



Australian Government  
Australian Skills Quality Authority

# Certificate of Registration

This is to certify that

**The Quality Training Company Pty Ltd**

**ATF Finlayson Trust**

trading as

**Quality Training and Hospitality College**

is registered by the Australian Skills Quality Authority  
under the *National Vocational Education and Training Regulator Act 2011*  
(the Act) as an NVR Registered Training Organisation (RTO).

commences **31 October 2014**

expires **30 October 2019**

RTO Code: **1036**

The organisation's scope of registration  
is listed on the National Register.

Registration is subject to continued compliance with the:

- VET Quality Framework.
- Conditions set out in sections 22 to 28 of the Act
- Conditions imposed on the organisation's registration under subsection 29(1) of the Act.

**Chris Robinson**  
Chief Commissioner  
Australian Skills Quality Authority

Issued on: 17 November 2014 under Section 19 of the Act





## Audit report – VET Quality Framework

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

#### ORGANISATION DETAILS

Organisation's legal name	The Quality Training Company Pty Ltd ATF Finlayson Trust
Trading name/s	Quality Training and Hospitality College
RTO number	1036
CRICOS number	02880B

#### AUDIT TEAM

Lead auditor	Monica McFadyen
Auditor/s	Wayne Stent & Brooke Wade
Technical adviser/s	NA

#### AUDIT DETAILS

Application number/s	1064876
Audit number/s	1006640
Audit reason 1	Application - renewal VET
Audit reason 2	Application - renewal CRICOS
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	451 - 453 Pulteney Street ADELAIDE SA 5000 Adelaide Zoo - FROME RD, ADELAIDE SA 5000
Date/s of audit	9 & 10 September 2014 Rectification - 3 November 2014
Organisation's contact for audit	Mr Richard Finalyson                      Managing Director rf@qualitytraining.com.au              (08) 8223 3888
NVR standards audited	Selected Standards for Continuing Registration: 15, 16, 17, 18, 20.2, 22.2, 22.3, 23.1, 24.1 & 25

#### BACKGROUND

The Quality Training Company Pty Ltd ATF Finlayson Trust trading as Quality Training and Hospitality College was first registered as a training organisation under Section 26(1) of the *Training and Skills Development Act SA 2008* on 7 November 2001. The provider was approved registration on CRICOS on 29 November 2007 under the *Education Services for Overseas Students Act 2000*. Quality Training and Hospitality transferred its registration to the Australian Skills Quality Authority on 26 March 2012 and is



now registered under the *National Vocational Education and Training Regulator Act 2011*.

The organisation's VET and CRICOS registration expires on 30 October 2014.

The organisation currently has students enrolled in South Australia, New South Wales and Queensland. Enrolment data as provided by the RTO for each state is as follows:

- South Australia: 842 (including overseas students)
- New South Wales: 271
- Queensland: 56

The training sites for South Australia consist of the Adelaide Zoo, Alan Scott Park and the RTO's own premises based in Pulteney Street.

The registered providers scope of operations include the following industry areas:

- Office studies
- Business management
- Sales and marketing
- Food and Hospitality.

The course fees are paid through fee for service and state or federal funding.

The provider does not have any partnership agreements in place with other organisations delivering training and assessment on their behalf. However the organisation does outsource the first aid training.

Total number of current enrolments including overseas students as at audit date is 1169 student.

#### AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB30112	Certificate III in Business	Face to face at RTO and work based traineeship/apprenticeships	23
BSB51107	Diploma of Management		43
SIR20212	Certificate II in Retail Services		51
SIR30212	Certificate III in Retail Operations		16
SIT30813	Certificate III in Commercial Cookery		29
SIT50307/SIT50313	Diploma of Hospitality		177

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

#### INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Richard Finlayson	Managing Director	NA
Kathy Stanton	Compliance Consultant	NA
Barbara Duham	Liaison Consultant	NA
Paul Stephenson	Educational Officer/Trainer	Business, Management, Hospitality
Sam Tucker	International Student support officer/ Trainer	



Michael Rossis	National Training Manager	Business, Management, Hospitality
Danielle Persilo	National Administration Manager	NA
Robyn Edwards	Compliance Officer	NA

#### ORIGINAL AUDIT FINDING AT TIME OF AUDIT

##### Audit finding as at 10 September 2014: Critical 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 03/11/2014: Significant non-compliance

#### AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Not compliant	Compliant
SNR 17	Not compliant	Compliant
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 compliant	Compliant
SNR 24	Not compliant	Compliant
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:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

**Evidence reviewed:**

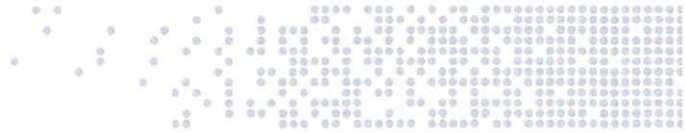
- Training and Assessment Strategies for:
  - *SIT50307 & SIT50313 Diploma of Hospitality*
  - *BSB30112 Certificate III in Business*
  - *BSB51107 Diploma of Management*
  - *SIR20112 Certificate II in Retail Services*
  - *SIR30212 Certificate III in Retail Operations*
  - *SIT30813 Certificate III in Commercial Cookery (Apprenticeship)*
  - *SIT30813 Certificate III in Commercial Cookery (non-apprenticeship)*

*Findings:*

- The training and assessment strategy for the *SIT50313 Diploma of Hospitality*:
  - Includes packaging rules that are not clear: for example the packaging rule for this qualification requires the selection of 28 units equalling 13 core and 15 electives. The selection of the electives require 1 unit to be selected from group A, 1 unit from group B, 8 units from group C and 5 units from group C or elsewhere in the SIT12 Training Package, or any other current Training Package. As the elective units are not identified by their group this can lead to incorrect units selection that does not meet the packaging requirements.
  - Although the prerequisite units have been included in the elective selection. The units requiring the delivery of a prerequisite are not identified and could be selected and delivered without the prerequisite units.
- The training and assessment strategy for *SIT50307 Diploma of Hospitality*:
  - Includes several units that have superseded codes.
  - One unit *SITXFSA001A Implement food safety procedures* has an incorrect national code.
  - Although the prerequisite units have been included in the elective selection, the units requiring the delivery of a prerequisite are not identified and could be selected and delivered without the prerequisite units.
  - One prerequisite *SITXFIN001A Process financial transaction* is not included in the unit selection, however it is a prerequisite to the unit *SITHACS001B Provide accommodation reception services*.

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

- Provide a revised training and assessment strategy for *SIT50307 Diploma of Hospitality* that clearly and accurately identifies the units that must be delivered to meet the packaging rules and prerequisite requirements.



- Provide a revised training and assessment strategy for *SIT50313 Diploma of Hospitality* that clearly and accurately identifies the units that must be delivered to meet the packaging rules and prerequisite requirements.

*Analysis of rectification evidence:*

Evidence provided included:

- A revised training and assessment strategy for *SIT50313 Diploma of Hospitality*
- A revised training and assessment strategy for *SIT50307 Diploma of Hospitality*

*Findings*

- The revised training and assessment strategy for the *SIT50313 Diploma of Hospitality* has been amended to include the correct packaging rules and identify the units that require the pre-requisites.
- The revised training and assessment strategy for *SIT50307 Diploma of Hospitality* includes:
  - The updated units and correct codes.
  - Clearly identified prerequisite units of competence.
  - The prerequisite unit *SITXFIN001A Process financial transaction*

*Reasons for outstanding non-compliance:*

- Not Applicable

<b>15.3</b>	<b>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.</b>
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**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

Evidence reviewed:

- Site inspection of commercial kitchens and catering facilities for training and assessment located at the Adelaide Zoo.
- Learners guides/workbooks, assessments, assessment tools and instruments for the following units:
  - *SITHCCC309 Work effectively as a cook* (Cross sampled from *SIT50313 Diploma of Hospitality* and *SIT30813 Certificate III in Commercial Cookery*)
  - *SITXFSA101 Use hygienic practices for food safety* (Cross sampled from *SIT50313 Diploma of Hospitality* and *SIT30813 Certificate III in Commercial Cookery*)
  - *BSBCMM301B Process customer complaints* (Sampled from *BSB30112 Certificate III in Business*)
  - *BSBPUR301B Purchase goods and services* (Sampled from *BSB30112 Certificate III in Business*)
  - *SIRXMER202 Plan, create and maintain displays and SIRXSLS201 Sell products and services* (Cross sampled from *SIR30212 Certificate III in Retail Operations* and *SIR202112 Certificate II in Retail Services*)
  - *BSBMGT515A Manage operational plan* (Cross sampled from *SIT50313 Diploma of Hospitality* and *BSB51107 Diploma of Management*)
  - *BSBRSK501B Manage Risk* (Cross sampled from *SIT50313 Diploma of Hospitality* and *BSB51107 Diploma of Management*)
- Trainer/assessor files



#### *Findings:*

Assessment materials examined at audit do not comply with training package requirements, the rules of evidence and principles of assessment. For example,

#### ***SITHCCC309 Work effectively as a cook***

Assessment materials examined comprised of:

- Record of evidence gathered
- Assessment requirements
- Verbal assessment
- Written short answer questions
- Observation and holistic practical skills record

Under the critical aspects for assessment for *SITHCCC309 Work effectively as a cook* assessment must ensure evidence of ability to:

'Prepare, cook and present multiple items for a minimum of 48 complete service periods (shifts) including:

- breakfast
- dinner
- lunch
- special function'.

Instructions for using the practical skills checklist, places the onus on the student to complete the form on each occasion and gain verification from the supervisor. The skills checklist does not ensure that evidence is gathered to demonstrate that the candidate has prepared, cooked and presented food for breakfast service.

The assessment instructions, observation and practical skills records do not provide adequate information for candidates, assessors and supervisors regarding:

- The context of assessment and tasks to be performed.
- The observable behaviours and/or benchmarks to be used by assessors to judge the quality of performance against the elements

#### ***SITXFSA101 Use hygienic practices for food safety***

Assessment materials examined comprised of:

- Assessment requirements (class room based and work based)
- Observation checklist
- Project
- Verbal assessment
- Written answer questions

The assessment requirements and observation checklist do not ensure the reliability of assessment as they do not contain information about the tasks to be performed and observable behaviours and/or benchmarks to be used by assessors to judge the quality of performance and certify a person as competent. For example the unit requires evidence of the following:

- Evidence of the ability to 'integrate the use of predetermined hygiene procedures and food safety practices within the day-to-day food handling work functions'
- Ability to 'avoid unhygienic personal contact with food or food contact surfaces'
- Ability to 'avoid unhygienic cleaning practices that may cause food-borne illness'.

The observation checklist does not include a description of how the candidate would demonstrate that they had competently applied these skills.





### **BSBRSK501B Manage risk**

Assessment materials examined comprised of:

- Assessment requirements/assessor resource
- Projects 1 and 2
- Observation checklist
- Verbal questions

Under the evidence guide evidence of the following is essential:

- 'Risk management plan which includes a detailed stakeholder analysis, explanation of the risk context, critical success factors, identified and analysed risks and treatments for prioritised risks'.
- 'Details of monitoring arrangements for risk management plan and an evaluation of the risk management plan's efficacy in treating risks'.

The project based assessment does not ensure that valid assessment evidence is gathered and used to certify a person as competent. The instruction for completion of the project requires the candidate to 'attach a copy of your establishments risk control action plan or develop one of your own'.

In this case if the candidate chooses to simply attach a copy of their establishment's risk control plan this would not demonstrate that the candidate had satisfied the performance criteria and evidence guide.

Observation checklists for the following units of competence simply restate training package requirements and do not provide information for assessors and candidates about the context and conditions of assessment, tasks to be performed by the candidate and the criteria used to judge the quality of performance against training package and industry requirements:

- *BSBCMM301B Process customer complaints*
- *BSBPUR301B Purchase goods and services*
- *SIRXMER202 Plan, create and maintain displays*
- *SIRXSLS201 Sell products and services*
- *BSBMGT515A Manage operational plan*

Because the assessor/employer observation checklists simply restated training package requirements with no customisation to reflect workplace performance requirement insufficient evidence was available to demonstrate that assessment resources are developed through effective industry consultation. The RTOs strategies for training and assessment indicate that industry advice will provide a framework for the expected behaviour and practices of people within a particular industry. This was not evident within any of the assessor observation checklists examined during audit.

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

- Provide assessment tools for assessor/employer observation for the units listed below that provides information about the:
  - context and conditions of assessments,
  - tasks to be performed by the candidate, and
  - evidence criteria to be used by assessors to judge the quality of performance against training package and industry requirements.

The units include:

- *SITHCCC309 Work effectively as a cook*
- *SITXFSA101 Use hygienic practices for food safety*
- *BSBCMM301B Process customer complaints*

- *BSBPUR301B Purchase goods and services*
- *SIRXMER202 Plan, create and maintain displays*
- *SIRXSLS201 Sell products and services*
- *BSBMGT515A Manage operational plan*
- *BSBRISK501B Manage Risk*

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*Analysis of rectification evidence:*

Evidence provided included:

- Attachment 2 *BSBCMM301B* Observation Checklist
- Attachment 2a *BSBMGT515A* Observation Checklist
- Attachment 2b *BSBPUR301B* Observation Checklist
- Attachment 2c *BSBRISK501B* Observation Checklist
- Attachment 2d *SIRXMER202* Observation Checklist
- Attachment 2e *SIRXSLS201* Observation Checklist
- Attachment 2f *SITXFSA101* Observation Checklist
- Attachment 2g *SITHCCC309* Holistic booklet & Observation

*Findings:*

For the units include:

- *SITHCCC309 Work effectively as a cook*
- *SITXFSA101 Use hygienic practices for food safety*
- *BSBCMM301B Process customer complaints*
- *BSBPUR301B Purchase goods and services*
- *SIRXMER202 Plan, create and maintain displays*
- *SIRXSLS201 Sell products and services*
- *BSBMGT515A Manage operational plan*
- *BSBRISK501B Manage Risk*

The revised assessment tools for the assessor/employer observations provides information about the:

- context and conditions of assessments,
- tasks to be performed by the candidate, and
- evidence criteria to be used by assessors to judge the quality of performance against training package and industry requirements.

*Reasons for outstanding non-compliance:*

- Not Applicable





- 15.4 Training and assessment is delivered by trainers and assessors who:**
- (a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and**
  - (b) have the relevant vocational competencies at least to the level being delivered or assessed; and**
  - (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and**
  - (d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.**

**Original finding:** Not compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

Evidence reviewed:

- Staff files for;
  - Greg Watkins
  - Daisy Rajan
  - Mick Rossis
  - Heather Hristovski
  - Gunter Schmidt
  - Liam Frost
  - Danielle Tiver
  - Bev Arnfield

Insufficient evidence was available to demonstrate that all assessors identified as delivering the *Certificate II in Retail Services* and *Certificate III in Retail Operations*, satisfy standards 15.4(a), (b) and (c).

For example Gunter Schmidt is identified in the strategies as assessing all of the core and elective units offered for the *Certificate II in Retail* and *Certificate III in Retail*.

Evidence on file for Gunter Schmidt included:

- QTHC Mentor Skills Matrix
- Professional Development log
- *TAE40110 Certificate IV in Training and Assessment* – (TIME, January 2011)
- *Un-coded Certificate IV in Small Business Management* – (Mission Australia, March 2000)
- *PRM30104 Certificate III in Asset Maintenance (Cleaning Operations)* – (BJ Network, January 2007)
- Certificates of attendance for Cato HR workshops for RPL and rules of evidence
- Professional development - Keeping records to meet AQTF – (SAWAN, 2004)
- DFEEST professional development session – RPL, April 2007

Gunter does not hold either of the *Certificate II in Retail Services* or *Certificate III in Retail Operations*. The mentor skills matrix is incomplete and does not show how the RTO determined that the trainer holds necessary vocational competencies and current industry knowledge and skills.

The Professional Development log does not provide sufficient detail to demonstrate the development of his industry currency. Many of the entries in the log are recorded as 'attended meeting' with no detail about the purpose of the meeting and how it contributed to his industry skills and knowledge.

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

- Provide evidence that Gunter Schmidt holds the vocational competencies and demonstrates current industry knowledge and skills for each of the units he delivers and assess from the *Certificate II in Retail Services* and *Certificate III in Retail Operations* qualifications.
- Provide evidence demonstrating that Gunter Schmidt has continued to develop his retail industry currency

*Analysis of rectification evidence:*

*Evidence provided included:*

- Attachment 3 Vocational Competence Equivalence template
- Attachment 3b Updated Resume (provided at audit)
- Attachment 3c Position Description (provided at audit)
- Industry Currency & Professional Development evidence;
  - Attachment 3c Renmark Club - letter
  - Attachment 3d Subway - Letter
  - Attachment 3e photo of point of sales technology

*Findings:*

- Attachment 3 Vocational Competence Equivalence template, Attachment 3c Renmark Club - letter and Attachment 3d Subway - Letter provided sufficient evidence to confirm that Gunter Schmid has currency the vocational competencies and demonstrates current industry knowledge and skills for each of the units he delivers and assess from the *Certificate II in Retail Services* and *Certificate III in Retail Operations*.
- The evidence also confirmed his currency in the retail industry.
- The photograph did not contribute to the evidence as there was no evidence of a direct link back to Gunter Schmid.

*Reasons for outstanding non-compliance:*

- Not Applicable

**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:*

- Assessment records examined for the following students did not comply with training package requirements or the rules of evidence and principles of assessment.

**Zoe Waters – Certificate III in Business (School based traineeship)**

- Zoe Waters was certified competent for *BSBCMM301B Process customer complaints* on 29/5/2014. The competency record on file is ticked to indicate that that there had been an assessor/employer observation. The only evidence on file was AT2 Written short answers and AT3 project. There was no evidence to confirm that the candidate was observed applying practical skills in a workplace or simulated environment.
- Although *BSBDIV301A Work effectively with diversity* was not specifically included in the focus of the audit, it was noted that Zoe Waters had been certified competent for the unit on 26/6/2014. The record of evidence gathered showed assessment evidence as including





practical observation. There was no completed observation checklist to support the assessment decision.

### **Christine Brogan – Diploma of Hospitality**

- Christine Brogan was certified competent for *BSBMGT515A Manage operational plan* on 8/8/2013. The evidence on file comprised of written answers to short answer questions and two operational plans.
- The operational plans for The Cheese Factory and Longview Winery did not provide valid evidence that the candidate had satisfied the elements and performance criteria. The operational plans were generic in nature and did not show how the candidate had applied the performance criteria and essential skills and knowledge requirements in producing the plans.
- The RTO assessor had not verified the authenticity of the assessment submitted by the student. An online search of the internet using a paragraph from the student's work revealed that this section of the student's work had been copied directly from <http://businesscasestudies.co.uk/business-theory/strategy/organisational-structure.html#axzz3Cy3wUHWw> without acknowledging the source of the work.

### **Samuel Birtles – Certificate III in Retail Operations**

- Samuel Birtles was certified competent for *SIRXSLS201 Sell products and services* on 30/7/2014. The record of evidence indicates that assessment evidence used included written assessment, verbal questioning, assessor observation and employer validation. The observation checklist was not completed with respect to elements 1 and 2. No evidence of employer validation was available.

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

- Provide evidence that Zoe Waters has completed all of the assessment tasks in accordance with the requirements of the units *BSBCMM301B Process customer complaints* and *BSBDIV301A Work effectively with diversity*.
- Provide evidence that confirms Christine Brogan has completed and been assessed as competent against the unit of competency requirements for the unit *BSBMGT515A Manage operational plan*.
- Develop a staff and student policy and procedure for verifying the authenticity of student work submitted for assessment.

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*Analysis of rectification evidence:*

Evidence provided included:

- Attachment 4a Zoe Waters – completed new observation in the workplace
- Attachment 4b Christine Brogan – Assessment re-submission
- Attachment 4c New Plagiarism Policy and Procedure
- Attachment 4d Updated assessment coversheet

*Findings*

- The evidence provided for Zoe Waters confirms she has completed and been assessed as competent against all of the assessment tasks in accordance with the requirements of the units *BSBCMM301B Process customer complaints* and *BSBDIV301A Work effectively with diversity*.
- The evidence provided for Christine Brogan confirms she has completed and been assessed as competent against the unit of competency requirements for the unit *BSBMGT515A Manage operational plan*.
- A Plagiarism Policy and Procedure has been developed that clearly details the requirements for managing plagiarism. A revised assessment coversheet requires the student to declare that the work they have submitted is their own work and that they have read the QTHC Plagiarism

Policy and Procedure.

*Reasons for outstanding non-compliance:*

- Not Applicable

**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 compliant

**Following rectification:** Compliant

*Reasons for finding of non-compliance:*

Evidence reviewed:

- Training contracts for various students
- Site Visit Checklist – completed by mentor during each visit to the workplace. Details units commenced and completed during the visit.

Audit Findings:

- The evidence provided does not demonstrate how workplace supervisors are engaged in the delivery and monitoring of training in the workplace. The completed checklists did not include evidence of consultation between the mentor, student and employer regarding the outcomes of assessment conducted that day, the progress of the student and what training and assessment tasks are required to be completed prior to the next site visit.

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

- Provide evidence that employers and other parties who contribute to training and assessment are engaged in the delivery and monitoring of training.

*Analysis of rectification evidence:*

Evidence provided included:

- Attachment 5a Visit checklist
- Attachment 5b Customised Training Plan





*Findings:*

- The requirement to discuss elements/tasks from the unit with the workplace coach is included in the Visit Checklist. It also includes the agreed training focus for the next visit.
- The revised training plan includes an area to capture special needs.

*Reasons for outstanding non-compliance:*

- Not Applicable

<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> Not compliant	<b>Following rectification:</b> Compliant

*Reasons for finding of non-compliance:*

*Evidence reviewed:*

- Student enrolment form – Billy Hyder
- Training plan – Billy Hyder

*Audit Findings:*

- The RTO has not demonstrated compliance with the requirements of this standard as it did not include the support services in a student's agreement. For example, a student Billy Hyder, was assessed as having an intellectual disability and was provided extra support services during his traineeship. Although support services were provided the agreement between the RTO and Mr Hyder does not mention the support services that were to be provided by the RTO.

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

- Provide evidence to confirm that future agreements between the RTO and the client include details on the services to be provided including support services.

*Analysis of rectification evidence:*

Evidence provided included:

- Attachment 5b Customised Training Plan

*Findings:*

- The revised training plan includes an area to capture special needs

*Reasons for outstanding non-compliance:*

- Not applicable.

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<b>17.2</b>	<b>The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.</b>
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- Attachment 6b new Student file audit checklist

*Findings:*

- The revised Student Records Management Policy and Procedure confirms that a process is in place to quality assure maintenance of the records for demonstrating compliance with ASQA's General direction: Retention requirements for completed student assessment items. The student file audit checklist will confirm the accuracy and integrity of those records.

*Reasons for outstanding non-compliance:*

- Not Applicable.

<b>SNR 18</b>	<b>The NVR registered training organisation has governance arrangements in place as follows:</b>
<b>18.1</b>	<b>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.</b>
<b>Original finding:</b> Not compliant	
<b>Following rectification:</b> Compliant	
<i>Reasons for finding of non-compliance:</i>	
<ul style="list-style-type: none"><li>• The CEO has not ensured compliance with the VET Quality Framework as non-compliances have been identified against SNR 15.2, 15.3, 15.4, 15.5, 16.4, 17.1, 17.4, 20.2, 22.2, 22.3, 23.1 and 24.1.</li></ul>	
<i>In order to become compliant, the organisation is required to:</i>	
<ul style="list-style-type: none"><li>• Provide evidence to address the non-compliances identified against SNR 15.2, 15.3, 15.4, 15.5, 16.4, 17.1, 17.4, 20.2, 22.2, 22.3, 23.1 and 24.1.</li></ul>	
<i>Analysis of rectification evidence:</i>	
Evidence provided included:	
<ul style="list-style-type: none"><li>• Refer to SNR 15.2, 15.3, 15.4, 15.5, 16.4, 17.1, 17.4, 20.2, 22.2, 22.3, 23.1 and 24.1.</li></ul>	
<i>Reasons for outstanding non-compliance:</i>	
<ul style="list-style-type: none"><li>• Not applicable</li></ul>	
<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

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

Original finding: Not audited

Following rectification: n/a

## SNR 20 Compliance with legislation

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

Original finding: Not audited

Following rectification: Compliant

- 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:*

Evidence reviewed:

- Participant Information Booklet
- Employee Induction Booklet

Audit Findings:

- The RTO has not demonstrated how clients are fully informed of their legislative and regulatory rights and obligations. The Participant Information Booklet references outdated information e.g. the Occupational Health and Safety (Commonwealth Employment) Act 1991, and does not mention The Standards for National VET Regulator (NVR) Registered Training Organisations 2012 or the VET Quality Framework.

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

- Provide evidence that the organisation fully informs clients of their legislative and regulatory rights and obligations that affect their participation in vocational education and training.

*Analysis of rectification evidence:*

Evidence provided included:

- Attachment 7 - updated Participant Information Handbook version 1.2.





#### *Findings*

- The updated Participant Information Handbook fully informs clients of their legislative and regulatory rights and obligations that affect their participation in vocational education and training.

#### *Reasons for outstanding non-compliance:*

- Not Applicable

<b>SNR 21 Insurance</b>	
<b>21.1</b>	<b>The NVR registered training organisation must hold public liability insurance throughout its registration period.</b>
<b>Original finding:</b> Not audited <b>Following rectification:</b> n/a	
<b>SNR 22 Financial management</b>	
<b>22.1</b>	<b>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.</b>
<b>Original finding:</b> Not audited <b>Following rectification:</b> n/a	
<b>22.2</b>	<b>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.</b>
<b>Original finding:</b> Not compliant <b>Following rectification:</b> Compliant	
<i>Reasons for finding of non-compliance:</i>	
Evidence reviewed:	
<ul style="list-style-type: none"><li>• Fee for Service Payment Form and Collection of Fees as of Feb 2014</li><li>• ACPET ASTAS Provider Report – inc special provisions</li></ul>	
<i>Audit Findings:</i>	
<ul style="list-style-type: none"><li>• The evidence provided does not align with the chosen strategy for the protection of fees in advance. Refer to SNR 22.3 for further details.</li></ul>	
<i>In order to become compliant, the organisation is required to:</i>	
<ul style="list-style-type: none"><li>• Provide evidence that the organisation clearly expresses fee information to each client</li></ul>	



which aligns with the chosen strategy for the protection of fees in advance.

*Analysis of rectification evidence:*

Evidence provided included:

- Attachment 8 - New statement of VET Tuition Assurance
- Attachment 8a - Updated Payment form
- Attachment 8b - Collection of Fees as of October 2004 (Fee for Service and Skills For All)

*Findings:*

- The information provided confirms that the organisation clearly expresses fee information to each client which aligns with the chosen strategy for the protection of fees in advance.

*Reasons for outstanding non-compliance:*

- Not Applicable

- 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:*

Evidence reviewed:

- Fee for Service Payment Form and Collection of Fees as of Feb 2014
- ACPET ASTAS Provider Report – inc special provisions

*Audit Findings:*

- The RTO has insufficient fee protection measures to demonstrate compliance with the requirements of this standard. The Fee for Service Payment Form and Collection of Fees table states that fees greater than \$1,500 are accepted for the following qualifications:
  - *Certificate IV in Hospitality*
  - *Diploma of Hospitality*
  - *Diploma of Management*
  - *Advanced Diploma of Hospitality*



○ *Certificate III in Commercial Cookery*

According to the ACPET ASTAS provider report the coverage does not include the *Certificate IV in Hospitality & Certificate III in Commercial Cookery*.

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

- Provide evidence that the organisation complies with SNR 22.3 when it collects student fees in advance.

*Analysis of rectification evidence:*

Evidence provided included:

- Attachment 9 Increased ASTAS Insurance Policy to include all qualifications on scope
- Attachment 8 New Statement of VET Tuition Assurance.

*Findings:*

The evidence provided confirms the organisation complies with SNR 22.3 when it collects student fees in advance.

*Reasons for outstanding non-compliance:*

- Not Applicable

## **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:** n/a

*Reasons for finding of non-compliance:*

Evidence reviewed:

- Copy of Certificate issued
- Copy of Statement of Attainment issued

*Audit Findings:*

- The Nationally Recognised Training (NRT) logo is not included on the Statement of Attainment in accordance with the current conditions of use.

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

- Provide evidence that Statements of Attainment include the NRT logo in accordance with the current conditions of use.

*Analysis of rectification evidence:*

Evidence provided included:

- Attachment 10 – Amended Statement of Attainment

Findings:

- The amended statement of attainment includes the NRT logo.

*Reasons for outstanding non-compliance:*

- Not Applicable.

<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>
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Original finding: Not audited

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>
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Original finding: Not audited

Following rectification: 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>
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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>
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This element was not audited.

<b>SNR 24</b>	<b>Accuracy and integrity of marketing</b>
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<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>
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Original finding: Not compliant

Following rectification: Compliant

*Reasons for finding of non-compliance:*

Evidence reviewed:

- RTO's website (qthc.edu.au)

Audit Findings:

- A review of the RTO's website on 8/09/2014 revealed that incorrect unit codes and names have been used in some of the qualifications.

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





- Review the organisation's website to ensure marketing materials are accurate.

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*Analysis of rectification evidence:*

- Evidence provided included referral to the RTO website.
- A letter of response on the update and further review of the website

*Findings*

The letter and a review of the website confirms that the course structure information for the following courses have been amended:

- SIT20213 Certificate II in Hospitality
- SIT20312 Certificate II in Kitchen Operations
- SIR20212 Certificate II in Retail
- BSB30412 Certificate III in Business Administration
- BSB30112 Certificate III in Business
- SIT50313 Diploma of Hospitality
- BSB51107 Diploma of Management
- SIT60313 Advanced Diploma of Hospitality

The letter advises that the remaining courses requiring amendments are currently being address by the RTO's webmaster as a matter of urgency. The RTO has removed these pages and replaced these with a notification that the page is "currently under construction".

*Reasons for outstanding non-compliance:*

- Not Applicable

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<b>24.2</b>	<b>The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.</b>
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**Original finding:** Not audited

**Following rectification:** n/a

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<b>SNR 25</b>	<b>Transition to Training Packages/expiry of VET accredited courses</b>
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<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>
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**Original finding:** Compliant

**Following rectification:** 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>
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**Original finding:** Not audited

**Following rectification:** n/a

