

# VET Quality Framework audit report

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

Legal name of applicant	The Drawing Board (Qld) Pty Ltd
Date of audit	Site Audit – 06/08/2012

APPLICANT DETAILS					
<b>Applicant legal name</b>	The Drawing Board (Qld) Pty Ltd		<b>RTO ID number</b>	Nil assigned	
<b>Registered business trading name</b>	The Drawing Board		<b>ABN</b>	15 157 772 097	
<b>Address</b>	90 Klumpp Road, Mt Gravatt, QLD			<b>Postcode</b>	4122
<b>Phone</b>	0422 139 947	<b>Fax</b>	07 3219 1038		
<b>E-mail</b>	<a href="mailto:reece@bluefit.com.au">reece@bluefit.com.au</a>		<b>Website</b>	TBA	
<b>Registration contact</b>	<b>Name</b>	Mr James (Jim) Colley	<b>Position</b>	Training Manager	

AUDIT TEAM			
<b>Lead auditor</b>	Ms Emma Betts	<b>Technical adviser/s</b>	N/A
<b>Audit team members</b>	N/A		N/A

ASQA CONTACT DETAILS			
<b>Phone</b>	1300 701801 (ASQA Info line)	<b>E-mail</b>	<a href="mailto:compliancebrisbane@asqa.gov.au">compliancebrisbane@asqa.gov.au</a>

AUDIT DETAILS		
<b>Scope of audit</b>	<input checked="" type="checkbox"/> Standards for NVR RTOs (initial registration) <input checked="" type="checkbox"/> Australian Qualifications Framework (AQF) <input checked="" type="checkbox"/> Data Provision Requirements <input checked="" type="checkbox"/> Fit and Proper Person Requirements <input checked="" type="checkbox"/> Financial Viability Risk Assessment Requirements	Applicant currently operates as an RTO but is seeking new registration due to a change in its ownership or management <input type="checkbox"/>
<b>Date of site visit</b>	06/08/2012	
<b>Site visited</b>	90 Klumpp Road, Mt Gravatt	
<b>Essential Standards audited</b>	SNR 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14	

ORGANISATION
<ul style="list-style-type: none"> <li>The Drawing Board (Qld) Pty Ltd (the applicant) is a newly developed organisation and is part of a group of companies. These companies include BlueFit Leisure; the third largest Queensland-based provider of aquatic centres, health clubs and community sporting and recreational facilities.</li> <li>As part of its involvement in the aquatic and fitness industries, the applicant has identified a need to become “a boutique RTO with a specific focus on scope concerned with safety and maintenance”:               <ul style="list-style-type: none"> <li>The applicant has identified all staff employed with BlueFit Leisure are required to have current first aid certificates.</li> <li>The applicant has also identified these staff are largely employed on a seasonal and casual basis, and thus, a high staff turnover is common.</li> </ul> </li> <li>The applicant’s intention is to train and assess staff employed with BlueFit Leisure (which annually number 300 staff); however it has identified it may consider providing training and assessment services to other swim schools and leisure facilities in the future.</li> <li>Training and assessment will be conducted at BlueFit Leisure locations in South East Queensland (Burleigh Heads to Chermside).</li> <li>Training and assessment will be funded by the corporate client, BlueFit Leisure, in most cases. Fee for service enrolments may be accepted for new employees to the corporate client, as part of their conditions of employment.</li> </ul>

FOCUS OF AUDIT		
Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment
HLTFA311A	Apply First Aid	Face to face
HLTCPR211A	Perform CPR	Face to face

INTERVIEWEES		
Staff (name and position)		
Name	Position	Program (qualification, course, etc)
Mr James (Jim) Colley	Training Manager	N/A
Mr Jack Drinnan	Director	N/A
Mr Lindsay Hamon	Consultant	N/A

### SUMMARY OF AUDIT OUTCOME

This audit was conducted under the *National Vocational Education and Training Regulator Act 2011* (the Act) to assess compliance with requirements of the VET Quality Framework as identified under the Scope of Audit section above.

### AUDIT OUTCOME

#### Audit status as at 06/08/2012:

- The organisation **has not demonstrated compliance** with all compliance requirements reviewed for the audit.

The level of non-compliance is considered to be minor when considering the potential for adverse impact on the quality of training and assessment outcomes for students.

The audit report describes evidence of non-compliance identified. Each issue referenced must be rectified by the organisation with evidence provided to ASQA within **20 working days** of the date of the letter accompanying this audit report to demonstrate corrective actions implemented.

<b>Auditor's Name</b>	Ms Emma Betts	<b>Date of Report</b>	14/09/2012
-----------------------	---------------	-----------------------	------------

### AUDIT RECTIFICATION

#### Audit status following additional evidence received 06/08/2012:

- The organisation **has demonstrated compliance** with all compliance requirements reviewed for the audit.

<b>Auditor's Name</b>	Ms Emma Betts	<b>Date of Report</b>	14/09/2012
-----------------------	---------------	-----------------------	------------

## AUDIT SUMMARY OF VET QUALITY FRAMEWORK REQUIREMENTS

VET QUALITY FRAMEWORK COMPONENT		STATUS*
Financial Viability Risk Assessment Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Fit and Proper Person Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Data Provision Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Australian Qualifications Framework (AQF) Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
<b>Standards for NVR Registered Training Organisations 2011</b>		
<b>- Essential Standards for Initial Registration</b>		
4	The applicant must have strategies in place to provide quality training and assessment across all of its operations	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
5	The applicant must have strategies in place to adhere to the principles of access and equity and to maximise outcomes for its clients	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
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	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
7	The applicant has adequate governance arrangements	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
8	Interactions with the national VET regulator	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
9	Compliance with legislation	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
10	Insurance	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
11	Financial management for initial registration	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
12	Strategy for certification, issuing and recognition of qualifications and statements of attainment	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
13	Strategy for accuracy and integrity of marketing	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
14	Strategy for transition to training packages/expiry of VET accredited courses	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
*STATUS: Status of audit findings when audit was conducted      C = Compliant      NC = Not Compliant      NA = Not audited		

### Audit Findings

The Drawing Board (Qld) Pty Ltd was found compliant against the Financial Viability Risk Assessment Requirements, Fit and Proper Person Requirements, Data Provision Requirements, Australian Qualifications Framework Requirements and the following Standards for NVR Registered Training Organisations – Essential Standards for Initial Registration: SNR 4, 5, 6, 7, 8, 9, 10, 11, 13 and 14.

#### Non-compliances:

SNR 12 Strategy for certification, issuing and recognition of qualifications & statements of attainment

- The applicant provided example statements of attainment which did not meet the Australian Qualification Framework (AQF) requirements.

*Please note: Satisfactory rectification evidence was provided at site audit to support the identified non-compliances.*

## AUDIT WORKING PAPERS

THE FOLLOWING SECTION CONSISTS OF THE AUDIT WORKING PAPERS THAT PROVIDE GUIDANCE TO AUDITORS IN RELATION TO EACH OF THE STANDARDS AND THE EVIDENCE THAT NEEDS TO BE TESTED. THE AUDIT WORKING PAPERS ARE TO BE USED TO RECORD THE AUDIT TESTS THAT WERE CONDUCTED AND THE EVIDENCE GATHERED AND ANALYSED TO SUPPORT AUDIT FINDINGS. THE EVIDENCE WITHIN THE WORKING PAPERS MAY BE USED FOR QUALITY ASSURANCE PURPOSES AS WELL AS TO ASSIST IN THE DECISION-MAKING PROCESS. STANDARDS THAT ARE NOT AUDITED MUST REMAIN PART OF THE WORKING PAPERS – DO NOT DELETE. AUDIT WORKING PAPERS ARE INTERNAL DOCUMENTS AND ARE NOT TO BE ISSUED TO PROVIDERS.

### **FINANCIAL VIABILITY RISK ASSESSMENT REQUIREMENTS**

#### **FVRAR 6      Obligation to submit assessment at initial registration**

- (1) An organisation seeking registration with the National VET Regulator must submit to an assessment of financial viability risk by a qualified independent financial auditor nominated by the National VET Regulator, as part of the assessment of the application for registration
- (2) The assessment will include an assessment of the source and reliability of the evidence supporting the assumptions underlying the projections
- (3) The obligation to submit to the assessment referred to in (1) applies also to parent organisations, affiliated companies or organisations that have a vested interest in the organisation.

#### **FVRAR 9      Assessment to be in required form**

Financial data and information must be submitted to the qualified independent financial assessor nominated by the National VET Regulator in a format that is in accordance with Australian Accounting Standards.

#### **Evidence gathered:**

- FVRA report 15/08/2012 – 26%
- FVRA report 12/09/2012 – 74% (Good).

**Result:**             Compliant       Not Compliant

### **FIT AND PROPER PERSON REQUIREMENTS**

#### **FPPR 5      Persons subject to Fit and Proper Person Requirements**

A person mentioned in FPPR 4 [Criteria for suitability for registration] does not meet the Fit and Proper Person Requirements if the National VET Regulator is satisfied that, having regard to the matters provided in paragraph FPPR 4(a) to (k), one or more of the following people do not meet the Fit and Proper Person Requirements:

- (a) an executive officer of the person referred to in FPPR 4
- (b) a high managerial agent of the person referred to in FPPR 4
- (c) any person or entity which exercises a degree of control or influence over the management or direction of the registered training organisation.

#### **Evidence gathered:**

- DETE RTO4 form – Mr Reece James Rackley (Director) on 18/04/2012
- DETE RTO4 form – Mr Todd McHardy (Director) on 18/04/2012
- DETE RTO4 form – Mr Jack Michael Drinnan (Director) on 18/04/2012.

**Result:**             Compliant       Not Compliant

### **DATA PROVISION REQUIREMENTS**

#### **DPR 4      Student records management system**

- (i) (1) Both applicants seeking initial registration under the Act, and NVR registered training organisations, must have a student records management system that has the capacity to provide the National VET Regulator with AVETMISS compliant data.

#### **DPR 5      Information required upon request**

[Refer to DPR 5 sections (a) to (w), which broadly address: organisation type, business planning, business registration, identification of senior officers, (proposed) scope of registration, delivery strategies and resources, delivery methodologies and target student cohorts, insurance]

#### **Evidence gathered:**

- *Version control and records management policy* – identifies the applicant has purchased aXcelerate
- Sighted aXcelerate software at site audit.

<b>Result:</b>	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
----------------	---	--

**AUSTRALIAN QUALIFICATIONS FRAMEWORK**

**AQF Qualifications Issuance Policy**

The applicant is required to ensure:

- graduates receive the certification documentation to which they are entitled
- AQF qualifications are correctly identified in certification documentation
- AQF qualifications are protected against fraudulent issuance
- a clear distinction can be made between AQF qualifications and non-AQF qualifications
- certification documentation is used consistently across the education and training sectors
- graduates and others are confident that the qualifications they have been awarded are part of Australia's national qualifications framework – the AQF.

**AQF Qualifications Pathways Policy**

The applicant is required to ensure it maximises the credit that students can gain for learning already undertaken, by:

- enhancing student progression into and between AQF qualifications
- recognising the multiple pathways that students take to gain AQF qualifications and that learning can be formal, non-formal or informal
- supporting the development of pathways in qualifications design.

**Evidence gathered:**

- Applicant's *Qualification Issuance Policy*
- Applicant's *Qualifications Pathway Policy*
- Business Plan – identifies study pathways for students which include negotiations with other RTOs for advanced level qualifications.

<b>Result:</b>	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
----------------	---	--

**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.

**Evidence gathered:**

- *Continuous improvement of client services* policy and procedure
- Students – AQTF *learner questionnaire*, to be provided at the conclusion of training and assessment
- Trainers and assessors – provided with an *OFI form* to allow feedback to be briefly noted before being documented on aXcelerate
- Industry (BlueFit Leisure) – AQTF *employer questionnaire*, to be provided to site managers and general managers from each BlueFit Leisure location
- Data will be recorded directly onto aXcelerate (for annual reporting) and a self-developed *feedback analysis record*
- *Register of continuous improvements* – report provided to the CEO and developed by senior management.

<b>Result:</b>	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
----------------	---	--

**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.

**Evidence gathered:**  
*HLTCPR211A Perform CPR / HLTF311A Apply First Aid – Training and assessment strategy*

- The applicant advised the strategy has been designed to be most beneficial for participants employed in the aquatics and fitness industries. Evidence was provided to demonstrate the industry consultation received and how it had contributed to the development of the delivery plan, and training and assessment processes.
- The strategy meets the requirements of the training package, and is supported by an additional document – a resources list.

<b>Result:</b>	<input checked="" type="checkbox"/> Compliant	<input type="checkbox"/> Not Compliant
----------------	---	--

<b>4.3 Staff, facilities, equipment, and training and assessment materials to be used by the applicant meet the requirements of the training package or accredited course and the applicant’s own training and assessment strategies and are developed through effective consultation with industry.</b>
<b>Evidence gathered:</b> <i>HLTCPR211A Perform CPR / HLTF311A Apply First Aid</i> <ul style="list-style-type: none"> <li>• <i>Resources list</i> – provided to the auditor prior to site audit. Equipment and training and assessment materials sighted at audit.</li> <li>• The applicant advised that physical resources will remain at the applicant’s head office in Mt Gravatt for the trainer to take to each workshop.</li> <li>• Training and assessment will occur at BlueFit Leisure locations. Although it was identified each location had first aid equipment which could be utilised for training purposes, the applicant advised it will not use BlueFit Leisure equipment (as the equipment may be required by the facility for real-life purposes).</li> </ul>
<b>Result:</b> <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

<b>4.4 The applicant has a defined strategy, procedures and measures to ensure training and assessment services are conducted by trainers and assessors who:</b>
<p>(a) have the necessary training and assessment competencies as determined by the National Quality Council (NQC) or its successors; and</p> <p>(b) have the relevant vocational competencies* at least to the level being delivered or assessed; and</p> <p>(c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and</p> <p>(d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>
<p>* Vocational competency is defined as broad industry knowledge and experience, usually combined with a relevant industry qualification. A person with vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. Vocational competency must be considered on an industry-by-industry basis and with reference to the guidance provided in the assessment guidelines of the relevant training package.</p>
<b>Evidence gathered:</b> <ul style="list-style-type: none"> <li>• <i>Process of recruitment policy</i></li> <li>• <i>Process of recruitment procedure</i></li> <li>• <i>Induction of trainers procedure</i></li> <li>• <i>Professional development procedure</i></li> <li>• <i>Professional development register.</i></li> </ul>
<b>Result:</b> <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

<b>4.5 The applicant has a defined strategy and procedures in place to ensure assessment, including Recognition of Prior Learning (RPL):</b>
<p>(a) will meet the requirements of the relevant training package or accredited course</p> <p>(b) will be conducted in accordance with the principles of assessment and the rules of evidence</p> <p>(c) will meet workplace and, where relevant, regulatory requirements</p> <p>(d) is systematically validated.</p>
<b>Evidence:</b> <i>HLTCPR211A Perform CPR</i> <ul style="list-style-type: none"> <li>• Assessment workbook</li> <li>• Answer guide for assessors – marking guide</li> <li>• Validation checklist – validates contextualisation, instructions, validation process, industry consultation, fairness, etc</li> <li>• Mapping guide – validates the specific unit of competency</li> </ul> <i>HLTF311A Apply first aid</i> <ul style="list-style-type: none"> <li>• Assessment workbook</li> <li>• Answer guide for assessors – marking guide</li> <li>• Validation checklist – validates contextualisation, instructions, validation process, industry consultation, fairness, etc</li> <li>• Mapping guide – validates the specific unit of competency</li> </ul> <p>The assessment tools addressed all elements of competency, essential knowledge and skills, and critical aspects of evidence. The range statement was covered in a relevant assessment context. The tools were addressed at an appropriate AQF level and included multiple choice, short answer, form-filling and practical modes. Clear instructions were provided to both the assessor and student regarding competent performance requirements.</p>
<b>Result:</b> <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

**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, as follows:

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

**Evidence gathered:**

- The applicant advised the training and assessment strategy, including delivery program, had been developed to specifically meet the needs of employees of BlueFit Leisure
- *Student enrolment form*
- *Student handbook*
- Course brochures for each unit of competency.

**Result:**  Compliant  Not Compliant

**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.**

**Evidence gathered:**

- *Continuous improvement of client services* policy and procedure
- Clients (students) –*AQTF learner questionnaire*, to be provided to students at the conclusion of training and assessment
- Clients (corporate clients – BlueFit Leisure) –*AQTF employer questionnaire*, to be provided to site managers and general managers from each BlueFit Leisure location
- Trainers and assessors –access to aXcelerate to document continuous improvement of client services suggestions
- *Register of continuous improvements*
- The applicant advised that its CEO was also CEO of BlueFit Leisure. Any feedback received from BlueFit Leisure’s senior management by the CEO regarding services provided by the applicant, that had not been communicated directly to the applicant, will be provided to the senior management of the applicant for analysis.

**Result:**  Compliant  Not Compliant

**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.**

**Evidence gathered:**

- *Student handbook*
- *Student enrolment form*
- Course brochure provided for each unit of competency
- Course information sheet provided for each unit of competency.

**Result:**  Compliant  Not Compliant

**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.**

**Evidence gathered:**

- N/A – all training and assessment will be done in workshops, by the applicant’s trainers and assessors.

**Result:**  Compliant  Not Compliant

**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.**

**Evidence gathered:**

- *Student handbook*
- *Student enrolment form*
- *Training needs analysis form.*

**Result:**  Compliant  Not Compliant



<b>5.6</b>	<b>The applicant has a defined process and mechanism in place to ensure learners have timely access to current and accurate records of their participation.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• <i>Student handbook</i> – provides instruction to students as to how to gain access to their records</li> <li>• <i>Access to records request form</i></li> <li>• <i>Version control and records management policy.</i></li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

<b>5.7</b>	<b>The applicant has a defined complaints and appeals process that will ensure learners' complaints and appeals are addressed effectively and efficiently.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• <i>Student handbook</i> – process documented for students</li> <li>• <i>Complaints register</i></li> <li>• <i>Complaints and assessment appeals form.</i></li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

**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:**

<b>6.1</b>	<b>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.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• The applicant has an administration team and senior management team, each with defined roles and responsibilities, who will manage operations to ensure clients receive services detailed in their agreement</li> <li>• The team will be supported by aXcelerate as a total student and RTO management database</li> <li>• The team will be further supported by documented policies and procedures to consistently manage operations</li> <li>• <i>Student enrolment form</i></li> <li>• <i>Student handbook.</i></li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

<b>6.2</b>	<b>The applicant has a defined strategy for the implementation of a systematic continuous improvement approach to the management of operations.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• <i>Continuous improvement policy and procedure</i></li> <li>• Clients (students and corporate clients) – <i>AQTF learner and employer questionnaire</i>; will be collected from all staff (trainers and assessors, administration and senior management) by documenting all opportunities for improvement in aXcelerate.</li> <li>• The applicant demonstrated how aXcelerate has been formatted to ensure all improvement opportunities, feedback and general notes will be organised in a manner that allows the opportunities to be related to appropriate legislation and regulation</li> <li>• As per its documented policy and procedure, analysis of the data will be undertaken by senior management and reported to the CEO</li> <li>• <i>Register of continuous improvements.</i></li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

<b>6.3</b>	<b>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.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• N/A</li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

<b>6.4</b>	<b>The applicant has a defined strategy and process to manage records to ensure their accuracy and integrity.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• <i>Version control and records management policy</i></li> <li>• Records will be managed from within aXcelerate.</li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

**SNR 7    The applicant has adequate governance arrangements, as follows:**

<b>7.1</b>	<b>The applicant must demonstrate to the National VET Regulator:</b>
	<ul style="list-style-type: none"> <li>(a) <b>what its intended objectives as an RTO are</b></li> <li>(b) <b>that it has undertaken business planning</b></li> <li>(c) <b>the continuing viability, including financial viability, of its proposed operations.</b></li> </ul>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• <i>Business plan 2013-2016</i></li> <li>• Financial compilation report from Qgr Accountants Pty Ltd</li> <li>• Profit and loss projections for 24 months.</li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

<b>7.2</b>	<b>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.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• <i>CEO responsibility statement</i></li> <li>• The applicant will utilise aXcelerate to record evidence of meetings, other notes, the trainer and assessor <i>OFl form</i>, and other trainer and assessor feedback</li> <li>• Information recorded will be analysed by senior management and reported to the CEO for continuous improvement opportunities.</li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

<b>7.3</b>	<b>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.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• <i>CEO responsibility statement.</i></li> <li>• The applicant provided evidence to identify how the CEO will ensure he held responsibility and maintained compliance with the VET Quality Framework and any national guidelines. Central to the process is the software system aXcelerate, and evidence was provided to demonstrate it was utilised by all staff. The system was then utilised as an analysis and reporting tool.</li> <li>• The applicant advised meetings between senior management (who will manage the day to day business operations) and the CEO will be undertaken on a monthly basis to review analysis reports and feedback.</li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

**SNR 8    Interactions with National VET Regulator**

<b>8.1</b>	<b>The application for initial registration must be accompanied by a self-assessment report of the applicant's compliance with the VET Quality Framework.</b>
<b>8.2</b>	<b>The applicant's chief executive must identify how it will ensure that the applicant will co-operate with the National VET Regulator:</b>
	<ul style="list-style-type: none"> <li>(a) <b>in the conduct of audits and the monitoring of its operations</b></li> <li>(b) <b>by providing accurate and timely data relevant to measures of its performance</b></li> <li>(c) <b>by providing information about significant changes by its operations</b></li> <li>(d) <b>by providing information about significant changes to its ownership;</b></li> <li>(e) <b>in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.</b></li> </ul>

**Evidence gathered:**

- Initial Registration Self Assessment Report
- Statement relating to the cooperation by the CEO with the Regulator
- Policy on changes to organisational status
- *Version control and records management policy.*

**Result:**  Compliant  Not Compliant

**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.**

**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.**

**Evidence gathered:**

- Trainer induction process
- *Student handbook.*

**Result:**  Compliant  Not Compliant

**SNR 10 Insurance**

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

**Evidence gathered:**

- Vero Insurance Limited policy - \$10,000,000; as an "Accredited and non accredited training consultants or RTO auditors"; expiry 15/05/2013.

**Result:**  Compliant  Not Compliant

**SNR 11 Financial management for initial registration**

**11.1 (ii) 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.**

**Evidence gathered:**

- Statement the applicant will comply with requests and report on financial activity and status as required.

**Result:**  Compliant  Not Compliant

**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**
- the applicant's refund policy.**

**Evidence gathered:**

- *Student Handbook* – information in the handbook includes total fees and charges, fees and charges for additional services, payment terms and refund policy
- *Student Handbook* – information within the "access and equity" and "our commitment to you" sections provides information about the nature of the guarantee to complete training and assessment once a student has enrolled.

**Result:**  Compliant  Not Compliant

- 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:**
- (iii) (a) (Option 1) the RTO is administered by a state, territory or Commonwealth government agency
  - (iv) (b) ~~(Option 2) the RTO holds current membership of an approved Tuition Assurance Scheme [not available]~~
  - (v) (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
  - (vi) (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
  - (e) (Option 5) the RTO has alternative fee protection measures of equal rigour approved by the National VET Regulator.

**Evidence guidance:**

- This standard is only to be considered not applicable if applicant reports it will receive no fees in advance, either from enrolled students themselves or from corporate clients that nominate students to be enrolled
- Option 1 is acceptable if applicant identifies itself as a government agency upon application
- Option 2 is not available until further advice is issued by the National Standards Council
- Option 3 does not protect student fees; operational processes are required to demonstrate how applicant will ensure it will not receive payments from or on behalf of each student over the maximum limit identified in the standard
- Option 4 requires documented confirmation of unconditional guarantee to cover unlimited prepayments for a period of at least 5 years.
- Option 5 requires documentary evidence of approval from ASQA.

Fee protection option/s nominated by applicant:

- Not applicable   
 Option 1   
 ~~Option 2~~   
 Option 3   
 Option 4   
 Option 5

**Evidence gathered:**

- *Student Handbook* – evidence the cost of training and assessment will not exceed \$1,000 each (delivering units of competency only).

**Result:**     Compliant     Not Compliant

**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 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
- c) includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use.

**Evidence gathered:**

- Example statements of attainment.

**Result:**     Compliant     Not Compliant

**Findings of non-compliance:**

- The applicant provided example statements of attainment which did not meet the Australian Qualification Framework (AQF) requirements. Wording on the statements were not consistent with requirements identified on the National Quality Council Special Bulletin 02/08/2011.

**Rectification received 06/08/2012:**

- The applicant provided revised example statements of attainment which meets the Australian Qualifications Framework requirements.

**12.2 The applicant must confirm that it will recognise the AQF qualifications and statements of attainment issued by any other RTO.**

**Evidence gathered:**

- *Student Handbook* – Recognition of Prior Learning / Credit Transfer Process.

**Result:**     Compliant     Not Compliant

<b>12.3</b>	<b>The applicant must retain client records of attainment of units of competency and qualifications for a period of 30 years.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• <i>Version control and records management policy</i> – includes procedures for retaining records for 30 years.</li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

<b>12.4</b>	<b>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.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• N/A</li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

<b>12.5</b>	<b>The applicant must meet the requirements for implementation of a national unique student identifier.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• N/A</li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

**SNR 13 Strategy for accuracy and integrity of marketing**

<b>13.1</b>	<b>The applicant must demonstrate that its proposed marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.</b>
<b>13.2</b>	<b>The applicant demonstrates that it will use the NRT logo only in accordance with its conditions of use.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• Example advertisement.</li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant

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

<b>14.1</b>	<b>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.</b>
<b>14.2</b>	<b>The applicant must identify how it will manage the transition from superseded accredited courses so that it will deliver only currently endorsed training packages or current accredited courses.</b>
<b>Evidence gathered:</b>	
<ul style="list-style-type: none"> <li>• <i>RTO Manual</i> – includes a procedure to transition Training Packages or upon the expiry of accredited courses.</li> </ul>	
<b>Result:</b>	<input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant