





(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; or

(e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.

Original finding: Compliant

Following rectification: n/a

**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.**

Original finding: Compliant

Following rectification: n/a

**23.2 The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.**

Original finding: Not audited

Following rectification: n/a

**23.3 The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.**

Original finding: Not audited

Following rectification: n/a

**23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]**

This element was not audited.

**23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]**

This element was not audited.

**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.**

Original finding: Compliant

Following rectification: n/a



**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.**

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

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

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

- Addressing all the non-compliances identified at audit will demonstrate the NVR registered training organisation's chief executive has ensured the NVR registered training organisation complies with the VET Quality Framework across all of its operations.

*Analysis of rectification evidence:*

- The organisation has provided evidence addressing all the non-compliances identified at audit demonstrating the NVR registered training organisation's chief executive has ensured the NVR registered training organisation complies with the VET Quality Framework across all of its operations.

**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.**

**Original finding:** Compliant

**Following rectification:** 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.**

**Original finding:** Not audited

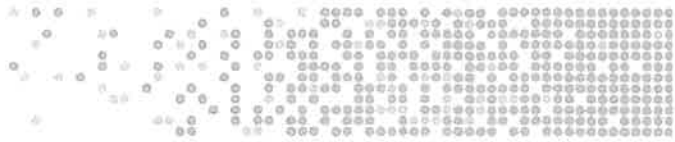
**Following rectification:** n/a

**SNR 20 Compliance with legislation**

**20.1 The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.**



	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.2</b>	<b>The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.3</b>	<b>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.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.4</b>	<b>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.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.5</b>	<b>Learners receive training, assessment and support services that meet their individual needs.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.6</b>	<b>Learners have timely access to current and accurate records of their participation and progress.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.7</b>	<b>The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>SNR 17</b>	<b>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:</b>	
<b>17.1</b>	<b>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.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>17.2</b>	<b>The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.</b>	
	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>17.3</b>	<b>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.</b>	
	<b>Original finding:</b> Not compliant	<b>Following rectification:</b> Compliant



Analysis of the above material determined the assessment does not meet all requirements of the unit of competency (SNR 15.5a). Furthermore, the evidence does not demonstrate assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b).

The evidence provided does not demonstrate that assessment:

- addresses knowledge evidence requirements including but not limited to 'need for stress management techniques and available support; privacy and confidentiality requirements; importance of debriefing'
- ensures the candidate demonstrate the ability to effectively do the task outlined in the Elements in particular 'Evaluate own performance'
- has ensured sufficient evidence has been considered prior to a judgement of competency being made.

*During the audit the organisation provided evidence of updated and enhanced assessment tools for the above unit of competency which address the non-compliances identified. No further rectification evidence is required for this unit of competency.*

**SIS50310 Diploma of Outdoor Recreation**  
**TAE40110 Certificate IV in Training and Assessment**  
**TAEASS402B Assess competence**

- Assessment materials for the above unit of competency comprise:
  - Activity 2 - Assessment terminology short answer
  - Activity 8 - Develop trial and review knowledge test x 3
  - Activity 9 - Prepare and conduct assessment - parts of units
  - Activity 10 - Prepare for and conduct an RPL assessment - simulated case study – Amanda
  - Activity 11 - Competency based assessment quiz
  - Review of assessment tool and process
  - Observer checklist and report - observed behaviours

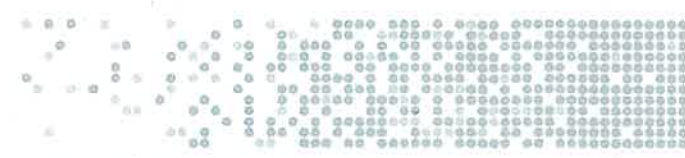
Analysis of the above material determined the assessment does not meet all requirements of the unit of competency (SNR 15.5a). Furthermore, the evidence does not demonstrate assessment is conducted in accordance with the principles of assessment and the rules of evidence (SNR 15.5b).

The evidence provided does not demonstrate that assessment:

- addresses critical aspects for assessment and evidence including but not limited to evidence of the ability to:
  - assess competence of a number of candidates within the vocational education and training context against different units of competency or accredited curricula, following the relevant assessment plan
  - cover an entire unit of competency and show:
    - the application of different assessment methods and instruments involving a range of assessment activities
- has ensured sufficient evidence has been considered prior to a judgement of competency being made.

**TAE40110 Certificate IV in Training and Assessment**  
**TAEDES402A Use training packages and accredited courses to meet client needs**

- Assessment materials for the above unit of competency comprise:
  - Activity 1 - web research unpack training package
  - Activity 2 - unit of competency quiz
  - Activity 3 - research
  - Activity 6 - Conduct a training needs analysis
  - Activity 7 - Design and document the learning Program



**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.**

**Original finding:** Compliant

**Following rectification:** n/a

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

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

**HLT21112 Certificate II in Emergency Medical Service First Response**

- The documented training and assessment strategy for the above qualification indicated the organisation was only offering individual units of competency, and not the full qualification. These units have been superseded and as such the strategy does not meet the requirements of the HLT Health Training package.

*Upon clarification of this issue with the organisation, it immediately applied to have the qualification removed from its scope of registration as it did not support the focus of operations for the RTO (ASQAnet – 1066924). No further rectification required regarding this clause.*

**15.3 Staff, facilities, 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.**

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- As non-compliance was identified in SNR 15.4 and 15.5 the organisation has not demonstrated staff and assessment materials are consistent with the requirements of the applicable training package.

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

- Provide evidence to satisfactorily address the non-compliances identified in SNR 15.4 and 15.5

*Analysis of rectification evidence:*

- The organisation provided evidence to satisfactorily address the non-compliances identified in SNR 15.4 and 15.5

**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 Skills Standards 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**

scuba diving industry.

- The RTO currently has partnership agreements with diving facilities for the delivery of specified units from the HLT training package
- Training and assessment services are provided on a fee for service basis at its own premises or at diving facilities contracted through a partnership agreement.

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

- 306

#### AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
HLT21112	Certificate II in Emergency Medical Service First Response	Face to face	0
SIS30413	Certificate III in Outdoor Recreation	Other - RPL	109
SIS50310	Diploma of Outdoor Recreation	Other - RPL	0
SIT20213	Certificate II in Hospitality	Mixed	1
SIT30112	Certificate III in Tourism	Mixed	1
TAE40110	Certificate IV in Training and Assessment	Face to face	21
22100VIC	Course in Basic Oxygen Administration	Face to face	30
AHCLPW305A	Perform diving for scientific purposes	Mixed	0

\*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

#### INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Greg Knapp	CEO	n/a
Jim Holiday	Director	n/a
Karen White	Operations	SIS30413, SIS50310
Susan Tragear	Training	TAE40110, SIT20213, SIT30112
Dorothy Reid	Compliance Manager	22100VIC, HLT21112

#### ORIGINAL AUDIT FINDING AT TIME OF AUDIT

##### Audit finding as at 18/09/2014: Minor non-compliance

- 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.