



# AUDIT REPORT

## VET Quality Framework

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

#### ORGANISATION DETAILS

Organisation's legal name/s	Carol Doyle
Trading name/s	You Study

#### AUDIT TEAM

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

#### AUDIT DETAILS

Application number/s	1033519	
Audit number	1003288	
Activity type	Site visit	
Address of site/s visited	5 Hilltop Close, Kuranda QLD 4881	
Date/s of audit	18 & 19 June 2013	
Organisation's contact for audit	Carol Doyle	Chief Executive Officer
	caroldoyle@youstudy.com.au	07 4093 8767
NVR Standards audited	All Essential Standards for Initial Registration	

## BACKGROUND

Carol Doyle is the sole owner and chief executive officer of a proposed registered training organisation trading as youSTUDY that will operate from 5 Hilltop Close Kuranda Queensland.  
Business activities will only include accredited qualifications and there are no significant associates, partnerships or co-provider arrangements.  
All training and assessment will be online and the intended client groups may range from school leavers to persons wishing to upgrade their qualifications. Revenue is intended as fee for service.

## AUDIT SAMPLE

Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment
BSB20112	Certificate II in Business	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input checked="" type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify
BSB30112	Certificate III in Business	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input checked="" type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify
BSB40212	Certificate IV in Business	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input checked="" type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify
BSB51107	Diploma of Management	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input checked="" type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify
TAE40110	Certificate IV in Training and Assessment	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input checked="" type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace

		<input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify
TAE50111	Diploma of Vocational Education and Training	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input checked="" type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify
TAE50211	Diploma of Training Design and Development	<input type="checkbox"/> Apprenticeship <input type="checkbox"/> Distance <input type="checkbox"/> Face to face <input checked="" type="checkbox"/> Online <input type="checkbox"/> Mixed <input type="checkbox"/> Workplace <input type="checkbox"/> Traineeship <input type="checkbox"/> Other – specify

## INTERVIEWEES

Name	Position	Qualification/course
Carol Doyle	Owner/CEO	BSB20112 Certificate II in Business BSB30112 Certificate III in Business BSB40212 Certificate IV in Business BSB51107 Diploma of Management TAE40110 Certificate IV in Training and Assessment TAE50111 Diploma of Vocational Education and Training

## AUDIT FINDING

### ORIGINAL AUDIT FINDING

Audit finding as at Wednesday, 19 June 2013.

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

Level of non-compliance: minor

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

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

### AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following additional evidence received [Click here to enter a date.](#)

Choose an item.

### AUDIT FINDING BY REQUIREMENT

#### Standards for NVR Registered Training Organisations 2012 – Essential Standards for Initial Registration

Standard	Original finding	Following rectification
SNR 4	Not-compliant	Not audited
SNR 5	Compliant	Not audited
SNR 6	Compliant	Not audited
SNR 7	Compliant	Not audited
SNR 8	Compliant	Not audited
SNR 9	Compliant	Not audited
SNR 10	Compliant	Not audited
SNR 11	Compliant	Not audited
SNR 12 / AQF	Compliant	Not audited
SNR 13	Compliant	Not audited
SNR 14	Compliant	Not audited

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

**SNR 4: The applicant must have strategies in place to provide quality training and assessment across all of its operations as follows:**

**4.1 The applicant has a defined continuous improvement strategy that requires the collection and analysis of data. The strategy includes implementation of continuous improvement activities for 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

**4.2 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

**4.3 Staff, facilities, equipment, and training and assessment materials to be used by the applicant meet the requirements of the Training Package or VET accredited course and the applicant'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:**

BSB30112 Certificate III in Business  
 BSBCMM301B Process customer complaints  
 The organisation did not provide evidence to demonstrate accurate information/instruction was provided in the practical assessment cover sheets. In particular the reference to a 'supervisor confirming a student is competent in the requirements/task.

Additionally, the organisation did not provide evidence to demonstrate accurate information/instruction was provided in the training and assessment strategy about the role of the third party assessor. Specifically 'this person acts as a verifier and external assessor for a component of the assessment marking'.

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

BSB30112 Certificate III in Business

BSBCMM301B Process customer complaints

Provide accurate information/instructions in both the practical assessment cover sheets and the training and assessment strategy on role of the third party assessor.

**Analysis of rectification evidence**

- Please enter analysis of rectification evidence or enter N/A

**Audit finding following review of rectification evidence**

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

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

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

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

**4.4 The applicant has a defined strategy, procedures and measures to ensure training and assessment services are conducted 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**

<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>

**4.5 The applicant has a defined strategy and procedures in place to ensure assessment, including Recognition of Prior Learning (RPL):**  
**(a) will meet the requirements of the relevant Training Package or VET accredited course;**  
**(b) will be conducted in accordance with the principles of assessment and the rules of evidence;**  
**(c) will meet 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:**

BSB30112 Certificate III in Business  
 BSBCMM301B Process customer complaints

Assessment tools examined for the above unit did not fully address the requirements of the BSB07 Business Services Training Package and support sufficiency and reliability of assessment outcomes.

- In particular, the required skills - analytical skills to identify trends and positions of products and services was not addressed
- The project/practical assessment tools/tasks did not provide clear and accurate information and instructions about assessment requirements for the assessor/s and students.
- There was no evidence provided for the project/practical assessment that demonstrates guidance of the performance level required that will ensure sufficiency and consistency in the judgments being made by its assessor/s and that assessment will be conducted consistently across a range of assessors and learners.

BSB40112 Certificate IV in Business  
 BSBWHS401A Implement and monitor WHS policies, procedures and programs to meet legislative requirements.

Assessment tools examined for the above unit did not fully address the requirements of the BSB07 Business Services Training Package and support sufficiency and reliability of assessment outcomes.

- The project/practical assessment tools/tasks did not provide clear and accurate information and instructions about assessment requirements for the assessor/s and students.



- There was no evidence provided for the project/practical assessment that demonstrates guidance of the performance level required that will ensure sufficiency and consistency in the judgments being made by its assessor/s and that assessment will be conducted consistently across a range of assessors and learners.

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

BSB30112 Certificate III in Business  
BSBCMM301B Process customer complaints

- Provide evidence to demonstrate that all required skills have been addressed for the unit listed above.
- Provide evidence the project/practical assessment tools/tasks provide clear and accurate information/instructions about assessment requirements for both the assessor/s and student.
- Provide evidence to demonstrate the project/practical assessment includes criteria which defines the level of performance required to be demonstrated by students that is consistent with the requirements of the training package and ensures assessment will be conducted consistently across a range of assessors and learners.

BSB40112 Certificate IV in Business  
BSBWHS401A Implement and monitor WHS policies, procedures and programs to meet legislative requirements.

- Provide evidence the project/practical assessment tools/tasks provide clear and accurate information/instructions about assessment requirements for both the assessor/s and student.
- Provide evidence to demonstrate the project/practical assessment includes criteria which defines the level of performance required to be demonstrated by students that is consistent with the requirements of the training package and ensures assessment will be conducted consistently across a range of assessors and learners.

**Analysis of rectification evidence**

- please enter analysis of rectification evidence here or enter N/A

**Audit finding following review of rectification evidence**

<input type="checkbox"/>	The organisation has <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>• please provide reasons for finding non-compliance or enter N/A</li> </ul>

**SNR 5: The applicant must have strategies in place to adhere to the principles of access and equity and to maximise outcomes for its clients.**

**5.1 The applicant has a strategy in place detailing how it will establish and meet the needs of clients.**

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>
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**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>	

**5.2 The applicant has a strategy in place for the implementation of continuous improvement of client services informed by the analysis of 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**

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

**5.3 The applicant has in place a process and mechanism to provide all clients information about the training, assessment and support services to be provided, and about their rights and obligations, prior to enrolment or entering into an agreement.**

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>
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**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>

**5.4 Where identified in the learning and assessment strategy, the applicant has engaged or has a defined strategy in place to engage with employers or other parties who contribute to each learner’s training and assessment on 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>
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**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>

**5.5 The applicant has a defined process and mechanism in place to ensure learners receive training, assessment and support services that meet their individual 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>
	<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>
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**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>

- N/A

**5.6 The applicant has a defined process and mechanism in place to ensure learners have timely access to current and accurate records of their participation.**

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

**5.7 The applicant has a defined complaints and appeals process that will ensure learners' complaints and appeals are addressed effectively and efficiently.**

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

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**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 6:** The applicant must have in place management systems that will be responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO will operate, as follows:

**6.1 The applicant has a strategy in place detailing how the management of its operations will ensure clients receive the services detailed in their agreement with the applicant.**

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>
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**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>

**6.2 The applicant has a defined strategy for the implementation of a systematic 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>
	<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>                                       |

**6.3 Where applicable, the applicant has a defined process and mechanism to monitor training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.**

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>                                       |

**6.4 The applicant has a defined strategy and process to manage 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>
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**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 7:** The applicant has adequate governance arrangements, as follows:

**7.1 The applicant must demonstrate to the National VET Regulator;**  
**(a) what its intended objectives as an RTO are;**  
**(b) that it has undertaken business planning, and**  
**(c) the continuing viability, including financial viability, of its proposed operations.**

Select one:

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

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

- N/A

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

- N/A

**Analysis of rectification evidence**

- N/A

**Audit finding following review of rectification evidence**

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

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

- N/A

**7.2 The applicant must also demonstrate how it will ensure 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**
- 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

**7.3 The applicant’s Chief Executive must identify how he or she will ensure that it will comply with the VET Quality Framework and any national guidelines approved by the National Quality Council or its successors. This applies to all of the operations within the applicant’s intended scope of operation.**

Select one:

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

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

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

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

- The non-compliances identified at audit demonstrate the organisation's chief executive has not ensured the NVR registered training organisation has complied with the VET Quality Framework across its operations and entire scope of registration.

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

- Rectifying all the non-compliances identified at audit will address the non-compliances identified. No further evidence is required.

**Analysis of rectification evidence**

- please enter analysis of rectification evidence here or enter N/A

**Audit finding following review of rectification evidence**

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

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

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

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

**SNR 8:** Interactions with the National VET Regulator

**8.1 The application for initial registration must be accompanied by a self-assessment report of the applicant's compliance with the VET Quality Framework.**

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>

**8.2 The applicant's chief executive must identify how it will ensure that the applicant will 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 the National VET Regulator's requirements.

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**

- |                          |   |
|--------------------------|---|
| <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 9:** Compliance with legislation

**9.1 The applicant must identify how it will comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its intended operations and its intended scope of registration.**

Select one:

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

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

- 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

**9.2 The applicant must identify how it will inform staff and clients of the 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**
- 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**

- |                          |   |
|--------------------------|---|
| <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 10:** Insurance

**10.1 The applicant must hold public liability insurance.**

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 11:** Financial management for initial registration

**11.1 The applicant must be able to demonstrate to the National VET Regulator, on request, that it will be 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**

- 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>

**11.2 The applicant must identify how it will provide the following fee information necessary for continuing registration 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 RTO 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 applicant'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**

- 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>

- 11.3 Where the applicant intends collecting student fees in advance it must ensure it will comply with one of the following acceptable options for continuing registration:
- (a) (Option 1) the RTO is administered by a state, territory or Commonwealth government agency;
  - ~~(b) (Option 2) the RTO holds current membership of an approved Tuition Assurance Scheme [not available];~~
  - (c) (Option 3) the RTO may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO 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 RTO holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the RTO which are prepayments from students (or future students) for tuition to be provided by the RTO to those students; or
  - ~~(e) (Option 5) the RTO 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	<input checked="" type="checkbox"/> <del>Option 2</del>	<input type="checkbox"/> Option 3	<input type="checkbox"/> Option 4	<input checked="" type="checkbox"/> <del>Option 5</del>
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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**

<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 12:** Strategy for certification, issuing and recognition of qualifications & statements of attainment

**12.1 The applicant must identify how it will 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 RTO by its national provider number from the National Register; and**  
**(c) includes the Nationally Recognised Training (NRT) logo in accordance with the 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**

- 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>

**12.2 The applicant must confirm that it will recognise the AQF and VET qualifications and VET 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**

<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>

**12.3 The applicant must retain client records of attainment of units of competency and qualifications for a period of 30 years.**

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>

**12.4 The applicant must identify how it will 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>

**12.5 The applicant 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**

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 13:** Strategy for accuracy and integrity of marketing

**13.1 The applicant must demonstrate that its proposed 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>                                       |

**13.2 The applicant demonstrates that it will 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



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**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 14:** Strategy for transition to Training Packages/expiry of VET accredited courses

**14.1 The applicant must identify how it will 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>	

**14.2 The applicant must identify how it will manage the transition from superseded VET accredited courses so that it will deliver only currently endorsed training packages or current 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