



Audit Report – VET Quality Framework

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

ORGANISATION DETAILS	
Organisation's legal name	Michael Robert Chettle
Trading name/s	Training Direct Australia
RTO number	32355
CRICOS number	NA

AUDIT TEAM	
Lead auditor	Mark Shrubshall
Auditor/s	NA
Technical adviser/s	NA

AUDIT DETAILS	
Application number/s	NA
Audit number/s	1002796
Audit reason 1	Post initial
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	2/23 Gardens Drive, Willawong, QLD 4110
Date/s of audit	4 & 5 June 2013
Organisation's contact for audit	Michael Chettle training@trainingdirectaust.com.au 1800685988
NVR standards audited	All Standards for Continuing Registration

Audit Report – VET Quality Framework

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

BACKGROUND

- The organisation provides Hospitality training and assessment in the work place.
- The organisation structure consists of Michael Chettle director and support admin staff.
- The organisations core clients are apprentices, trainees and new entrants to the hospitality industry.
- Delivery venues are workplaces in Queensland.
- Revenue sources include fee for service and government contracts.

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

125

AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
SIT30807	Certificate III in Hospitality (Commercial Cookery)	Face to face / Traineeship / Apprenticeship/ Workplace	40
SIT40307	Certificate IV in Hospitality	Face to face/ Work place	10
SITHFAB012B	Prepare and serve Espresso Coffee	Face to face/ Workplace	0
SITHFAB009A	Responsible Service of Alcohol	Face to face / Online	11
SITHGAM006A	Responsible Service of Gambling	Face to face/ Online	9

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

INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Michael Chettle	Director	SIT40307 Certificate IV in Hospitality SITHFAB012B prepare and serve espresso coffee SITHFAB009A Responsible Service of Alcohol SITHGAM006A Responsible Service of Gambling
Kelly Maguire	Admin	NA
Kelly Mills	Trainer / Assessor	SIT30807 Certificate III in Hospitality (Commercial Cookery)

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 05/06/2013: 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 12/07/2013: Compliant

AUDIT FINDING BY STANDARD

Element	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Compliant	n/a
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Compliant	n/a
SNR 20	Compliant	n/a
SNR 21	Compliant	n/a
SNR 22	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 accredited course and have been developed through effective consultation with industry.

Original finding: Compliant

Following rectification: n/a

15.3 Staff, facilities and equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the training package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry.

Original finding: Compliant

Following rectification: n/a

15.4 Training and assessment is delivered by trainers and assessors who:

(a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors; and

(b) have the relevant vocational competencies at least to the level being delivered or assessed; and

(c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and

(d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

Original finding: Compliant

Following rectification: n/a

15.5 Assessment including Recognition of Prior Learning (RPL):

(a) meets the requirements of the relevant Training Package or VET accredited course; and

(b) is conducted in accordance with the principles of assessment and the rules of evidence; and

(c) meets workplace and, where relevant, regulatory requirements; and

(d) is systematically validated.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

SIT30807 Certificate III in Hospitality (Commercial Cookery)

SITHCC014A prepare pastries, cakes and yeast goods

SITHCCC028A Prepare, cook and serve food for menus

- The assessment tools for the above units of competency did not meet all the

requirements of the units in particular the required knowledge

SIT40307 Certificate IV in Hospitality

SITXFIN004A Manage finances within a budget

SITXMGT002A Develop and implement operational plans

- The assessment tools for the above units of competency did not meet all the requirements of the units in particular the required knowledge, required skills and critical aspects of evidence.
- The assessment tools for the above units of competency did not provide clear instructions to students about assessment requirements. Information in the assessment tool consisted of a full copy of the unit which a qualified assessor would be able to interpret but a student would not.
- The organisation was unable to provide sufficient evidence of criteria defining acceptable performances outlined for all parts of the assessment tools for the above units.

SITHFAB012B Prepare and serve espresso coffee

- The assessment tool for the above unit did not meet all the requirements of the unit in particular the critical aspects of evidence
- The assessment tools for the above units of competency did not provide clear instructions to students about assessment requirements. Information in the assessment tool consisted of a full copy of the unit which a qualified assessor would be able to interpret but a student would not.

SITHFAB009A Provide responsible service of alcohol

- The assessment tool for the above unit did not meet all the requirements of the unit in particular the required knowledge
- The organisation was unable to demonstrate how the online assessment tool met the rules of evidence in particular authenticity.
Though students tick a box on the online enrolment form to say that the assessment will be their own work. Evidence provided for a student enrolment (Clair McCormack) identified that she was male. The organisation was unable to demonstrate how it had a process in place to check the details of the student enrolling online or a process to authenticate who completed the assessment tool at the end of the assessment process.

SITHGAM006 Provide responsible gambling services

- The assessment tool for the above unit did not meet all the requirements of the unit in particular the required skills.
- The organisation was unable to demonstrate how the online assessment tool met the rules of evidence in particular authenticity.

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

SIT30807 Certificate III in Hospitality (Commercial Cookery)

SITHCC014A prepare pastries, cakes and yeast goods

SITHCCC028A Prepare, cook and serve food for menus

- provide a suite of assessment tools for the above units of competency that meet all the requirements of the units in particular the required knowledge.

SIT40307 Certificate IV in Hospitality

SITXFIN004A Manage finances within a budget

SITXMGT002A Develop and implement operational plans

- provide assessment tools for the above units of competency that meet all the requirements of the units in particular the required knowledge, required skills and critical aspects of evidence.
- provide evidence of clear assessment instructions are provided to students regarding the assessment requirements for the above units of competency.
- provide evidence criteria defining acceptable performances have been developed for all parts of the assessment tools for the above units.

SITHFAB012B Prepare and serve espresso coffee

- provide assessment tools for the above unit of competency that meet all the requirements of the unit in particular the critical aspects of evidence.
- provide sufficient evidence of criteria defining acceptable performances outlined for all parts of the assessment tools for the above unit.

SITHFAB009A Provide responsible service of alcohol

- provide assessment tools for the above unit that meet all the requirements of the unit in particular the required knowledge.
- demonstrate how the online assessment tool meets the rules of evidence in particular authenticity.

SITHGAM006 Provide responsible gambling services

- provide assessment tools for the above unit that meet all the requirements of the unit in particular the required skills.
- demonstrate how the online assessment tool meets the rules of evidence in particular authenticity.

Analysis of rectification evidence:

The organisation :

SIT30807 Certificate III in Hospitality (Commercial Cookery)

SITHCC014A prepare pastries, cakes and yeast goods

SITHCCC028A Prepare, cook and serve food for menus

- provided a suite of assessment tools for the above units of competency that meet all the requirements of the above units.

SIT40307 Certificate IV in Hospitality

SITXFIN004A Manage finances within a budget

SITXMGT002A Develop and implement operational plans

- provided assessment tools for the above units of competency that meet all the requirements of the units.
- provided evidence of clear assessment instructions provided to students regarding the assessment requirements for the above units of competency.
- provided evidence criteria defining acceptable performances for all parts of the assessment tools for the above units.

SITHFAB012B Prepare and serve espresso coffee

- provided assessment tools for the above unit of competency that meet all the requirements of the unit.
- provided sufficient evidence of criteria defining acceptable performances for all parts of the assessment tools for the above unit.

SITHFAB009A Provide responsible service of alcohol

- provided assessment tools for the above unit that meet all the requirements of the unit
- has suspended its online course until it can meet requirements.

SITHGAM006 Provide responsible gambling services

- provided assessment tools for the above unit that meet all the requirements of the unit.
- has suspended its online course until it can meet requirements.

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

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

Original finding: Compliant

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a

16.3 Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.

Original finding: 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: Compliant

Following rectification: n/a

SNR 17 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.

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: 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 organisations Chief Executive has not ensured that the organisation complies with the VET Quality Framework. See non-compliances identified in this report.

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

- provide compliant rectification for the non-compliance's identified in this report.

Analysis of rectification evidence:

The organisation :

- provided compliant rectification for the non-compliance's identified in this report

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
(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 organisation was unable to provide evidence of how it meets the AQF Qualifications Issuance Policy. The organisation identified that not all students that had completed the SITHFAB009A Responsible service of alcohol or SITHGAM006A Responsible service of gambling had been awarded a statement of attainment but all had been awarded the OLGR certificate.
- The organisation stated that they only provided the student with a statement of attainment if they requested it. The organisation provided a list of nearly 400 students that had either not received a statement of attainment or had received one that was not compliant.
- The organisation provided current copy of a statement of attainment it has issued when a student requested one for the SITHFAB009A Responsible service of alcohol or SITHGAM006A Responsible service of gambling. The statement of attainment did not meet

the requirements of the AQF or the NSSC Policy: Application of the AQF Qualifications issuance policy within the VET sector. For example the statement of attainment is titled Certificate.

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

- provide evidence of how it will ensure it meets the AQF Qualifications issuance Policy.
- provide evidence of how it will ensure that all students that have completed SITHFAB009A Responsible service of alcohol and / or SITHGAM006A Responsible service of gambling will be issued with a statement of attainment in the future.
- provide evidence of how it will ensure past students that have completed SITHFAB009A Responsible service of alcohol and / or SITHGAM006A Responsible service of gambling will be issued with a compliant statement of attainment.
- provide a statement of attainment template that meets the requirements of the AQF and the NSSC Policy : Application of the AQF Qualifications issuance policy within the VET sector.

Analysis of rectification evidence:

The organisation

- provided evidence of how it will ensure it meets the AQF Qualifications issuance Policy.
- provided evidence of how it will ensure that all students that have completed SITHFAB009A Responsible service of alcohol and / or SITHGAM006A Responsible service of gambling will be issued with a statement of attainment in the future.
- provided evidence of how it will ensure past students that have completed SITHFAB009A Responsible service of alcohol and / or SITHGAM006A Responsible service of gambling will be issued with a compliant statement of attainment.
- provided a statement of attainment template that meets the requirements of the AQF and the NSSC Policy : Application of the AQF Qualifications issuance policy within the VET sector

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

Original finding: Compliant

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: Compliant

Following rectification: n/a

23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator.

[no requirements currently exist]

This element was not audited

23.5 The NVR registered training organisation must meet the requirements for implementation

of a national unique student identifier.

[no requirements currently exist]

This element was not audited

SNR 24 Accuracy and integrity of marketing

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

Original finding: Compliant

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a

SNR 25 Transition to Training Packages/expiry of VET accredited courses

25.1 The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.

Original finding: Compliant

Following rectification: n/a

25.2 The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.

Original finding: Compliant

Following rectification: n/a