



## Audit report – VET Quality Framework

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

#### ORGANISATION DETAILS

Organisation's legal name	<b>Executive Security Training Pty Ltd</b>
Trading name/s	Sherwood Institute of Australia
RTO number	40526
CRICOS number	N/A

#### AUDIT TEAM

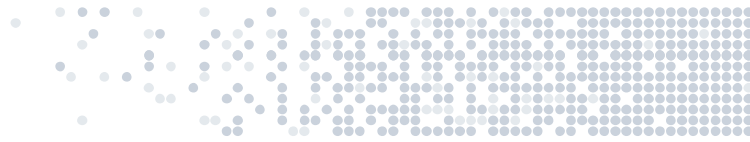
Lead auditor	Denise Middleton
Auditor/s	N/A
Technical adviser/s	N/A

#### AUDIT DETAILS

Application number/s	N/A
Audit number/s	1002322
Audit reason 1	Post initial
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	Suite 3, 1 Aikenside Street, Wacol Q 4076
Date/s of audit	03/02/2014
Organisation's contact for audit	Diwaker Saraswat                      Director info@sherwood.edu.au                      0732711101
NVR standards audited	All Standards for Continuing Registration

#### BACKGROUND

- The business plan is adjusted to meet client demand on a regular basis.
- All marketing is through word of mouth.
- The organisation no longer delivers security qualifications in other States because of the differing legislative requirements of each State. Initially the organisation had delivered security training in other States, including South Australia.
- The organisation does not have any partnerships with other organisations.
- The structures of the organisation consists of a Chief Executive Officer, Compliance Officer, Administration Officer, external Consultant and six full-time trainers.
- The target market of the organisation is unemployed persons, school students and persons looking to



change their profession who have an interest in security.

- The organisation has a funded contract with the Queensland government to deliver Certificate III in Security Operations. All other training and assessment is fee for service.
- At the time of the audit, the organisation had not delivered any training except to the security industry.

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

- The organisation has six students enrolled in security qualifications.

<b>AUDIT SAMPLE</b>			
<b>Code</b>	<b>Qualification/Course/Unit name</b>	<b>Mode/s of delivery/assessment*</b>	<b>Current enrolments (If not yet on scope, record N/A)</b>
CPP20212	Certificate II in Security Operations	Face to face	2
CPP30411	Certificate III in Security Operations	Face to face	4
TLI31610	Certificate III in Transport and Logistics (Warehousing and Storage)	Face to face	N/A
TAE40110	Certificate IV in Training and Assessment	Face to face	N/A
BSB30412	Certificate III in Business Administration	Face to face	N/A
BSB51107	Diploma of Management	Face to face	N/A

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

<b>INTERVIEWEES</b>		
<b>Name</b>	<b>Position</b>	<b>Qualification/Course/Unit code/s</b>
Rajat Saraswat	Compliance Officer	N/A

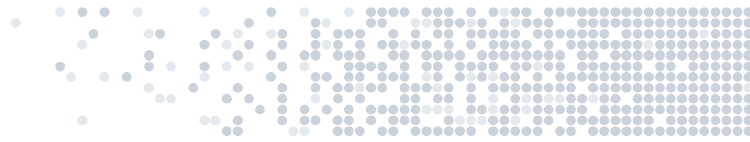
#### **ORIGINAL AUDIT FINDING AT TIME OF AUDIT**

##### **Audit finding as at 03/02/2014: Minor non-compliance**

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

#### **AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE**

##### **Audit finding following analysis of additional evidence provided on 04/02/2014: Compliant**



<b>AUDIT FINDING BY STANDARD</b>		
<b>Standard</b>	<b>Original finding</b>	<b>Finding following rectification</b>
SNR 15	Compliant	n/a
SNR 16	Compliant	n/a
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Compliant	n/a
SNR 20	Compliant	n/a
SNR 21	Compliant	n/a
SNR 22	Not compliant	Compliant
SNR 23/AQF	Compliant	n/a
SNR 24	Compliant	n/a
SNR 25	Compliant	n/a



**SNR 15 The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:**

**15.1 The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.**

**Original finding:** Compliant

**Following rectification:** n/a

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

**Original finding:** Compliant

**Following rectification:** n/a

**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:** Compliant

**Following rectification:** n/a

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

**Original finding:** Compliant

**Following rectification:** n/a

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

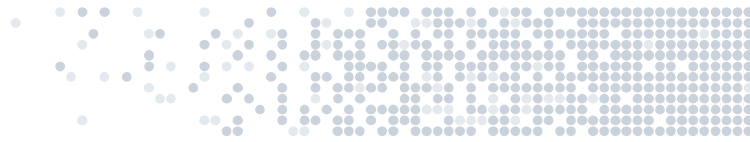
**16.1 The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.**

**Original finding:** Compliant

**Following rectification:** n/a



<b>16.2</b>	<b>The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.</b>	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.3</b>	<b>Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.</b>	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.4</b>	<b>Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.</b>	<b>Original finding:</b> Not audited	<b>Following rectification:</b> n/a
<b>16.5</b>	<b>Learners receive training, assessment and support services that meet their individual needs.</b>	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.6</b>	<b>Learners have timely access to current and accurate records of their participation and progress.</b>	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>16.7</b>	<b>The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>SNR 17</b>	<b>Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:</b>		
<b>17.1</b>	<b>The NVR registered training organisation's management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.</b>	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>17.2</b>	<b>The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.</b>	<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>17.3</b>	<b>The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.</b>	<b>Original finding:</b> Not audited	<b>Following rectification:</b> n/a



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

**Original finding:** Compliant

**Following rectification:** n/a

**SNR 18 The NVR registered training organisation has governance arrangements in place as follows:**

**18.1 The NVR registered training organisation's Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation's scope of registration, as listed on the National Register.**

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- The non-compliance identified at audit demonstrates the organisation's Chief Executive has not ensured the organisation complies with the VET Quality Framework.

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

- Address the non-compliance identified at audit to demonstrate the Chief Executive has ensured compliance with the VET Quality Framework.

*Analysis of rectification evidence:*

- The organisation addressed the non-compliance identified at audit demonstrating the Chief Executive has ensured compliance with the VET Quality Framework.

**18.2 The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.**

**Original finding:** Compliant

**Following rectification:** n/a

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

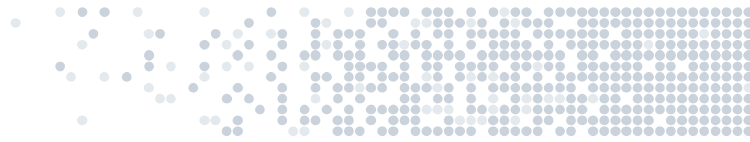
**19.1 The NVR registered training organisation must co-operate with the National VET Regulator:**  
**(a) in the conduct of audits and the monitoring of its operations;**  
**(b) by providing accurate and timely data relevant to measures of its performance;**  
**(c) by providing information about significant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

**Original finding:** Compliant

**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:** Compliant

**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:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- The organisation could not provide evidence to demonstrate 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.

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

- The organisation is to provide evidence to demonstrate 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.



*Analysis of rectification evidence:*

- The organisation provided evidence of 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. This information has now been included in the student handbook.

<b>22.3</b>	<b>Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:</b> <b>(a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;</b> <b>(b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;</b> <b>(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;</b> <b>(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</b> <b>(e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a

**SNR 23 Certification, issuing and recognition of qualifications & statements of attainment**

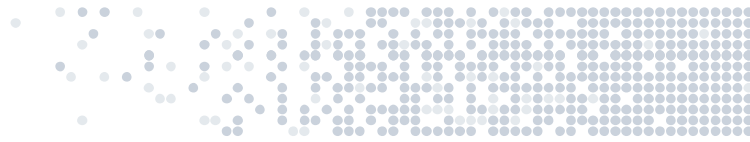
<b>23.1</b>	<b>The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:</b> <b>(a) meets the Australian Qualifications Framework (AQF) requirements;</b> <b>(b) identifies the NVR registered training organisation by its national provider number from the National Register and</b> <b>(c) includes the NRT logo in accordance with its current conditions of use.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a

<b>23.2</b>	<b>The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a

<b>23.3</b>	<b>The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a

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

This element was not audited.

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

This element was not audited.

#### **SNR 24 Accuracy and integrity of marketing**

**24.1 The NVR registered training organisation must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.**

**Original finding:** Compliant

**Following rectification:** n/a

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

**Original finding:** Compliant

**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:** Compliant

**Following rectification:** n/a

**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 audited

**Following rectification:** n/a