# Audit Report

## VET Quality Framework

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

## Organisation Details

<table>
<thead>
<tr>
<th>Organisation’s legal name/s</th>
<th>EZY PEZY AUSTRALIA PTY LTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trading name/s</td>
<td>Formation Training</td>
</tr>
</tbody>
</table>

## Audit Team

<table>
<thead>
<tr>
<th>Lead auditor</th>
<th>Pauline Bowtell</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auditors</td>
<td>Anthony Barkey</td>
</tr>
<tr>
<td>Technical adviser/s</td>
<td>N/A</td>
</tr>
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</table>

## Audit Details

<table>
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<tr>
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</tr>
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<tbody>
<tr>
<td>Audit number</td>
<td>1003084</td>
</tr>
<tr>
<td>Activity type</td>
<td>Site visit</td>
</tr>
<tr>
<td>Address of site/s visited</td>
<td>36 Bernays Road, Wynnum West, QLD</td>
</tr>
<tr>
<td>Date/s of audit</td>
<td>23 April 2013</td>
</tr>
<tr>
<td>Organisation’s contact for audit</td>
<td>Ronald Thomason</td>
</tr>
<tr>
<td></td>
<td><a href="mailto:rjthomason@optusnet.com.au">rjthomason@optusnet.com.au</a></td>
</tr>
</tbody>
</table>

| NVR Standards audited      | All Essential Standards for Initial Registration | Specify selected Essential Standards # |

BACKGROUND

David, Ron and Jeff have been working with TAFE for many years with a specific focus on distance delivery. The organisation intends on focusing on business qualifications initially; however, the trainers and assessors have a strong background in construction and building. It is expected that the organisation will expand its scope to include building and construction qualifications at a later date. The organisation will offer distance delivery supported by face to face and webinar sessions. Clients will include individuals and possibly corporate clients into the future.

It was identified by the auditor and organisation that five of the ten qualifications sought by the organisation have been superseded since the organisation submitted its application. At the audit the organisation was resourced and prepared for both the superseded and current qualifications.

AUDIT SAMPLE

<table>
<thead>
<tr>
<th>Code</th>
<th>Qualification / Accredited course name</th>
<th>Mode(s) of delivery &amp;/or assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>BSB30110/BSB30112</td>
<td>Certificate III in Business</td>
<td>□ Apprenticeship □ Distance □ Face to face □ Online □ Mixed □ Workplace □ Traineeship □ Other – specify</td>
</tr>
<tr>
<td>BSB30407/BSB30412</td>
<td>Certificate III in Business Administration</td>
<td>□ Apprenticeship □ Distance □ Face to face □ Online □ Mixed □ Workplace □ Traineeship □ Other – specify</td>
</tr>
<tr>
<td>BSB40207/BSB40212</td>
<td>Certificate IV in Business</td>
<td>□ Apprenticeship □ Distance □ Face to face □ Online □ Mixed □ Workplace □ Traineeship □ Other – specify</td>
</tr>
<tr>
<td>BSB40507</td>
<td>Certificate IV in Business Administration</td>
<td>□ Apprenticeship □ Distance □ Face to face □ Online □ Mixed □ Workplace □ Traineeship □ Other – specify</td>
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<tr>
<td>BSB40807/BSB40812</td>
<td>Certificate IV in Frontline Management</td>
<td>□ Apprenticeship □ Distance</td>
</tr>
<tr>
<td>Code</td>
<td>Course Description</td>
<td>Delivery Method</td>
</tr>
<tr>
<td>--------------</td>
<td>---------------------------------------------</td>
<td>-------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>BSB41507/BSB41513</td>
<td>Certificate IV in Project Management</td>
<td>□ Face to face □ Online □ Mixed □ Workplace □ Traineeship □ Other – specify</td>
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<td>BSB40407</td>
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<td>BSB51107</td>
<td>Diploma of Management</td>
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<td>Position</td>
<td>Qualification/course</td>
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<tr>
<td>-------------------------</td>
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</tr>
<tr>
<td>Ron Thomason</td>
<td>CEO</td>
<td>N/A</td>
</tr>
<tr>
<td>Jeffery Mark Brennan</td>
<td>Trainer and assessor</td>
<td>BSB41507 Certificate IV in Project Management/BSB41513 Certificate IV in Project Management</td>
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<tr>
<td></td>
<td></td>
<td>BSB51107 Diploma of Management</td>
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</table>
AUDIT FINDING

ORIGINAL AUDIT FINDING

Audit finding as at Thursday, 23 May 2013. The organisation has not demonstrated compliance with one or more compliance requirements examined for the audit.

Level of non-compliance: minor
The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
If non-compliance has been identified, this audit report describes evidence of the non-compliance. Refer to Notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following additional evidence received Click here to enter a date.
Choose an item.

AUDIT FINDING BY REQUIREMENT

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

<table>
<thead>
<tr>
<th>Standard</th>
<th>Original finding</th>
<th>Following rectification</th>
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</thead>
<tbody>
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<td>SNR 4</td>
<td>Not-compliant</td>
<td>Choose an item.</td>
</tr>
<tr>
<td>SNR 5</td>
<td>Compliant</td>
<td>Not audited</td>
</tr>
<tr>
<td>SNR 6</td>
<td>Compliant</td>
<td>Not audited</td>
</tr>
<tr>
<td>SNR 7</td>
<td>Compliant</td>
<td>Not audited</td>
</tr>
<tr>
<td>SNR 8</td>
<td>Compliant</td>
<td>Not audited</td>
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<tr>
<td>SNR 9</td>
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<tr>
<td>SNR 10</td>
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<tr>
<td>SNR 11</td>
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<tr>
<td>SNR 12 / AQF</td>
<td>Not-compliant</td>
<td>Choose an item.</td>
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<td>SNR 13</td>
<td>Compliant</td>
<td>Not audited</td>
</tr>
<tr>
<td>SNR 14</td>
<td>Compliant</td>
<td>Not audited</td>
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</table>
### SNR 4: The applicant must have strategies in place to provide quality training and assessment across all of its operations as follows:

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

Select one:

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

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

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

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

- please provide requirements or enter N/A

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

- please provide reasons for finding non-compliance or enter N/A
### 4.2 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
- [x] 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:**
- please provide reasons for finding non-compliance or enter N/A

**In order to become compliant the organisation is required to:**
- please provide requirements or enter N/A

**Analysis of rectification evidence**
- please enter analysis of rectification evidence or enter N/A

**Audit finding following review of rectification evidence**
- [ ] The organisation has demonstrated compliance with the requirements of this element.
- [ ] The organisation has not demonstrated compliance with the requirements of this element.

**Reason for finding of non-compliance:**
- please provide reasons for finding non-compliance or enter N/A

### 4.3 Staff, facilities, equipment, and training and assessment materials to be used by the applicant meet the requirements of the Training Package or VET accredited course and the applicant’s own training and assessment strategies and are developed through effective consultation with industry.

Select one:

- [ ] Compliance with the requirements of this element was not examined
- [x] 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:**
- please provide reasons for finding non-compliance or enter N/A

**In order to become compliant the organisation is required to:**
- please provide requirements or enter N/A
### Analysis of rectification evidence

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

### Audit finding following review of rectification evidence

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

#### Reason for finding of non-compliance:
- Please provide reasons for finding non-compliance or enter N/A

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#### 4.4

The applicant has a defined strategy, procedures and measures to ensure training and assessment services are conducted by trainers and assessors who:

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

Select one:

- [ ] Compliance with the requirements of this element was **not examined**
- [x] 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:
- Please provide reasons for finding non-compliance or enter N/A

#### In order to become compliant the organisation is required to:
- Please provide requirements or enter N/A

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### Analysis of rectification evidence

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

### Audit finding following review of rectification evidence

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

#### Reason for finding of non-compliance:
- Please provide reasons for finding non-compliance or enter N/A
4.5 The applicant has a defined strategy and procedures in place to ensure assessment, including Recognition of Prior Learning (RPL):

(a) will meet the requirements of the relevant Training Package or VET accredited course;
(b) will be conducted in accordance with the principles of assessment and the rules of evidence;
(c) will meet workplace and, where relevant, regulatory requirements; and
(d) is systematically validated.

Select one:

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

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

- BSBFIA302A Process payroll
- BSBITU307A Develop keyboarding speed and accuracy
- BSBADM406B Organise business travel/BSBADM406B Organise business travel
- BEBVRT401A Write complex documents
- BSBFIA402A Report on financial activity
- BBSMB403A Market the small business
- BSBPMG405A Apply human resources management approaches/BSBPMG413A Apply project human resources management approaches
- BSBPMG407A Apply project risk management techniques/BSBPMG415A Apply project risk management techniques
- BBSUS501A Develop workplace policy and procedures for sustainability
- BSBPMG510A Manage projects/BSBPMG522A Undertake project work

The observation/third-party checklists do not include instructions for the student, assessor or third-party. Furthermore, there is no context or purpose to guide the observation and the checklist does not include clear guidance to ensure performance standards are consistent with the requirements of the training package and that assessment is conducted consistently.

In order to become compliant the organisation is required to:

Provide the observation/third-party assessment instruments which include instructions for the student, assessor and/or third-party, a clear context or purpose to guide the observation and the guidance that ensures performance standards are consistent with the requirements of the training package and that assessment is conducted consistently for:

- BSBFIA302A Process payroll
- BSBITU307A Develop keyboarding speed and accuracy
- BSBADM406B Organise business travel/BSBADM406B Organise business travel
- BEBVRT401A Write complex documents
- BSBFIA402A Report on financial activity
- BBSMB403A Market the small business
- BSBPMG405A Apply human resources management approaches/BSBPMG413A Apply project human resources management approaches
- BSBPMG407A Apply project risk management techniques/BSBPMG415A Apply project risk management techniques
- BBSUS501A Develop workplace policy and procedures for sustainability
- BSBPMG510A Manage projects/BSBPMG522A Undertake project work.
Analysis of rectification evidence

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

Audit finding following review of rectification evidence

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

Reason for finding of non-compliance:

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

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

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

Select one:

- 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:

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

In order to become compliant the organisation is required to:

- Please provide requirements or enter N/A

Analysis of rectification evidence

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

Audit finding following review of rectification evidence

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

Reason for finding of non-compliance:

- Please provide reasons for finding non-compliance or enter N/A
5.2  The applicant has a strategy in place for the implementation of continuous improvement of client services informed by the analysis of relevant data.

Select one:

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

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

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

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

- please provide requirements or enter N/A

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

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

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

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

Select one:

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

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

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

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

- please provide requirements or enter N/A

**Analysis of rectification evidence**
Audit finding following review of rectification evidence

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<tr>
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<th>The organisation has demonstrated compliance with the requirements of this element.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The organisation has not demonstrated compliance with the requirements of this element</td>
</tr>
</tbody>
</table>

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

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

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

Select one:

- 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:**

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

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

- please provide requirements or enter N/A

Analysis of rectification evidence

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

Audit finding following review of rectification evidence

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<tr>
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<th>The organisation has demonstrated compliance with the requirements of this element.</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>The organisation has not demonstrated compliance with the requirements of this element</td>
</tr>
</tbody>
</table>

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

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

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

Select one:

- Compliance with the requirements of this element was not examined
Initial registration audit report – EZY PEZY AUSTRALIA PTY LTD

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

Select one:

☒ 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:

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

In order to become compliant the organisation is required to:

• please provide requirements or enter N/A

Analysis of rectification evidence

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

Audit finding following review of rectification evidence

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

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

Reason for finding of non-compliance:

• please provide reasons for finding non-compliance or enter N/A
Reason for finding of non-compliance:

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

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

<table>
<thead>
<tr>
<th>Select one:</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Compliance with the requirements of this element was <strong>not examined</strong></td>
</tr>
<tr>
<td>✗ The organisation has <strong>demonstrated</strong> compliance with the requirements of this element.</td>
</tr>
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<td>☐ The organisation has <strong>not demonstrated</strong> compliance with the requirements of this element.</td>
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Reasons for finding of non-compliance:

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In order to become compliant the organisation is required to:

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Analysis of rectification evidence

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Audit finding following review of rectification evidence

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

Reason for finding of non-compliance:

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

<table>
<thead>
<tr>
<th>6.1</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Select one:</td>
<td></td>
</tr>
<tr>
<td>☐</td>
<td>Compliance with the requirements of this element was not examined</td>
</tr>
<tr>
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<td>please provide reasons for finding non-compliance or enter N/A</td>
</tr>
</tbody>
</table>

| 6.2 | The applicant has a defined strategy for the implementation of a systematic continuous improvement approach to the management of operations. |
| Select one: |                                                                                                                                 |
| ☐ | Compliance with the requirements of this element was not examined                                                                 |
| ✗ | The organisation has demonstrated compliance with the requirements of this element.                                                    |
| ☐ | The organisation has not demonstrated compliance with the requirements of this element.                                                   |
| Reasons for finding of non-compliance: |                                                                                                                                 |
| • | please provide reasons for finding non-compliance or enter N/A                                                                 |
| In order to become compliant the organisation is required to: |                                                                                                                                 |
Initial registration audit report – EZY PEZY AUSTRALIA PTY LTD

<table>
<thead>
<tr>
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</tbody>
</table>

**Reason for finding of non-compliance:**
- please provide reasons for finding non-compliance or enter N/A

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

Select one:
- 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:**
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<td>- The organisation has <strong>not demonstrated</strong> compliance with the requirements of this element.</td>
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**Reason for finding of non-compliance:**
- please provide reasons for finding non-compliance or enter N/A
### 6.4 The applicant has a defined strategy and process to manage records to ensure their accuracy and integrity.

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:**

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

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

- please provide requirements or enter N/A

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

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

---

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

### 7.1 The applicant must demonstrate to the National VET Regulator;

(a) what its intended objectives as an RTO are;

(b) that it has undertaken business planning, and

(c) the continuing viability, including financial viability, of its proposed operations.

Select one:

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

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

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

**In order to become compliant the organisation is required to:**
7.2 The applicant must also demonstrate how it will ensure the decision making of senior management is informed by the experiences of its trainers and assessors.

Select one:

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

**Reasons for finding of non-compliance:**
- Please provide reasons for finding non-compliance or enter N/A

**In order to become compliant the organisation is required to:**
- Please provide requirements or enter N/A

### Analysis of rectification evidence

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

### Audit finding following review of rectification evidence

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

**Reason for finding of non-compliance:**
- Please provide reasons for finding non-compliance or enter N/A
7.3 The applicant’s Chief Executive must identify how he or she will ensure that it will comply with the VET Quality Framework and any national guidelines approved by the National Quality Council or its successors. This applies to all of the operations within the applicant’s intended scope of operation.

Select one:

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

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

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

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

- please provide requirements or enter N/A

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

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

---

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

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

Select one:

- 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:**

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

**In order to become compliant the organisation is required to:**
Initial registration as a national VET regulator (NVR) registered training organisation (RTO)

Analysis of rectification evidence

- please provide requirements or enter N/A

Audit finding following review of rectification evidence

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Reason for finding of non-compliance:

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

8.2 The applicant's chief executive must identify how it will ensure that the applicant will cooperate with the National VET Regulator:

(a) in the conduct of audits and the monitoring of its operations;
(b) by providing accurate and timely data relevant to measures of its performance;
(c) by providing information about significant changes by its operations;
(d) by providing information about significant changes to its ownership; and
(e) in the retention, archiving, retrieval and transfer of records consistent with the National VET Regulator's requirements.

Select one:

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Reasons for finding of non-compliance:

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

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

Analysis of rectification evidence

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

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Reason for finding of non-compliance:

- please provide reasons for finding non-compliance or enter N/A
### SNR 9: Compliance with legislation

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

Select one:

- [ ] Compliance with the requirements of this element was not examined
- [x] 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:**

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

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

- please provide requirements or enter N/A

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

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

#### 9.2 The applicant must identify how it will inform staff and clients of the legislative and regulatory requirements that affect their duties or participation in vocational education and training

Select one:

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

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

- The organisation has identified legislative and regulatory requirements which affect staff; however, it has not identified how it will inform clients of the legislative and regulatory requirements that affect their participation in vocational education and training.
In order to become compliant the organisation is required to:

- Evidence how it will identify and inform clients of the legislative and regulatory requirements that effect their participation in vocational education and training.

### Analysis of rectification evidence

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

### Audit finding following review of rectification evidence

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

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

### SNR 10: Insurance

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

Select one:

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

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

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

### Analysis of rectification evidence

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### Audit finding following review of rectification evidence

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

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<tr>
<th>SNR 11:</th>
<th>Financial management for initial registration</th>
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### 11.1 The applicant must be able to demonstrate to the National VET Regulator, on request, that it will be financially viable at all times during the period of its registration.

Select one:

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

**In order to become compliant the organisation is required to:**
- please provide requirements or enter N/A

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

**Audit finding following review of rectification evidence**
- The organisation has **demonstrated** compliance with the requirements of this element.
- The organisation has **not demonstrated** compliance with the requirements of this element.

**Reason for finding of non-compliance:**
- please provide reasons for finding non-compliance or enter N/A

### 11.2 The applicant must identify how it will provide the following fee information necessary for continuing registration 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 RTO 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 applicant’s refund policy.

Select one:

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

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

- the student information does not detail the fees and charges for additional services such as issuance of a replacement qualification or reassessment
- the student information does not detail 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.

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

- Provide updated student information which details the fees and charges for additional services such as issuance of a replacement qualification and reassessment.
- Provide updated student information which details 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.

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

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

**11.3 Where the applicant intends collecting student fees in advance it must ensure it will comply with one of the following acceptable options for continuing registration:**

(a) (Option 1) the RTO is administered by a state, territory or Commonwealth government agency;

(b) (Option 2) the RTO holds current membership of an approved Tuition Assurance Scheme [not available];

(c) (Option 3) the RTO may accept payment of no more than $1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed $1,500;

(d) (Option 4) the RTO holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the RTO which are prepayments from students (or future students) for tuition to be provided by the RTO to those students; or

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

[Option not available]

**Fee protection option/s nominated by organisation:**

<table>
<thead>
<tr>
<th>Option 1</th>
<th>Option 2</th>
<th>Option 3</th>
<th>Option 4</th>
<th>Option 5</th>
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<tr>
<td>☒ Not applicable</td>
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</table>
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:**

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

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

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

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

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

12.1 The applicant must identify how it will issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:

(a) meets the Australian Qualifications Framework (AQF) requirements;
(b) identifies the RTO by its national provider number from the National Register; and
(c) includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use.

Select one:

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

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

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

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

- The statement of attainment template includes the following words "this qualification is recognised within the Australian Qualifications Framework" and "A summary of the employability skills developed through this qualification can be downloaded from ...". The statement of attainment does not meet the NQC Special Bulletin.
In order to become compliant the organisation is required to:

- Provide an updated statement of attainment which meets the NQC Special Bulletin.

### Analysis of rectification evidence

- The organisation provided an updated statement of attainment which meets the NQC Special Bulletin requirements.

### Audit finding following review of rectification evidence

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<td>The organisation has <strong>not demonstrated</strong> compliance with the requirements of this element.</td>
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#### Reason for finding of non-compliance:

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

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

Select one:

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

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

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

### Analysis of rectification evidence

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

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

- please provide reasons for finding non-compliance or enter N/A
12.3 The applicant must retain client records of attainment of units of competency and qualifications for a period of 30 years.

Select one:

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

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

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

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

- please provide requirements or enter N/A

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

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

12.4 The applicant must identify how it will provide returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator.

Select one:

- 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:**

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

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

- please provide requirements or enter N/A

**Analysis of rectification evidence**
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**Reason for finding of non-compliance:**

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

### 12.5 The applicant must meet the requirements for implementation of a national unique student identifier.

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:**

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

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

- please provide requirements or enter N/A

### Analysis of rectification evidence

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

- please provide reasons for finding non-compliance or enter N/A
## SNR 13: Strategy for accuracy and integrity of marketing

### 13.1 The applicant must demonstrate that its proposed marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.

Select one:

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

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

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

- please provide requirements or enter N/A

### Analysis of rectification evidence

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

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### 13.2 The applicant demonstrates that it will use the NRT logo only in accordance with its conditions of use.

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

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

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### Analysis of rectification evidence

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

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

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

**14.1** The applicant must identify how it will manage the transition from superseded training packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.

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

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

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

- please provide requirements or enter N/A

### Analysis of rectification evidence

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### Audit finding following review of rectification evidence

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

- please provide reasons for finding non-compliance or enter N/A
14.2 The applicant must identify how it will manage the transition from superseded VET accredited courses so that it will deliver only currently endorsed training packages or current VET accredited courses.

Select one:

- [ ] Compliance with the requirements of this element was **not examined**
- [x] 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:**

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

In order to become compliant the organisation is required to:

- please provide requirements or enter N/A

**Analysis of rectification evidence**

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

**Audit finding following review of rectification evidence**

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

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

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

I can confirm that I received your email addressing the rectification requirements along with the 12 attachments. The evidence has closed out all non-compliance and I note the additional improvements/changes you have made.

I just need a formal email from Ron as the CEO confirming the following qualifications are to be replaced as part of the application for initial registration. Once I have this is can send the report to the Manager to be finalise.

BSB30110 Certificate III in Business replace with BSB30112 Certificate III in Business
BSB30407 Certificate III in Business Administration replace with BSB30412 Certificate III in Business Administration
BSB40207 Certificate IV in Business replace with BSB40212 Certificate IV in Business
BSB40807 Certificate IV in Frontline Management BSB40812 Certificate IV in Frontline Management
BSB41507 Certificate VI in Project Management replace with BSB41513 Certificate IV IN Project Management

Thank you and I hope all is well

Pauline Bowtell
Principal Compliance Auditor

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