



Australian Government
Australian Skills Quality Authority

17 March 2015

Mr J. Wilson
Chief Executive Officer
Monarch Institute Pty Ltd
Level 6, 10 – 16 Queen Street
Melbourne VIC 3000
By email to: josh@monarch.edu.au

RTO ID: 22530
Audit No: 1006580

Dear Mr Wilson

Re: Audit finalised

This notice is to advise that the recent post-initial audit conducted on Monarch Institute Pty Ltd has been finalised and that your registered training organisation (RTO) has been noted for its ongoing compliance with the VET Quality Framework as relevant to the scope of the audit.

The findings of this audit will contribute to the records retained of your RTO's compliance history and to the risk rating assigned to your organisation.

A copy of the final audit report is attached for your reference.

Thank you for your organisation's cooperation throughout this audit activity.

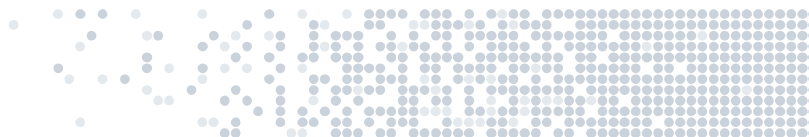
You are reminded that an ongoing condition of your registration is compliance with the VET Quality Framework.

Further information and assistance

If you require further information or assistance in relation to this matter, please contact Fred Garai on telephone (03) 8613 3992 or by email at compliancemelbourne@asqa.gov.au.

Yours sincerely

Jan Mulcahy
Regional Manager, Compliance Melbourne



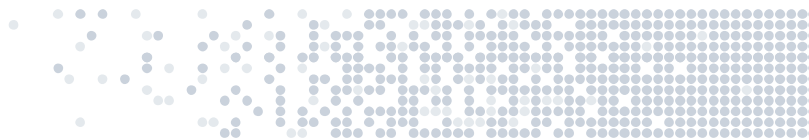
Audit report – VET Quality Framework

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

ORGANISATION DETAILS	
Organisation's legal name	Monarch Institute Pty Ltd
Trading name/s	Monarch Institute Pty Ltd
RTO number	22530
CRICOS number	N/A

AUDIT TEAM	
Lead auditor	F. Garai
Auditor/s	N/A
Technical adviser/s	N/A

AUDIT DETAILS	
Application number/s	N/A Post initial
Audit number/s	1006580
Audit reason 1	Post initial To assess ongoing compliance with the VQF – focus is on effective deployment of systems SNR 15, 16.1, 16.3, 16.4, 16.5, 16.7, 17.3, 18.1, 20.2, 21,1, 22.2, 22.3, 23.1, 24.1 & 25
Audit reason 2	n/a specify or delete
Audit reason 3	n/a specify or delete
Activity type	Site visit
Address of site/s visited	Level 6, 10 - 16 Queen Street Melbourne Vic 3000
Date/s of audit	26 - 27 November 2014
Organisation's contact for audit	Mr. Joshua Wilson CEO josh@monarch.edu.au 0487 000 236
NVR standards audited	Selected Standards for Continuing Registration: SNR 15, 16.1, 16.3, 16.4, 16.5, 16.7, 17.3, 18.1, 20.2, 21,1, 22.2, 22.3, 23.1, 24.1 & 25



Audit report – VET Quality Framework

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

BACKGROUND

General organisation information

The registered provider commenced business as a registered training organisation in December 2011, and initially registered with the VRQA, and in 2012 expanded offering their courses to other states, and transferred over to ASQA in May 2012. The registered provider is privately owned by three shareholders and the CEO is an equal substantial shareholder. The registered providers industry focus is the financial services

The CEO has a General Manager that manage's the daily staff operations of the organisation, the general manger, the finance & course development manager and the student services manager report to the CEO on the weekly and monthly operations of the organisation.

Other strategic & operational groups that assist the RTO

The registered provider also utilises contract consultants to assist them with developing and validating training and assessment. The registered provider is not a member of any peak industry association.

General description of RTO location & facilities

The registered provider has it main facilities at:

Level 6, 10 – 16 Queen Street Melbourne Vic 3000

The registered provider uses short term leases facilities for the delivery of training and the conduct of assessment in Sydney and Brisbane.

General description of training modes used by the RTO/organisation

The registered provider provides training using:

Primarily online E-Learning

The registered provider also delivers some of its training via a face to face mode for a small part of the course delivery.

The registered provider also offers the opportunity for local learners to attend a weekly training session on Wednesday evenings from 1800 to 2100, and Saturdays from 0900 to 1300.

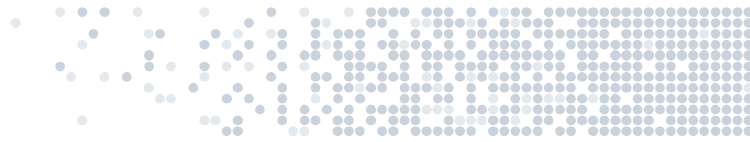
The registered provider offers its training to all states and territories in Australia.

The registered provider does not market or offer its training offshore.

RTO/Organisation scope of registration

The registered provider's scope of registration is from the following training packages

FNS10 Financial Services Training package



The registered provider is registered to deliver the following qualifications

FNS40611 Certificate IV in Accounting

FNS50611 Diploma of Financial Planning

FNS60410 Advanced Diploma of Financial Planning

RTO/organisation current enrolment/s details

The registered providers current enrolment at the time of audit was:

FNS40611 Certificate IV in Accounting = 553 E-learning students

FNS50611 Diploma of Financial Planning = 865 E-Learning students

FNS60410 Advanced Diploma of Financial Planning = 121 E-learning students

RTO/organisation fee or funding information

The registered provider offers its training and services both as a fee for service and government funded provider, the government funding is from Skills Victoria.

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
FNS40611	Certificate IV in Accounting	Online & some face to face	553
FNS50611	Diploma of Financial Planning	Online & some face to face	865
FNS60410	Advanced Diploma of Financial Planning	Online & some face to face	121

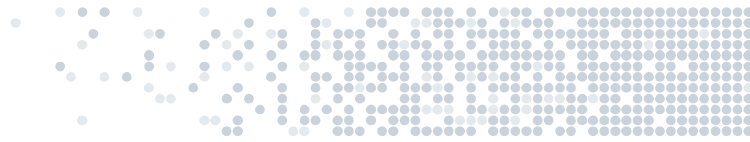
*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Joshua Wilson	CEO	ALL
Cynthia Shannon	Finance course development manager	ALL
Siddhaeth Samuel	Quality compliance consultant	ALL

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 27 November 2014: Significant 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.

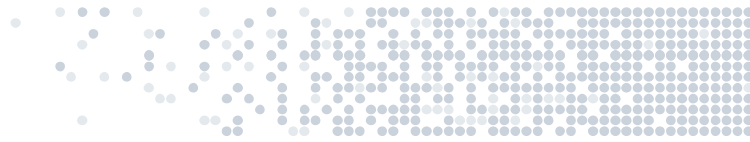


AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 2 February 2015: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Not compliant	Compliant
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Not audited	n/a
SNR 20	Compliant	n/a
SNR 21	Compliant	n/a
SNR 22	Compliant	n/a
SNR 23/AQF	Not compliant	Compliant
SNR 24	Not compliant	Compliant
SNR 25	Not compliant	Compliant



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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

- RTOPRO011 Continuous improvement policy & procedure
- Continuous improvement register
- Student questionnaires completed at end of training

Student feedback positive:

Email feedback form students: Dec 2013, Jan 2014, Mar 2014, June 2014, Sep 2014, Oct 2014, & Nov 2014.

Student feedback negative:

Email feedback form students: Oct 2014

16 July 2014: Business process meeting minutes, Quality compliance.

17 September 2014, 29 September 2014, 8 October 2014, self - assessment from 11 – 12 September 2014

The registered providers evidence does not sufficiently demonstrate how it's:

- processes for analysing the data and planning and implementing improvements are determined e.g. the registered providers Continuous Improvement policy & procedure does not sufficiently detail the who and when processes for data analysing to plan and implement improvements, and
- processes for monitoring continuous improvement activities and for reviewing data collection, continuous improvement processes and outcomes are decided. i.e. the registered providers process for monitoring Continuous Improvement e.g. the entry of data in the Continuous Improvement Register is entered. e.g. two days before the audit modified Training & Assessment Strategies were provided to the auditor, and the modified Training & Assessment Strategies activity was not entered in to the Continuous Improvement Register.

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

Demonstrate that the registered providers continuous improvement policy and procedure has been amended to detail the positions and when processes for analysing the data and planning and implementing improvements are determined

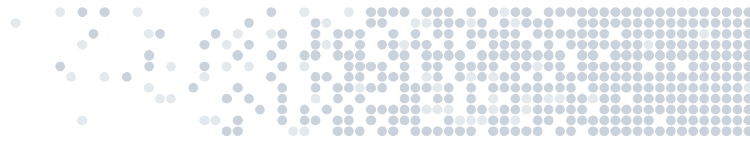
Demonstrate that the continuous improvement register has been updated from 1 July 2014 with the relevant training and assessment continuous improvement activities.

Analysis of rectification evidence:

Rectification evidence analysed:

- RTOPRO011 Continuous ImprovementV2.doc
- Continuous Improvement Register 2011 to 2015.xlsx

The registered providers evidence satisfies the rectification requirements and the standard.



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:

Evidence audited:

Training and assessment strategies for:

- FNS40611 Certificate IV in Accounting
- FNS50611 Diploma of Financial Planning
- FNS60410 Advanced Diploma of Financial Planning

1. The reference cited at the bottom of the packaging rules is incorrect for an AQF nationally recognised qualification/Unit of competency/course, the registered providers reference states:

The Victorian Purchasing Guide (VPG) FNS10 Financial Services Training Package Version No 5, August 2013 provides a range of 570 to 700 Nominal Hours for the completion of this qualification, Monarch Institute's chosen structure equates 610 Nominal Hours which falls within the range stipulated in the VPG.

If the registered provider is also utilizing state government funding then they must ensure the AQF policy requirements is the dominant reference.

2. The Training and Assessment Strategy states that the qualification will be delivered and assessed over a period of 610 nominal hours, this volume of learning (duration) does not satisfy the required volume of learning time period prescribed by the AQF Policy Manual for the qualification. The volume of learning of a Certificate IV is typically 0.5 – 2 years. (Ref. AQF Policy Manual Jan 2013, p. 15.

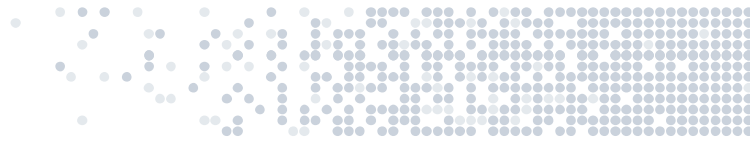
The Training and assessment strategy identifies that learning will be by different modes but does not identify the volume of learning that is applicable to the different delivery modes. E.g. face to face, E-learning, distance/self-paced.

The target client audience identifies a broad range of client learners from learners with no skills and knowledge e.g. school leavers, employees who wish to undertake formal courses to assist in advancing in their careers, to Individuals wanting to get a pathway into becoming a Registered Business Activity Statement (BAS) Agent.

The volume of learning will vary for the client learner target audience range, the registered provider should prescribe the appropriate volume of learning the suit the client learner target audience range in accordance with the AQF requirements for volume of learning.

The learning outcomes are constructed as a taxonomy of what graduates are expected to know, understand and be able to do as a result of learning. They are expressed in terms of the dimensions of knowledge, skills and the application of knowledge and skills. Knowledge is what a graduate knows and understands. It is described in terms of depth, breadth, kinds of knowledge and complexity, as follows:

- depth of knowledge can be general or specialised
- breadth of knowledge can range from a single topic to
- multi-disciplinary area of knowledge
- kinds of knowledge range from concrete to abstract,



- from segmented to cumulative
- complexity of knowledge refers to the combination of
- kinds, depth and breadth of knowledge.

Skills are what a graduate can do. Skills are described in terms of the kinds and complexity of skills and include:

- cognitive and creative skills involving the use of intuitive,
- logical and critical thinking
- technical skills involving dexterity and the use of
- methods, materials, tools and instruments
- communication skills involving written, oral, literacy and numeracy skills
- interpersonal skills and generic skills.

Application of knowledge and skills is the context in which a graduate applies knowledge and skills. Specifically:

- application is expressed in terms of autonomy,
- responsibility and accountability
- the context may range from the predictable to the
- unpredictable, and the known to the unknown, while tasks may range from routine to non-routine.

A volume of learning is included as an integral part of the descriptor for each qualification type. The volume of learning is a dimension of the complexity of the qualification type. It identifies the notional duration of all activities required for the achievement of the learning outcomes specified for a particular AQF qualification type. It is expressed in equivalent full-time years. (Ref p 11 AQF Policy Manual)

3. The Training & Assessment Strategies have not identified entrance pre enrolment/enrolment requirements: e.g. minimum education standard, industry skills, knowledge, & experience, legislative, regulatory requirements e.g. medical restrictions/requirements, any age restrictions i.e. under 18 year olds cannot be enrolled in the course/qualification.
4. The Training & Assessment Strategies did not identify or refer to a reassessment process.
5. The organisation did not provide evidence or refer of how assessment appeals and grievances are to be managed.

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

Demonstrate that the training and assessment strategies have been amended to:

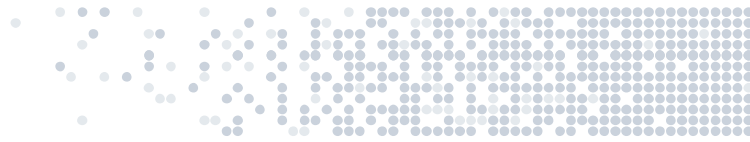
1. Reference packaging rules in accordance with the relevant training package conventions.
2. Clearly identify the volume of learning that is applicable to the different delivery modes.
3. Clearly identify the target learner audience to the volume of learning required by the AQF policy manual.
4. Meet the Principles of Assessment and the Rules of Evidence required by the relevant training packages.

Analysis of rectification evidence:

Rectification evidence analysed:

- 22530Training & Assessment Strategy ACC January 2015 V4_Jan 2015.doc
- 22530Training & Assessment Strategy ADFP January 2015 V4_Jan 2015.doc
- 22530Training & Assessment Strategy DFP January 2015 V4_Jan 2015.doc

The registered providers evidence satisfies the rectification requirements and the standard.



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: Compliant

Following rectification: n/a

15.4 Training and assessment is delivered by trainers and assessors who:
(a) have the necessary training and assessment competencies as determined by the National 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
(d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

Trainer and assessor files for:

Michelle Wenjun Ma: FNS40211 Certificate IV in Bookkeeping, and FNS40611 Certificate IV in Accounting

Jenny Hargreaves: FNS40211 Certificate IV in Bookkeeping, and FNS40611 Certificate IV in Accounting

Ben Dascal, Helen Russo, and Janine Cini/Barakin : FNS50611 Diploma of Financial Planning, and FNS60410 Advanced Diploma of Financial Planning

Michelle Wenjun Ma, Jenny Hargreaves, Ben Dascal, Helen Russo, and Janine Cini/Barakin:

There was no evidence provided to demonstrate that the trainers & assessors have continued to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence in accordance with the NSSC – Determination for Trainer and Assessor competencies 17 June 2013.

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

Demonstrate sufficient evidence that the trainers & assessors have continued to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence in accordance with the NSSC – Determination for Trainer and Assessor competencies 17 June 2013.

Analysis of rectification evidence:

Rectification evidence analysed:

MonarchTrainerAssessorProDevelopStrategyLogJan2015V1.docx

The registered providers evidence satisfies the rectification requirements and the standard.



15.5 Assessment including Recognition of Prior Learning (RPL):
(a) meets the requirements of the relevant Training Package or VET accredited course; and
(b) is conducted in accordance with the principles of assessment and the rules of evidence; and
(c) meets workplace and, where relevant, regulatory requirements; and
(d) is systematically validated.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

RTOPRO031 Training and assessment

RTOPRO023 Recognition of Prior Learning & Credit Transfer

RPL Assessment tools for:

FNS40611 Certificate IV in Accounting

FNS50611 Diploma of Financial Planning

FNS60410 Advanced Diploma of Financial Planning

There were no instructions to the assessor or the candidate on how to conduct the assessment in regards to the standard the candidate is required to meet to be deemed competent and no conditions of the assessment were stated.

There were no assessment instructions for the assessor to assist making decision from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency.

Unit of competency assessment tools:

- FNS40611 Certificate IV in Accounting
- FNS50611 Diploma of Financial Planning
- FNS60410 Advanced Diploma of Financial Planning
- Unit of competency assessment tools for:
- FNSACC404A Prepare financial statements for non-reporting entities
- FNSBKG403A Establish and maintain an accrual accounting system
- FNSCUS505A Determine client requirements and expectations (This unit is a pre-requisite for FNSASICT503A and FNSASICW503A and FNSASICV503A and FNSASICU503A and FNSASICX503A)
- FNSSMS501A Invest self-managed superannuation funds assets
- FNSASICU503A Provide advice in Superannuation
- FNSPRM601A Establish, supervise and monitor practice systems to conform with legislation and regulations
- FNSCUS506A Record and Implement client instructions

The registered providers assessment tools do not meet the relevant training packages requirements for the Principles of Assessment and the Rules of Evidence, the following non-compliances were identified for all of the unit of competency assessment tools and instruments audited:

1. There were no instructions to the assessor or the candidate on how to conduct the assessment in regards to the standard the candidate is required to meet to be deemed competent and no conditions of the assessment were stated.
2. Multiple assessments were identified for a Unit of Competency; it was not clear which



assessments are to determine a student's progress (Formative Assessments) and which assessments are to determine a student's competence against the Unit of Competency (Summative Assessments),

3. There were no assessment instructions for the assessor to assist making decision from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency
4. The registered providers assessment tools do not clearly identify the unit of competency that the assessment is collecting evidence to satisfy.
5. The registered providers assessment tools do not reference the candidates right to appeal against an assessment decision.

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

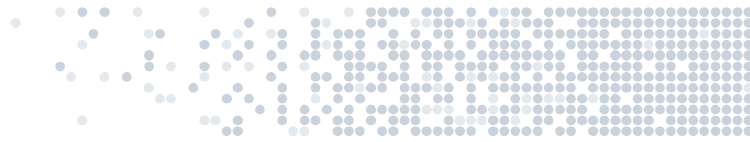
Demonstrate that the RPL assessments and the unit of competency assessments have been amended to be in accordance with the relevant training packages requirements for the Principles of Assessment and the Rules of Evidence.

Analysis of rectification evidence:

Rectification evidence analysed:

- Student instructions regarding multiple choice type assessment for relevant units listed in this report.
- Student instructions regarding workplace simulations type assessment for relevant units listed in this report.
- Student instructions regarding assignment type assessment for relevant units listed in this report.
- Student instructions regarding Perdisco assessment for relevant unit listed in this report.
- Assessor instructions regarding multiple choice type assessment for relevant units listed in this report.
- Assessor instructions regarding workplace simulations type assessment for relevant units listed in this report.
- Assessor instructions regarding assignment type assessment for relevant units listed in this report.
- Assessor instructions regarding Perdisco assessment for relevant unit listed in this report.
- RPL Kits for students for qualifications
- RPL Kits for assessors for qualifications

The registered providers evidence satisfies the rectification requirements and the standard.



SNR 16 The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:

16.1 The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

- RTOPRO025 Student Administration & Records Management
- RTOPRO008 Client enrolment
- ROPRO019 Meeting Student/clients individual needs
- Student information guide
- Web site
- Pre-training review checklist questions completed by admin staff
- Pre-enrolment financial planning
- Separate enrolment forms for the different qualifications, the enrolment forms are available on the registered providers web site

The registered provider could not demonstrate how client services are monitored to ensure the they continue to meet the identified needs

The registered provider has no policy or strategy for not enrolling learners under the age of 18 years, and the Training & Assessment Strategies, and the Student information guide on the website do not state that under 18yr olds are not enrolled.

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

Demonstrate that the registered provider has developed a strategy on how client services will be monitored to ensure that the registered provider continues to meet learner/client needs.

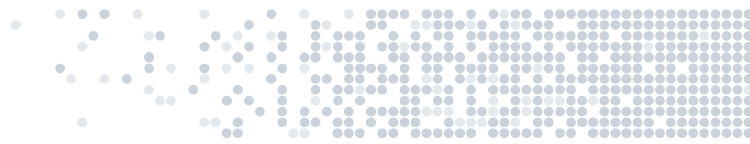
Demonstrate that the relevant documents that provide information to prospective learner/clients, and the registered provider's staff, have been amended to clearly identify if under 18 year olds can enrol in the qualifications/courses being offered by the registered provider.

Analysis of rectification evidence:

Rectification evidence analysed:

- Student Information Guide.
- RTOPRO039 Meeting Needs Of Aboriginal Torres Strait Islander & Disabled Individuals V1.doc
- RTOPRO040 Monitoring & Improving Client Services.

The registered providers evidence satisfies the rectification requirements and the standard.



16.2 The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.

This element was not audited.

16.3 Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.

Original finding: Compliant

Following rectification: n/a

16.4 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.

Original finding: Compliant

Following rectification: n/a

16.5 Learners receive training, assessment and support services that meet their individual needs.

Original finding: Compliant

Following rectification: n/a

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

This element was not audited.

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

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

- RTOPRO009 Complaints policy & procedure
- Student information guide

The registered providers evidence does not have the following complaints & appeals policy/procedure guarantee statement; "that the students enrolment will not be suspended, deferred or cancelled during the complaints & appeals process."

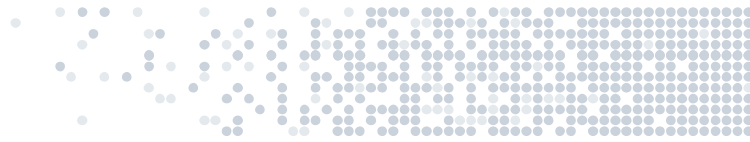
In order to become compliant, the organisation is required to:

Demonstrate that the relevant documents which are referred to, to provide information to the learner/client and the registered providers staff on the rights of the learner/client have been amended to clearly state the registered providers guarantee to uphold the rights of the learner/client during the complaints and appeals process.

Analysis of rectification evidence:

Rectification evidence analysed:

- RTOPRO009 Complaints & AppealsV2.docx



- Complaints & Appeals Form.doc
- Complaints & Appeals Register.xlsx
- Student Information Guide.

The registered providers evidence satisfies the rectification requirements and the standard.

SNR 17 Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:

17.1 The NVR registered training organisation’s management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.

This element was not audited.

17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.

This element was not audited.

17.3 The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

Original finding: Compliant

Following rectification: n/a

17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.

This element was not audited.

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:

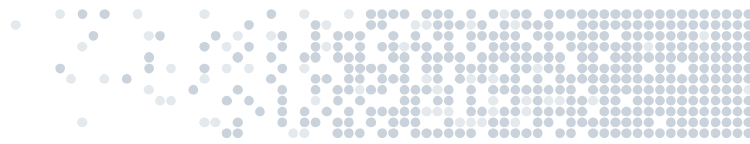
Evidence audited:

Standards: 15.1, 15.2, 15.4, 15.5, 16.1, 16.7, 23.1, 24.1, 25.1, and 25.2

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

Demonstrate that Standards: 15.1, 15.2, 15.4, 15.5, 16.1, 16.7, 23.1, 24.1, 25.1, and 25.2 have been successfully rectified.

Analysis of rectification evidence:



Rectification evidence analysed:

Rectification evidence for SNR's: 15.1, 15.2, 15.4, 15.5, 16.1, 16.7, 23.1, 24.1, 25.1, and 25.2
The registered providers evidence satisfies the rectification requirements and the standard.

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.

This element was not audited.

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.

Original finding: Not audited

Following rectification: n/a

20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Original finding: Compliant

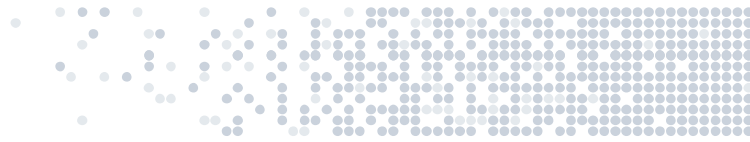
Following rectification: n/a

SNR 21 Insurance

21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.

Original finding: Compliant

Following rectification: n/a



SNR 22 Financial management

22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.

Original finding: Compliant

Following rectification: n/a

22.2 The NVR registered training organisation must provide the following fee information to each client:

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

Original finding: Compliant

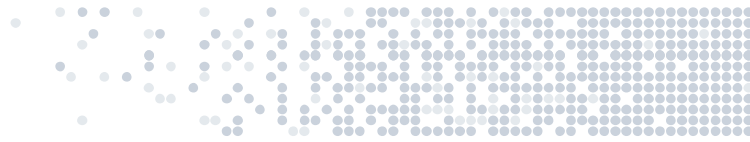
Following rectification: n/a

22.3 Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:

- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;**
- (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;**
- (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;**
- (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; 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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

- Sample Testamur
- Sample Statement of Attainment
- Audible register of testamurs and statements of attainment issued

The registered providers audible register did not satisfy the requirements for the AQF register policy 2.4.2 in that not all of the required information to be demonstrated in the audible register was identified i.e. date of issue/award/conferral.

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

Demonstrate that the registered providers audible register has been amended to satisfy the requirements for the AQF register policy 2.4.2

Analysis of rectification evidence:

Rectification evidence analysed:

140619_Certificate & SOA RegisterV2

The registered providers evidence satisfies the rectification requirements and the standard.

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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

- RTOPRO002 Accuracy & integrity of marketing
- RTOPRO0035 Management review
- RTOPRO037 Governance

The registered providers evidence does not satisfy the standard because:

The registered provider does not have a process of monitoring when its advertising and marketing materials require reviewing and amending. e.g. changes to training packages, changes to fees and charges, legislative and regulatory requirement changes.

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

Demonstrate that the documents referred to for the management of the registered providers marketing and advertising have been amended to show strategies on how the registered provider will monitor when its advertising and marketing materials have to be reviewed and updated.

Analysis of rectification evidence:

Rectification evidence analysed:

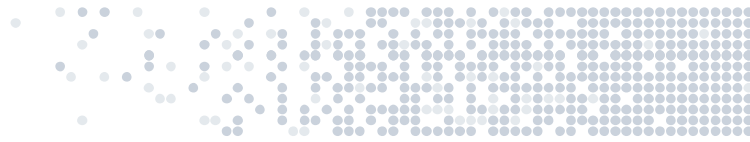
- RTOPRO002 Accuracy & Integrity Of MarketingV2
- RTOPRO011 Continuous ImprovementV2
- RTOPRO037 GovernanceV2
- MON004_Accounting_Brochure 2015 200115
- MON004_AdvFinPlan Brochure 2015 200115
- MON004_FinPlan Brochure 2015 210115

The registered providers evidence satisfies the rectification requirements and the standard.

24.2 The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.

Original finding: Not audited

Following rectification: n/a



SNR 25 Transition to Training Packages/expiry of VET accredited courses

25.1 The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

RTOPRO033 Transition of Training and Packaging expiry of accredited courses

The registered providers evidence does not demonstrate what organisational materials must be updated and amended when a training package is superseded or updated e .g. marketing and advertising materials, student hand book.

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

Demonstrate that registered providers strategy for the transition of training packages has been amended to ensure that key materials are updated when the registered provider has to transition to new training packages, qualifications and or units of competency.

Analysis of rectification evidence:

Rectification evidence analysed:

RTOPRO033 Transition Of Training Packages-Expiry Of Accredited Courses V2

The registered providers evidence satisfies the rectification requirements and the standard.

25.2 The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

Evidence audited:

RTOPRO033 Transition of Training and Packaging expiry of accredited courses

The registered providers evidence does not identify the options that they are required to offer to learners when a training package is superseded or updated. e.g. train out a learner cohort within the allowable time frame before the training package expires, offer a learner cohort the opportunity to transfer to the qualification even if their completion time is within the training package teach out time, transfer a learner cohort at no extra charge to the new training package qualification.

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

Demonstrate that registered providers strategy for the transition of training packages has been amended to ensure that the learner/clients rights and needs are met when the registered provider has to transition to new training packages, qualifications and or units of competency.

Analysis of rectification evidence:

Rectification evidence analysed:

RTOPRO033 Transition Of Training Packages-Expiry Of Accredited Courses V2

The registered providers evidence satisfies the rectification requirements and the standard.