



Audit Report – VET Quality Framework

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

ORGANISATION DETAILS	
Organisation's legal name	Food Safety Operations (Qld). Pty Limited
Trading name/s	Food Safety Operations (Qld) Pty Limited
RTO number	30814
CRICOS number	02976E

AUDIT TEAM	
Lead auditor	Mrs Karen Noble
Auditor/s	N/A
Technical adviser/s	N/A

AUDIT DETAILS	
Application number/s	1041230
Audit number/s	1003323
Audit reason 1	Application - change
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	Suite 4, 14 king Street, Caboolture Qld 4510
Date/s of audit	06/06/2013
Organisation's contact for audit	Mr Wayne Herrod Director admin@fsoq.com 07 5499 3388
NVR standards audited	Selected Standards for Continuing Registration: SNRs 15.2, 15.3, 15.4, 15.5, 17.3, 23.1

Audit Report – VET Quality Framework

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

BACKGROUND

- The organisation currently provides training and assessment in the meat industry. Through its association and consultation with its client, Oakey Abattoir, it identified a need for an accredited program in the workplace, due to a large percentage of workers who have English as a second language.
- The organisation has applied to add 30832QLD Certificate III in TESOL (Teaching English to Speakers of Other Languages) and 30833QLD Certificate IV in TESOL (Teaching English to Speakers of Other Languages) to its scope of registration.
- The organisation has developed a partnership with Ms Sue Baker, course owner and developer of the accredited courses on this application, in order to provide accredited training to abattoir workers for the Oakey Abattoir. The partnership agreement allows for Ms Sue Baker, the course owner, and Ms Eileen Gardam as trainers and assessors for the qualifications.
- Although the organisation intends to provide training and assessment at the Oakey Abattoir, the employer will not contribute to the learning and assessment.
- The organisation was well prepared for the audit and provided rectification evidence to address non-compliances at the time of audit.

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

N/A

AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
30832QLD	Certificate III in TESOL (Teaching English to Speakers of Other Languages)	Face to face	N/A
30833QLD	Certificate IV in TESOL (Teaching English to Speakers of Other Languages)		

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

INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Mr Wayne Herrod	Director	N/A
Ms Lisa Bishop	Training Compliance Administrator	N/A
Mr Gordon Levitt	Business Manager	N/A
Ms Sue Baker	Trainer/Assessor/Course owner	30832QLD, 30833QLD

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 06/06/2013: Minor non-compliance

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

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 06/06/2013: 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	Not audited	n/a
SNR 20	Not audited	n/a
SNR 21	Not audited	n/a
SNR 22	Not audited	n/a
SNR 23/AQF	Compliant	n/a
SNR 24	Not audited	n/a
SNR 25	Not audited	n/a

SNR 15 The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:	
15.1	The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.
Original finding: Not audited	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:

- **TESGRM303A Assist English as a foreign language/English as a second language learners with grammar (30832QLD)**
 The practical assessment was not supported by criteria defining acceptable performance for assessors and included minimal detail in the assessment instructions for students. As a result, it could not be confirmed that assessment would ensure all the requirements of the unit of competency would be addressed specifically, the required skills and the critical aspects of evidence.

- **TESCHD412A Use creative strategies to assist children to learn English (30833QLD)**
The assessment tools provided did not demonstrate assessment of the critical aspect 'at least three (3) different activities must be incorporated into lessons'.

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

- **TESGRM303A Assist English as a foreign language/English as a second language learners with grammar (30832QLD)**
Provide assessment tools, supported by criteria defining acceptable performance for assessors and assessment instructions for students, that will ensure all the requirements of the unit of competency will be addressed, specifically the required skills and the critical aspects of evidence.
- **TESCHD412A Use creative strategies to assist children to learn English (30833QLD)**
Provide evidence that assessment tools address all critical aspects of evidence requirements for the unit of competency.

Analysis of rectification evidence:

- **TESGRM303A Assist English as a foreign language/English as a second language learners with grammar (30832QLD)**
At audit, the organisation provided amended assessment tools, supported by criteria defining acceptable performance for assessors and assessment instructions for students, which were sufficient to ensure all requirements of the unit of competency will be addressed, specifically the required skills and critical aspects of evidence.
- **TESCHD412A Use creative strategies to assist children to learn English (30833QLD)**
At audit, the organisation provided amended assessment tools which were sufficient to address all critical aspects of evidence requirements for the unit of competency.

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: Not audited

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: Not audited

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: Not audited	Following rectification: n/a
16.6	Learners have timely access to current and accurate records of their participation and progress.
Original finding: Not audited	Following rectification: n/a
16.7	The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.
Original finding: Not audited	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: Not audited	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 audited	Following rectification: n/a
17.3	The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.
Original finding: Compliant	Following rectification: n/a
17.4	The NVR registered training organisation manages records to ensure their accuracy and integrity.
Original finding: Not audited	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 non-compliances identified at audit confirm the organisation's chief executive has not ensured that the NVR registered training organisation has complied with the VET Quality Framework across its scope of registration.

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

- Successfully addressing the non-compliances identified at audit will confirm the organisation's chief executive has ensured that the NVR registered training organisation will comply with the VET quality framework across its scope of registration.

Analysis of rectification evidence:

- The organisation provide evidence to address identified non-compliances at the site audit, confirming the organisation's chief executive has ensured that the NVR registered training organisation will comply with the VET quality framework across its scope of registration.

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: Not audited

Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

19.1 The NVR registered training organisation must co-operate with the National VET Regulator:

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

Original finding: Not audited

Following rectification: n/a

SNR 20 Compliance with legislation

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

Original finding: Not audited

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: Not audited

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: Not audited

Following rectification: n/a

SNR 22 Financial management

22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.

Original finding: Not audited

Following rectification: n/a

22.2 The NVR registered training organisation must provide the following fee information to each client:

- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;
- (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
- (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;
- (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and
- (e) the organisation's refund policy.

Original finding: Not audited

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: Not audited

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: Compliant

Following rectification: n/a

23.2 The NVR registered training organisation must recognise the AQF qualifications and 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 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: Not audited

Following rectification: n/a

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

Original finding: Not audited

Following rectification: n/a

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

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

Original finding: Not audited

Following rectification: n/a

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

Original finding: Not audited

Following rectification: n/a