

## Audit report – VET Quality Framework

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

#### ORGANISATION DETAILS

Organisation's legal name	<b>SDS Training and Security Pty Ltd</b>
Trading name/s	SDS Training and Security Pty Ltd
RTO number	31982
CRICOS number	na

#### AUDIT TEAM

Lead auditor	Mark Shrubshall
Auditor/s	Tracey Hancock
Technical adviser/s	na

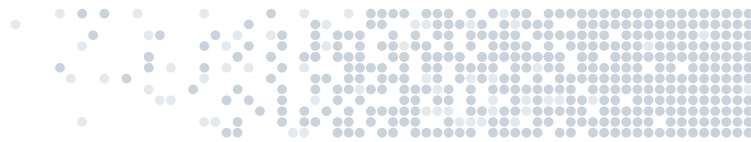
#### AUDIT DETAILS

Application number/s	1056381	
Audit number/s	1005918	
Audit reason 1	Application - renewal	
Audit reason 2	n/a	
Audit reason 3	n/a	
Activity type	Site visit	
Address of site/s visited	328 Mount Cotton Road, Capalaba, Queensland	
Date/s of audit	07/05/2014	
Organisation's contact for audit	Trevor Maynard trevor@sdsguards.com.au	General Manager 0733980300
NVR standards audited	Selected Standards for Continuing Registration: SNR 15, 16, 17, 18, 20.2,22.2, 22.3, 23.1, 24.1 & 25	

#### BACKGROUND

- SDS Training and Security Pty Ltd provide training and assessment in the security industry.
- The organisational structure consists of a Managing Director General Manager and a contract trainer.
- The organisations core clients are the general public, those wishing to change career, long term unemployed, workers compensation candidates and expired licence holders wishing to return to the industry
- Revenue sources are fee for service

Total number of current enrolments in RTO as at audit date: 0



AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
CPP20212	Certificate II in Security Operations	Face to Face	0
CPP30411	Certificate III in Security Operations	Face to Face	0

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

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Dorothy Maynard	Director	na
Trevor Maynard	Training Manager	CPP20212 Certificate II in Security Operations CPP30411 Certificate III in Security Operations
Tony Feagan	Consultant	na

### ORIGINAL AUDIT FINDING AT TIME OF AUDIT

#### Audit finding as at 07/05/2014: Significant non-compliance

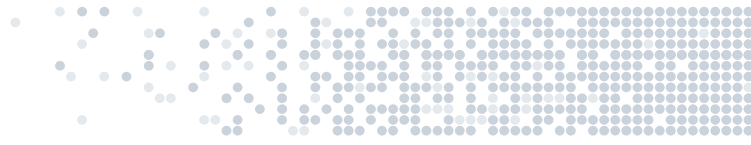
- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on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

### AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

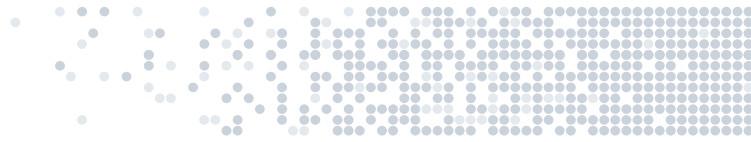
#### Audit finding following analysis of additional evidence provided on 09/06/2014: Compliant

### AUDIT FINDING BY STANDARD

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



SNR 22	Compliant	n/a
SNR 23/AQF	Not compliant	Compliant
SNR 24	Compliant	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

*Reasons for finding of non-compliance:*

- Staff, training and assessment materials used by the NVR registered training organisation do not meet with the requirements of the training package as identified elsewhere in the report

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

- The organisation is not required to submit rectification evidence to address this standard; however, it is required to submit rectification evidence to address the non-compliances identified across the other standards. Should rectification evidence received be determined compliant, the organisation will be compliant with this standard.

*Analysis of rectification evidence:*

- The organisation submitted compliant rectification evidence to address the non-compliances identified across the other standards.

**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

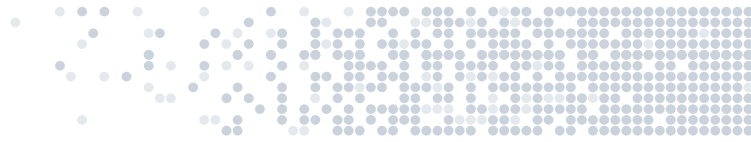
**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

Kevin Meaney

**CPP30411 Certificate III in Security Operations**

- The organisation did not demonstrate that the above trainer and assessor had current industry



- skills directly relevant to the training/assessment being undertaken 15.4 (c).
- The organisation did not demonstrate the above trainer and assessor continues to develop their vocational education and training (VET) knowledge and skills. 15.4 (d).

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

Kevin Meaney

**CPP30411 Certificate III in Security Operations**

- The organisation is required to demonstrate that the above trainer and assessor has current industry skills directly relevant to the training/assessment being undertaken 15.4 (c).
- The organisation is required to demonstrate that the above trainer and assessor continues to develop his vocational education and training (VET) knowledge and skills 15.4 (d).

*Analysis of rectification evidence:*

Kevin Meaney

**CPP30411 Certificate III in Security Operations**

- The organisation provided:
  - Imperial Protection Services reference
  - Security Provider licence
  - Firearms licence
  - Professional development plan.
- The organisation demonstrated that the above trainer and assessor has current industry skills directly relevant to the training/assessment being undertaken 15.4 (c).
- The organisation demonstrated that the above trainer and assessor continues to develop his vocational education and training (VET) knowledge and skills 15.4 (d).

**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:*

**CPP20212 Certificate II in Security Operations**

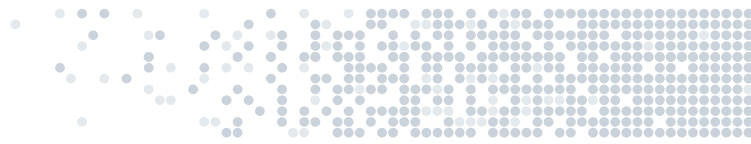
*CPPSEC2006B Provide security services to clients*

*CPPSEC2011B Control access to and exit from premises*

- The organisation did not demonstrate that its assessment tools for the above units:
  - (a) met the requirements of the CPP07 Property Services training package (15.5 a)
  - (b) are conducted in accordance with the principles of assessment and the rules of evidence (15.5 b).

For example but not limited to the assessment tools for the above units:

- did not demonstrate how they met all the requirements of the units in particular the performance criteria, required skills, critical aspects of evidence
- were not accompanied by criteria defining acceptable performance for the practical component.
  - assessment records examined demonstrate that students have been determined to be competent without sufficient evidence having been gathered.



### **CPP30407 Certificate III in Security Operations**

*CPPSEC3009A Prepare and present evidence in court*

*CPPSEC3050A Load and unload cash in transit in an unsecured environment.*

- The organisation did not demonstrate that its assessment tools for the above units:
  - (a) met the requirements of the CPP07 Property Services training package training package (15.5 a)
  - (b) are conducted in accordance with the principles of assessment and the rules of evidence (15.5 b).

For example but not limited to the assessment tools for the above units:

- did not demonstrate how they met all the requirements of the units in particular the, required knowledge and critical aspects of evidence
- were not accompanied by criteria defining acceptable performance for the practical component.
- assessment records examined demonstrate that students have been determined to be competent without sufficient evidence having been gathered

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

### **CPP20212 Certificate II in Security Operations**

*CPPSEC2006B Provide security services to clients*

*CPPSEC2011B Control access to and exit from premises*

### **CPP30407 Certificate III in Security Operations**

*CPPSEC3009A Prepare and present evidence in court*

*CPPSEC3050A Load and unload cash in transit in an unsecured environment.*

- The organisation is required to provide a complete set of assessment materials that demonstrate assessment for the above units
  - (a) meets the requirements of the CPP07 Property Services training package (15.5 a)
  - (b) will be conducted in accordance with the principles of assessment and the rules of evidence (15.5 b).

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*Analysis of rectification evidence:*

### **CPP20212 Certificate II in Security Operations**

*CPPSEC2006B Provide security services to clients*

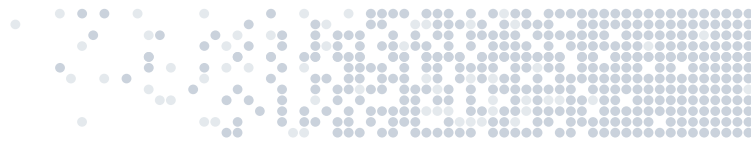
*CPPSEC2011B Control access to and exit from premises*

### **CPP30407 Certificate III in Security Operations**

*CPPSEC3009A Prepare and present evidence in court*

*CPPSEC3050A Load and unload cash in transit in an unsecured environment.*

- For each unit of competency listed above, the organisation provided:
  - Case scenarios and marking guide
  - Underpinning knowledge assessments with benchmarking
  - Practical assessments with marking guide
  - Mapping documents.
- The organisation demonstrated that the assessment tools for the above units



- a) meet the requirements of the CPP07 Property Services training package (15.5 a)
- b) will be conducted in accordance with the principles of assessment and the rules of evidence (15.5 b).

**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:** Not audited **Following rectification:** n/a

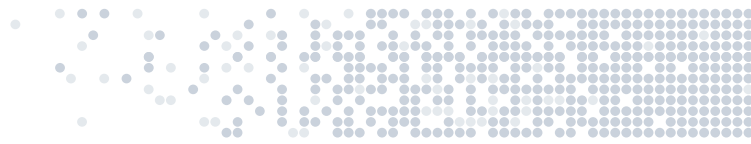
**16.5 Learners receive training, assessment and support services that meet their individual needs.**  
**Original finding:** Compliant **Following rectification:** n/a

**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:** Compliant **Following rectification:** n/a

**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:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- The organisation did not demonstrate how it uses a systematic and continuous improvement approach to the management of operations.  
For example but not limited to how the organisation regularly monitors and reviews improvements.

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

- The organisation is required to demonstrate how it uses a systematic and continuous improvement approach to the management of operations.

*Analysis of rectification evidence:*

- The organisation provided:
  - Continuous improvement policy.
- The organisation demonstrated how it uses a systematic and continuous improvement approach to the management of operations.

**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:** Not audited

**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.**

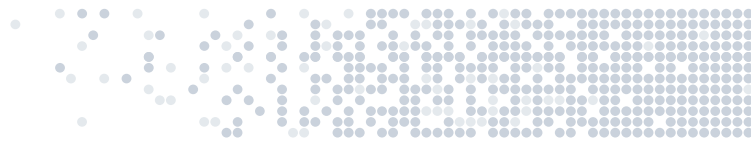
**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

- The NVR registered training organisations Chief Executive has not ensured that the NVR registered training organisation has complied with the VET Quality framework.





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

- The organisation is not required to submit rectification evidence to address this standard; however, it is required to submit rectification evidence to address the non-compliances identified across the other Standards. Should the rectification evidence received be determined compliant, the organisation will be compliant with this standard.

*Analysis of rectification evidence:*

- The organisation submitted compliant rectification evidence to address the non-compliances identified across the other Standards.

<b>18.2</b>	<b>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.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a

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

<b>19.1</b>	<b>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.</b>
<b>Original finding:</b> Not audited	<b>Following rectification:</b> n/a

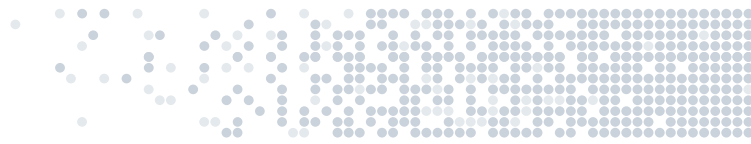
### **SNR 20 Compliance with legislation**

<b>20.1</b>	<b>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.</b>
<b>Original finding:</b> Not audited	<b>Following rectification:</b> n/a

<b>20.2</b>	<b>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.</b>
<b>Original finding:</b> Compliant	<b>Following rectification:</b> n/a

### **SNR 21 Insurance**

<b>21.1</b>	<b>The NVR registered training organisation must hold public liability insurance throughout its registration period.</b>
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**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:** Compliant

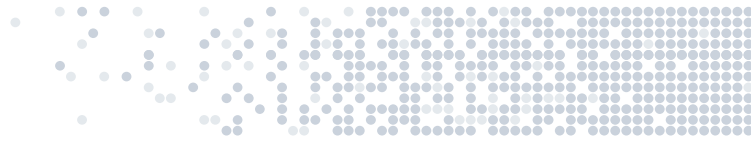
**Following rectification:** n/a

**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:*

- The organisation did not demonstrate that its VET qualification and VET statement of attainment :  
(a) meets the Australian Qualifications Framework requirements.

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

- The organisation is required to demonstrate that its VET qualification and VET statement of attainment :  
(a) meets the Australian Qualifications Framework requirements.

*Analysis of rectification evidence:*

- The organisation provided:
  - Qualification and Statement of attainment templates
  - A clarifying conversation was had with the organisation on the 25/06/2014.
- The evidence demonstrated the organisation's VET qualification and VET statement of attainment meets the Australian Qualifications Framework requirements.

**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.



<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> Not audited	<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> Compliant	<b>Following rectification:</b> n/a