



Audit report – VET Quality Framework

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

ORGANISATION DETAILS	
Organisation's legal name	Maxis Solutions Pty Ltd
Trading name/s	Maxis Solutions
RTO number	91428
CRICOS number	N/A

AUDIT TEAM	
Lead auditor	Dallas Cox
Auditor/s	N/A
Technical adviser/s	N/A

AUDIT DETAILS	
Application number/s	1044456
Audit number/s	1004887
Audit reason 1	Application - renewal
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	Level 10, Suite 3 Chatswood Central – South Tower 1-5 Railway Street, Chatswood NSW 2067
Date/s of audit	13/02/2014
Organisation's contact for audit	Andrew Croft andrew@maxissolutions.com.au Quality Assurance Manager 0434 399 240; 1300854011
NVR standards audited	Selected Standards for Continuing Registration: SNR 15.1, 15.2, 15.3, 15.4, 15.5, 16.1, 16.2, 16.3, 16.4, 16.5, 16.6, 16.7, 17.1, 17.2, 17.3, 17.4, 18.1, 18.2, 20.1, 20.2, 22.2, 22.3

BACKGROUND	
<ul style="list-style-type: none">• The RTO was first registered by NSW VETAB in 2008, with registration being transferred to ASQA at 1 July 2011.• Between the date the RTO applied for re-registration and the date of the audit, the RTO was sold to a new owner, who is also the CEO (Mr Yazdan Rana).• Under the previous ownership (Ms Pambela Gum) the RTO was providing accredited and non-	



accredited training. The new owner intends to provide only accredited training.

- The RTO is on the Approved Providers List in NSW (for both the Apprenticeship and Traineeship Training Program and the Strategic Skills Program). The RTO has also provided funded training in WA.
- The new CEO is also the financial officer for two other RTOs (Access Training Institute, RTO 91498; and Kirana Training, RTO 52247), both based in Liverpool NSW (at Level 1, Suite 8, 50 Macquarie Street)
- The brother of Maxis Solutions' CEO (Mr Yazdan Rana) owns both Access and Kirana (ie Mr Zeeshan Rana).
- There is a service agreement between Kirana and Maxis under which Kirana provides all services to Maxis: "management services of its operations including administration, sales, marketing, finance, quality assurance, training management, including overseeing facilitation, mentoring and assessment by Maxis Solutions Trainer/Assessors as well as all necessary documentation, records and program development ("The Services") in accordance with its obligations under the Standards for NVR Registered Training Organisations and relevant federal and state funding contracts and guidelines" and will provide "personnel for training and assessment that meet the pre-selection criteria defined within Maxis Solutions Policies and Procedures".
- The CEO advised the auditor that neither Access Training nor Kirana Training will be providing training and assessment services for Maxis Solutions, nor will any other organisation.
- Main fee income proposed by the RTO is based on providing training on a "fee for service" basis; however, the RTO is on approved provider lists for "user choice" funding.
- At this stage the RTO (as advised by its new owner) proposes only to deliver in NSW (at Chatswood and Liverpool) but ultimately in other jurisdictions as well.
- The QA Manager and CEO advised that some investigation of the RTO was completed before it was purchased from the previous owner, but there were issues that only became evident following the sale. For example, the new owner will use VETtrak as a student records management system; the previous owner used Wisenet and an Access database. VETtrak is managing the transfer of records, which is proving difficult.
- The previous owner was using SmallPrint training, learning and assessment resources. The new owner, QA Manager and Training Manager advised that they do not consider these suitable and, for some qualifications, new resources are still being developed (ie for BSB20211, ICA20111 and ICA30111).
- The new CEO, QA Manager and Training Manager assured the auditor that no students would be enrolled in BSB20211, ICA20111 and ICA30111 until all resources required had been developed and validated, met Training Package requirements and were consistent with the RTO's new BSB20211, ICA20111 and ICA30111 training and assessment strategies that were provided at the site audit.
- A new business plan has been developed for the RTO (ie under its new ownership) and was available at the audit.
- The new owner (with the assistance of Kirana Training) has developed completely new policies, procedures and forms, as well as information for staff, students and employers for Maxis Solutions. These documents, some of which are still at the development and/or review stage, will be implemented as Maxis commences to build its enrolments and becomes fully operational under its new ownership.
- Marketing information is still being developed under the new ownership. In preparing for the audit, the auditor identified non-compliant information on the RTO's website and informed the CEO and QA Manager of this at the site audit. The website was subsequently removed, with the only information publicly available being a statement that the site was under construction.
- Because the new owner will be using completely new management systems, policies, procedures, etc and new training, learning and assessment materials, supported by new training and assessment strategies, there was, at this re-registration audit, no evidence of implementation of the new processes to be used to provide training, assessment, student support or management services. Consequently the auditor advised the RTO that he would be recommending ASQA conduct a 12-month follow-up audit of Maxis Solutions.

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

- 12 In Cert III in Business (BSB30110) in teach-out
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AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
TAE40110	Certificate IV in Training and Assessment	Face-to-face classroom-based	nil
BSB40812	Certificate IV in Frontline Management	traineeship	nil
ICA20111	Certificate II in Information, Digital Media and Technology	Face-to-face classroom-based	nil
ICA30111	Certificate III in Information, Digital Media and Technology	Face-to-face classroom-based	nil
BSB20211	Certificate II in Customer Contact	traineeship	nil

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

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Mr Yazdan Rana	CEO	N/A
Mr Andrew Croft	Quality Assurance Manager	N/A
Ms Courtney Neary	Training Manager	N/A
Ms Michelle Dunham	QA Officer	N/A

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 19/02/2014: 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 26/03/2014: Compliant

AUDIT FINDING BY STANDARD

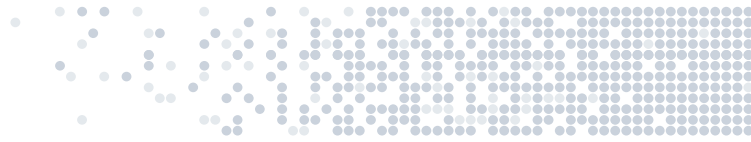
Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Not compliant	Compliant
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant



SNR 19	Not audited	n/a
SNR 20	Not compliant	Compliant
SNR 21	Not audited	n/a
SNR 22	Not compliant	Compliant
SNR 23/AQF	Not audited	n/a
SNR 24	Not audited	n/a
SNR 25	Not audited	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:	Not compliant
Following rectification:	Compliant
<i>Reasons for finding of non-compliance:</i>	
ICA20111 Certificate II in Information, Digital Media and Technology	
ICA30111 Certificate III in Information, Digital Media and Technology	
BSB20211 Certificate II in Customer Contact	
<ul style="list-style-type: none">• For the qualifications listed above the RTO is still to develop training material which are consistent with the requirements of the relevant training package and its own training and assessment strategies.• Assessment material has not been developed or accessed for the units of competency sampled in SNR 15.5. Therefore, the RTO is not compliant against this standard.	
<i>In order to become compliant, the organisation is required to:</i>	
ICA20111 Certificate II in Information, Digital Media and Technology	
ICA30111 Certificate III in Information, Digital Media and Technology	
BSB20211 Certificate II in Customer Contact	
<ul style="list-style-type: none">• Provide evidence that it has training materials that are consistent with the requirements of the relevant Training Packages (BSB07 and ICA11) and its own training and assessment strategies for qualifications listed.• Provide evidence that the training materials have been developed through effective consultation with industry.• Provision of rectification evidence to address the non-compliances identified against SNR 15.5, if determined compliant, will satisfy the requirements of this standard.	
<i>Analysis of rectification evidence:</i>	
<ul style="list-style-type: none">• The applicant provided 'learner guides for BSBCCO203A and BSBCUS201B from BSB Certificate II in Customer Contact. Furthermore, the applicant's response provided with the rectification evidence advised it has access to commercial resources for ICA20111 Certificate II in Information, Digital Media and Technology and ICA30111 Certificate III in Information, Digital Media and Technology.	



- Provision of rectification evidence to address the non-compliances identified against SNR 15.5, was compliant, and now satisfy the requirements of this standard.

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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

ICA20111 Certificate II in Information, Digital Media and Technology

ICAICT205A Design basic organisational documents using computing packages

ICAICT206A Install software applications

ICA30111 Certificate III in Information, Digital Media and Technology

ICAICT302A Install and optimise operating system software

ICASAS306A Maintain equipment and software

BSB20211 Certificate II in Customer Contact

BSBCCO203A Conduct customer contact

BSBCUS201B Deliver a service to customers

- For the qualifications and units of competency listed above the RTO was unable to provide evidence it has access to or has developed assessment material.

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

ICA20111 Certificate II in Information, Digital Media and Technology

ICAICT205A Design basic organisational documents using computing packages

ICAICT206A Install software applications

ICA30111 Certificate III in Information, Digital Media and Technology

ICAICT302A Install and optimise operating system software

ICASAS306A Maintain equipment and software

BSB20211 Certificate II in Customer Contact

BSBCCO203A Conduct customer contact

BSBCUS201B Deliver a service to customers

- Provide a suite of assessment tools/tasks for all the units of competency listed above which



fully address all units requirements, including performance criteria, required knowledge and skills, critical aspects for assessment and evidence required to demonstrate competency; the context of and specific resources for assessment requirements; and any mandatory range statement as defined in the unit of competency.

- The assessment tools/tasks provided must include clear instructions to students and assessors about the assessment requirements, including but not limited to, the context and purpose of assessment, how and when assessment will be conducted, under what conditions and how assessment will be recorded.
- The assessment tools/tasks provided must contain or be accompanied with assessment criteria defining the acceptable level of performance required to be demonstrated by students for all assessment tools/tasks to ensure training package requirements are met and ensure consistency in the judgements made across assessors/students and decisions of competence can be substantiated.
- Furthermore, provide evidence that the RTO's assessment processes and materials have been validated to ensure training package, qualification and units of competency requirements have been addressed and ensures assessment will be conducted in accordance with the principles of assessment and rules of evidence and meet workplace requirements.

Analysis of rectification evidence:

ICA20111 Certificate II in Information, Digital Media and Technology

ICAICT205A Design basic organisational documents using computing packages

Assessment tools/tasks consisted of:

- Written assessment – comprised of 23 short answer questions
- Supervisor report
- Assessor observation

ICAICT206A Install software applications

Assessment tools/tasks consisted of:

- Written assessment – comprised of 23 short answer questions
- Supervisor report
- Assessor observation

ICA30111 Certificate III in Information, Digital Media and Technology

ICAICT302A Install and optimise operating system software

Assessment tools/tasks consisted of:

- Written assessment – comprised of short answer questions, case scenarios, practical activities
- Supervisor report
- Assessor observation

ICASAS306A Maintain equipment and software

Assessment tools/tasks consisted of:

- Written assessment – comprised of short answer questions, case scenarios, practical activities
- Supervisor report
- Assessor observation



BSB20211 Certificate II in Customer Contact

BSBCCO203A Conduct customer contact

Assessment tools/tasks consisted of:

- Written assessment – comprised of 24 short answer questions
- Supervisor report
- Assessor observation checklist

BSBCUS201B Deliver a service to customers

Assessment tools/tasks consisted of:

- Written assessment – comprised of 20 short answer questions
 - Supervisor report
 - Assessor observation checklist
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- The suite of assessment tools/tasks provided fully address all units requirements, including performance criteria, required knowledge and skills, critical aspects for assessment and evidence required to demonstrate competency; the context of and specific resources for assessment requirements; and any mandatory range statement as defined in the unit of competency.
 - The assessment tools/tasks provided included clear instructions to students and assessors about the assessment requirements, including but not limited to, the context and purpose of assessment, how and when assessment will be conducted, under what conditions and how assessment will be recorded.
 - The assessment tools/tasks provided were accompanied with assessment criteria defining the acceptable level of performance required to be demonstrated by students for all assessment tools/tasks to ensure training package requirements are met and ensure consistency in the judgements made across assessors/students and decisions of competence can be substantiated.
 - Evidence was provided demonstrated the RTO's assessment processes and materials have been validated to ensure training package, qualification and units of competency requirements have been addressed and ensures assessment will be conducted in accordance with the principles of assessment and rules of evidence and meet workplace requirements.

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

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

Original finding: Compliant

Following rectification: n/a

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: Not compliant

Following rectification: Compliant



Reasons for finding of non-compliance:

- The RTO (under its new ownership) did not have available at the audit clear, accurate information that it could provide to prospective students about each qualification on its scope, including information about the content of the qualification, entry requirements, mode of delivery and assessment requirements.
- Information provided in one section of the student handbook about reassessment was not consistent with information provided in another section and was not consistent with information provided in a document entitled “Your Learning Journey”, which was also to be provided to students.

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

BSB20211 Certificate II in Customer Contact

BSB40812 Certificate IV in Fronline Management

ICA20111 Certificate II in Information, Digital Media and Technology

ICA30111 Certificate III in Information, Digital Media and Technology

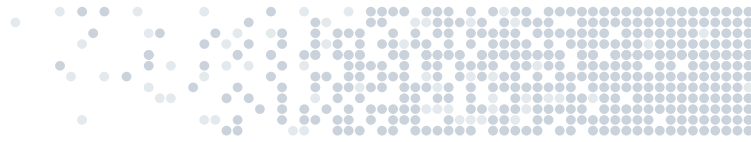
TAE40110 Certificate IV in Training and Assessment

- For all qualifications sampled in this audit, provide evidence of how the organisation informs its indended clients about the training, assessment and support services to be provided, and about their rights and obligations which is:
 - Sufficient for them to make an informed decision prior to enrolment
 - Accurately describes the training, assessment and support services to be provided.

Analysis of rectification evidence:

- The organisation provided course flyers, student handbook and pre-enrolment information.
- The evidence provided demonstrated how the organisation informs its indended clients about the training, assessment and support services to be provided, and about their rights and obligations which is:
 - Sufficient for them to make an informed decision prior to enrolment
 - Accurately describes the training, assessment and support services to be provided.

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.
Original finding:	Compliant
Following rectification:	n/a



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:

- Information in the student handbook and in the staff handbook (“The Official Maxis Solutions Team Member Handbook”) does not clearly explain the difference between an appeal against a decision the RTO makes regarding a student’s complaint and an appeal a student may make against an assessment decision.
- The grounds on which a student may appeal an assessment decision are not explained to students or staff (in the respective handbooks), and the time specified for lodging an appeal (28 days) would not benefit a student, could have an adverse affect on their progress through their training program, and could result in the student having to pay a re-assessment fee.

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

- Provide evidence that it makes available to its staff and students clear information about:
 - (a) a student’s right to complain and to appeal the decision the RTO makes regarding the student’s complaint
 - (b) a student’s right to appeal an assessment decision, the grounds on which an appeal can be lodged and the process that will be followed.

Analysis of rectification evidence:

- The organisation provided student handbook and team member handbook.
- The evidence provided demonstrates the organisation will provide clear information to have complaints and appeals addressed efficiently and effectively.

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.

Original finding: Compliant

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a

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.

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:

- As non-compliances have been identified against other SNR Standards as identified in this report, the CEO has not ensured that the RTO complies with the VET Quality Framework which applies to all of its operations and its scope of registration.

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

- The provision of rectification evidence to address all non-compliances identified in this report, if determined compliant, will satisfy the requirements of this standard. Therefore, no further evidence is required to directly address this standard.

Analysis of rectification evidence:

- The rectification evidence provided to address all non-compliances identified in this report, has been determined compliant, and satisfies the requirements of this 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.

Original finding: Compliant

Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

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

Original finding: Not audited

Following rectification: n/a

SNR 20 Compliance with legislation

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

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The RTO has a policy on “Legislation & Regulations”. There is nothing in that policy to show



how the RTO identifies the legislation and regulatory requirements that are relevant to its operations and scope of registration. The policy is not supported by any clear procedure to show how the RTO would do this. The policy does not accord with information provided in the staff handbook.

- The policy is only supported by general guidelines stating that “Chief Executive Officer assigns Senior Management to have responsibility and authority to ensure the company complies with all Government legislation and regulations relevant to the RTO’s operations” and “Senior Management are responsible for providing all new staff at their induction with access to information detailing legislation and regulatory information pertinent to their duties”. However, some information provided to the staff is not clear and does not explain how it affects their duties (as noted below at SNR 20.2)
- The policy lists some Commonwealth and WA legislation and some regulatory requirements. Some of this is not relevant to the RTO; significant legislation that is relevant to the RTO is not listed (eg the NVR Act); and the list includes the 2007 Australian Quality Training Framework Essential Standards for Registration. Also, as noted above, the policy does not accord with information provided in the staff handbook.

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

- Provide evidence that it identifies relevant Commonwealth, state and territory legislation and regulatory requirements relevant to its operations and its scope of registration and complies with that legislation.

Analysis of rectification evidence:

- Evidence provided consisted of ‘australian privacy principles policy’; student handbook; team member handbook; privacy policy on website.
- Provided evidence identifies relevant Commonwealth, state and territory legislation and regulatory requirements relevant to its operations and its scope of registration and complies with that legislation.

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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- Information in the staff handbook (“The Official Maxis Solutions Team Member Handbook”) does not clearly explain significant legislation that affects the duties of staff (eg the NVR Act)
- Information in the staff handbook includes legislation that affects the participation in VET of some students of the RTO directly. That information is written in the second person (“you”) as though the students were being addressed, but the information is in the staff handbook and not provided in the student handbook.
- As noted at SNR 20.1, the RTO’s policy provides staff with a list of legislation, some of which is not relevant to the RTO, whereas significant legislation that is relevant to the RTO and its staff is not listed and is not consistent with the list of legislation and information included in the staff handbook.
- The brief information provided to staff and students in their respective handbooks (the same information) about the NVR Act is not sufficient to explain to staff how the NVR Act affects their duties and how it affects the participation in VET of students.
- No information was provided to show that students completing a traineeship are informed of the state or territory legislation that affects them as trainees.



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

- Provide evidence that demonstrates it ensures its staff and clients are fully informed of the legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Analysis of rectification evidence:

- Evidence provided consisted of '2014 APP implementation emails'; student handbook; team member handbook and project summary for implementing Australian Privacy Principles policy.
- The evidence provided demonstrates that staff and clients are fully informed of the legislative and regulatory requirements that affect their duties or participation in vocational education and training.

SNR 21 Insurance

21.1	The NVR registered training organisation must hold public liability insurance throughout its registration period.	
	Original finding: Not audited	Following rectification: n/a

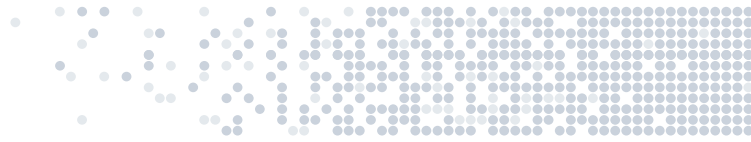
SNR 22 Financial management

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: Not audited	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 RTO did not provide copies of pre-enrolment information it makes available to prospective students about the qualifications on its scope (as noted at SNR 16.3), including the total amount of course fees, and did not provide clear information about payment terms.
- From the enrolment form provided at audit, it appears a student could pay all fees upfront, on



enrolment, regardless of the cost.

- The Student Fees and Charges Policy contains contradictions: “Fees can be paid in full or an initial deposit of one semester’s fee is payable on enrolment.” Examples of fees are included (eg \$1,995.00 is charged for Certificate II courses) that indicate the RTO would accept more than permitted under Option 3 of SNR 22.3. However, later in the same document there is information that indicates the RTO intends to use Option 3 of SNR 22.3, but it explains this as tuition fee protection, which it is not.
- Information provided in one section of the student handbook about reassessment is not consistent with information provided in another section and not consistent with information provided in a document entitled “Your Learning Journey”, which is provided to students. This document explains to students: “You are allowed one re-submission [of an assessment], without incurring any costs.” However, that information does not accord with the student handbook. Therefore the options available to students who wish to be re-assessed or who are deemed not yet competent are not clear, nor are the fees charged for any associated service(s).
- No information about administration fees for traineeships was evident in the documents reviewed at audit; ie neither for learners nor their employers.

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

- Provide evidence that demonstrates the RTO provides clear and accurate information to clients (both to prospective students and to employers of trainees) about:
 - (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
 - (c) the fees and charges relating to re-assessment, and the RTO’s rules governing re-assessment
 - (d) the options available to students who are deemed not yet competent on completion of training and assessment.

Analysis of rectification evidence:

- Evidence provided consisted of student handbook and ‘student fees and charges policy’.
- Evidence demonstrates the RTO provides clear and accurate information to clients (both to prospective students and to employers of trainees) about:
 - the total amount of all fees, including course fees, administration fees, materials fees and any other charges
 - payment terms, including the timing and amount of fees to be paid
 - the fees and charges relating to re-assessment, and the RTO’s rules governing re-assessment
 - the options available to students who are deemed not yet competent on completion of training and assessment.

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: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- See above at SNR 22.2
- Also, information provided in the student handbook implies full fees (including fees of over \$1000) may be paid in advance to the RTO: "Prospective students are required to complete the relevant Student Enrolment Form prior to the commencement of training and to forward it, together with the applicable course fees, to Maxis Solutions."

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

- Provide evidence that demonstrates it complies with SNR 22.3(c) (ie Option 3) and that information provided to clients (both prospective students and employers) is in accordance with the requirements of this NVR standard.

Analysis of rectification evidence:

- Evidence provided consisted of student handbook and 'student fees and charges policy'.
- Evidence demonstrates it complies with SNR 22.3(c) (ie Option 3) and that information provided to clients (both prospective students and employers) is in accordance with the requirements of this NVR standard.

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 audited

Following rectification: n/a

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

Original finding: Not audited

Following rectification: n/a

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

Original finding: Not audited

Following rectification: n/a



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

This element was not audited.

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

This element was not audited.

SNR 24 Accuracy and integrity of marketing

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

Original finding: Not audited

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: 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 audited

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