



# AUDIT REPORT

## VET Quality Framework

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

### ORGANISATION DETAILS

Organisation's legal name	Complex Institute of Education Pty Ltd
Trading name/s	Complex Training Academy
RTO number	21009
CRICOS number	Status allowed to lapse in 2013

### AUDIT TEAM

Lead auditor	Robert East
Auditors	N/A
Technical adviser/s	N/A

### AUDIT DETAILS

Application number/s	1041044.	
Audit number/s	1003455	
Audit reason 1	Extension to Scope	
Audit reason 2	Compliance Monitoring	
Audit reason 3	N/A	
Activity type	Site Visit	
Address of site/s visited	400 Queen Street Melbourne 3000	
Date/s of audit	2 July 2013	
Organisation's contact for audit	Andrew Shea	Compliance Manager
	ashea@complextraining.com.au	1800 441 677
NVR Standards audited	Standards 15 -25	

## BACKGROUND

The Complex Institute of Education Pty Ltd trading as Complex Training Academy has been operating since 2001. The current CEO has been there the entire time. The RTO is a private RTO and was also a CRICOS provider; however, the provider did not renew this registration in 2013 due to their increasing emphasis on the training of domestic students.

The RTO is managed by the CEO with assistance from the Quality Assurance Manager and the Business Development Manager.

The RTO has offices/training facilities in Melbourne, Bendigo, Geelong, Wodonga, Mildura and Dandenong.

It also provides training in Certificate II and III in Cleaning operations in all States.

The RTO provides training using classroom based delivery and workplace based delivery for its hospitality course. It also has its own training restaurant *Scholars Wine Bar* at 480 Victoria Street North Melbourne.

The RTO's scope of registration includes the following industry areas:

- Business
- Security
- Cleaning
- Hospitality and
- Training and Assessment

There are currently 547 students enrolled at the college with 75% of these enrolled in security courses.

Security	417 students
Hospitality	80 students
Cleaning	24 students
TAE	26 students

**Total**                    **547**

The RTO/organisation offers its training and services both as a fee for service and government funded provider

It is now seeking to add CPP20307 Certificate II in Technical Security to its scope of registration.

Total number of current enrolments in RTO as at audit date:  
547

## AUDIT SAMPLE

Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment	Current enrolments
CPP20307 CPP31011 SIT30707	Certificate II in Technical Security Certificate III in Cleaning Operations Certificate III in Hospitality	<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	New qualification 24 current students 74 current students

### INTERVIEWEES - Staff

Name	Position	Qualification/course
Mr Peter Whitford	CEO	All Courses
Mr Andrew Shea	Quality Assurance Manager	All Courses
Mr Ashley Rohamally	Practical Placement Officer	Certificate III in Hospitality
Ms Paula Hellis	Student Assistance	All Courses

## AUDIT FINDING

### ORIGINAL AUDIT FINDING

Audit finding as at 2 July 2013:

Level of non-compliance: Compliant.

### AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following additional evidence received N/A

### AUDIT FINDING BY REQUIREMENT

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

Standard	Original finding	Following rectification
SNR 15	Compliant	N/A
SNR 16	Compliant	N/A
SNR 17	Compliant	N/A
SNR 18	Compliant	N/A
SNR 19	Compliant	N/A
SNR 20	Compliant	N/A
SNR 21	Compliant	N/A
SNR 22	Compliant	N/A
SNR 23 / AQF	Compliant	N/A
SNR 24	Compliant	N/A
SNR 25	Compliant	N/A

**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 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 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>
	<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>

**16.2 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**

<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>

**16.3 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**

- 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>

**16.5 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**

- 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>

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was <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>

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was <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>

- 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>
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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>

**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 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>

**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.
	<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

**SNR 19:** Interactions with the National VET Regulator

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

Select one:

<input type="checkbox"/>	Compliance with the requirements of this element was <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 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.
	<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>

**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.
	<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

**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 checked="" 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 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:**

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

Select one:

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

**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>
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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>
	<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>
<b>Analysis of rectification evidence</b>	
	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>Audit finding following review of rectification evidence</b>	
<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>
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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>

**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>

	<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>

**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:

<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>

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

Select one:

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

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

Select one:

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

**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.
	<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 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