliance:**

- N/A

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

Select one:

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

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

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Reason for finding of non-compliance:**

- N/A

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

Select one:

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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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



**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 <b>not examined</b>
<input type="checkbox"/>	The organisation has <b>demonstrated</b> compliance with the requirements of this element.
<input checked="" type="checkbox"/>	The organisation has <b>not demonstrated</b> compliance with the requirements of this element.
<b>Reasons for finding of non-compliance:</b>	
<ul style="list-style-type: none"> <li>As non-compliances have been identified against other SNR standards as identified in this report, identifies the CEO has not ensured the RTO's continued compliance with the VET Quality Framework.</li> </ul>	
<b>In order to become compliant the organisation is required to:</b>	
<ul style="list-style-type: none"> <li>No additional rectification is required to be provided to address this non-compliance as the rectification evidence addressing the non-compliances against the other SNR standards should they be identified compliant will address this non-compliance.</li> </ul>	

**Analysis of rectification evidence**

- As the rectification evidence submitted now meets all compliance requirements, the organisation is now also compliant with SNR 18.1.

**Audit finding following review of rectification evidence**

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

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

**Reason for finding of non-compliance:**

- 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:

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element  
**Reason for finding of non-compliance:**
  - N/A

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

**Reason for finding of non-compliance:**

- N/A

**SNR 21:** Insurance

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

Select one:

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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

**SNR 22:** Financial management

**22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.**

Select one:

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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

- the total amount of all fees including course fees, administration fees, materials fees and any other charges;
- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
- the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;
- the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and
- the organisation's refund policy.

Select one:

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

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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

**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	<del>Option 2</del>	<input checked="" type="checkbox"/> Option 3	<input type="checkbox"/> Option 4	<del>Option 5</del>
---	-----------------------------------	---------------------	--	-----------------------------------	---------------------

Select one:

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



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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Reason for finding of non-compliance:**

- N/A

**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:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Reason for finding of non-compliance:**

- N/A

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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

Select one:

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

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

**Reason for finding of non-compliance:**

- N/A

**SNR 24:** Accuracy and integrity of marketing

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

Select one:

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

Select one:

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

**Reasons for finding of non-compliance:**

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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



- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

**Reason for finding of non-compliance:**

- N/A