



## Audit report – VET Quality Framework

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

#### ORGANISATION DETAILS

Organisation's legal name	<b>Mine Resilience (Australia) Pty Ltd</b>
Trading name/s	Mine Resilience Australia Pty Ltd
RTO number	40457
CRICOS number	NA

#### AUDIT TEAM

Lead auditor	Julius Pfüll
Auditor/s	Lyndell Griffin
Technical adviser/s	NA

#### AUDIT DETAILS

Application number/s	1044062
Audit number/s	1003943 and 1003416
Audit reason 1	Application - change VET Amendment
Audit reason 2	Post initial
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	19 Bellevue Avenue, Denistone, NSW 2114
Date/s of audit	30/10/2013
Organisation's contact for audit	Graham Terrey graham.terrey@mineresilience.com.au CEO phone 9801 4212
NVR standards audited	All Standards for Continuing Registration

#### BACKGROUND

The RTO delivers training to operators working on above ground and underground mining and quarrying operations. The organisation's CEO is Graham Terrey who has extensive experience in the mining industry.

At initial registration Mr Terrey was the only trainer and assessor directly employed or engaged by the organisation.

Courses will be delivered on-site. Mr Terrey advised during the site audit that he did not at this



stage, intend to pursue government funding opportunities.

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

- 67

<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>
RII30311	Certificate III in Underground Metalliferous Mining	Face /Face	N/A
RII50109	Diploma of Surface Operations and Management	Face /Face	
BSB41412	Certificate IV in Work Health and Safety	Face /Face	
BSB51312	Diploma of Work Health and Safety	Face /Face	
AHCEXP301A	Handle and store explosives	Face /Face	
AHCEXP302A	Identify and select explosive products	Face /Face	
AHCEXP303A	Prepare and use explosives	Face /Face	

\*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>
Mr Graham Terrey	CEO	All on scope of registration
Gaby Roubaix	Service Provider	Admin

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

#### **Audit finding as at 30/10/2013 : 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 17/03/2014: Compliant**

### **AUDIT FINDING BY STANDARD**

<b>Standard</b>	<b>Original finding</b>	<b>Finding following rectification</b>
SNR 15	Not compliant	Compliant
SNR 16	Not compliant	Compliant
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	Compliant	n/a
SNR 23/AQF	Not compliant	Compliant
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:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- Evidence regarding the continued development of staff was not available as required by the RTO's TAS. See SNR 15.4

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

- See SNR 15.4 for details

*Analysis of rectification evidence:*

- The organisation provided evidence of participation in professional development for staff.

The RTO is compliant with SNR 15.3

**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:*

- The RTO did not provide evidence to demonstrate that the following trainers/assessors who are currently delivering training continue to develop their VET knowledge and skills and their industry currency:
  - Graham Terrey – all qualifications on scope
  - William Parmenter- all qualifications on scope
  - Kimberley Robinson- all qualifications on scope



- Geoffrey West- all qualifications on scope

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

- provide evidence of participation in professional development, to demonstrate that the following trainers/assessors continue to develop their VET knowledge and skills and industry currency:
  - Graham Terrey
  - William Parmenter
  - Kimberley Robinson
  - Geoffrey West

*Analysis of rectification evidence:*

- The organisation provided evidence of participation in professional development for the following trainers:
  - Graham Terrey
  - Kimberley Robinson
  - Geoffrey West

William Parmenter has been removed from trainer and assessor matrix as he retired.

The RTO is compliant with SNR 15.4

**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

**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:** 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.**

**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:*

- The RTO does not have appropriate mechanisms in place for learners to have complaints and appeals addressed efficiently and effectively. Specifically, the Appeals Process as listed in the current version of the Student Handbook (v.7) does not address assessment appeals, rather, it refers to the learner's ability to appeal any decision relating to a complaint against any decision made by the RTO.

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

- Provide revised complaints and assessment appeals processes that clearly distinguish between the two processes in all its documentation
- Provide updated and correct information on complaints and assessment appeals in the student handbook

*Analysis of rectification evidence:*

- The RTO provided revised Staff and Student Handbooks which contained the complaints and appeals process to demonstrate compliance with SNR 16.7

The RTO is compliant with SNR 16.7

**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:*

- The RTO did not provide evidence to demonstrate that it complies with all *Standards for NVR Registered Training Organisations 2012* audited.

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

- Provide evidence to demonstrate compliance with all Standards.

*Analysis of rectification evidence:*

- The RTO has provided evidence that demonstrates compliance with *Standards for NVR Registered Training Organisations*

The RTO is compliant with SNR 18.1

**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:** 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; [option 2 not currently available]~~

(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. [option 5 not currently available]~~

**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:*

- The RTO has not demonstrated that the certificates issued meet the Australian Qualifications Framework requirements. Specifically, the sample sighted at audit did not meet the requirements of the AQF in that the completed Units of Competency should be listed on the front of the Statement of Attainment.

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

- Provide evidence of a testamur that adheres to the AQF requirements.

*Analysis of rectification evidence:*

- The RTO has provided a sample of a Statement of Attainment which adheres to the AQF requirements

The RTO is compliant with SNR 23.1

**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:** Compliant

**Following rectification:** 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 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]</b>
This element was not audited.	
<b>23.5</b>	<b>The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]</b>
This element was not audited.	
<b>SNR 24 Accuracy and integrity of marketing</b>	
<b>24.1</b>	<b>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.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>24.2</b>	<b>The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>SNR 25 Transition to Training Packages/expiry of VET accredited courses</b>	
<b>25.1</b>	<b>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.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a
<b>25.2</b>	<b>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.</b>
<b>Original finding:</b> Not audited	<b>Following rectification:</b> n/a