

TOId: 22542
VRQA-2016-172
File ref: 11/00637



Victorian Registration &
Qualifications Authority

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Ms Amy Hickman
Director
Serve it Up Training Pty Ltd
Ground Level, 333 Flinders Lane
MELBOURNE VIC 3000

Dear Ms Hickman

Re: Rectification Matters and Renewal of Registration

Thank you for your response regarding the rectification of non-compliance matters identified at the audit held on 29 August 2016.

Please be advised that the Victorian Registration and Qualifications Authority (VRQA) is satisfied that your organisation, Serve it Up Training Pty Ltd, has taken the appropriate measures to meet the minimum requirements for compliance with the *Australian Quality Training Framework Essential Conditions and Standards for Continuing Registration* and the *VRQA Guidelines for VET Providers*.

Given your satisfactory and comprehensive response, I have renewed the registration of Serve it Up Training Pty Ltd for a period of five years to **31 December 2021**.

If you have any further questions in relation to this application, please contact Ms Julie Florence on (03) 9032 1560 or email qar@edumail.vic.gov.au.

Yours sincerely

A handwritten signature in blue ink, appearing to read 'Rick Harrison', is written over a horizontal line.

Rick Harrison
Deputy Director,
VRQA

25/11/2016

AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

Applicant Details			
Applicant Name	Serve It Up Training Pty Ltd	TOID	22542
Address	Ground level, 333 Flinders Lane, Melbourne Vic 3000		
		Website	
Registration Contact	Miss Amy Hickman		
Phone Number	1300 555 748	Email	amy@serveitup.com.au
Audit Team			
Audit Firm	ShineWing Australia	Auditor/s	John Molenaar
Auditor/s		Other Attendees	
Registering Body Details			
Contact Person	Simon Thorn		
Phone Number	9032 1562	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	1, 3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.3, 3.4
2016 VRQA Guidelines Audited	1.3	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8 (If applicable)	
	3.1, 3.2, 3.3, 3.4, 3.5	4.1, 4.2, 4.3, 4.4, 4.5, 4.6	
Audit Date/s	29 August 2016		
RTO Background			
<p>Serve It Up Training Pty Ltd is a small training company focused on improving the efficiency, productivity and profitability of hospitality and retail businesses by training to develop skills in a hospitality environment. The RTO has written its own training and assessment materials, to support holistic training of skills and knowledge.</p> <p>Facilities at 62 Little Latrobe Street include a fully equipped bar, restaurant room and two classrooms, providing simulated experiences. The RTO is open for two shifts per week for students to complete simulated shifts to practice their skills before they head to the workplace. Facilities at Word Bar (13 Goldie Place, Melbourne) are also used for practical training.</p> <p>Most students enrol in a dual qualification Certificate IV in Hospitality/Certificate IV in Leadership and Management.</p> <p>The clients enrolled include fulltime employed trainees, casually employed staff and new entrants to the industry. The average student would be 22 years old, looking for part-time or fulltime work and hoping to progress to a management role in the industry. Clients include university students who are looking to achieve skills for part time employment in the hospitality industry.</p> <p>Most learners are eligible for government funded training and about 10% are full fee paying students.</p>			

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

Clients become aware of the training through word of mouth or through a marketing broker – Taught Recruitment. Clients responding to job advertisements are also informed of the training available. Serve It Up Training has entered into a partnership agreement with Taught Recruitment for referring potential students to the RTO.

The training durations for the qualifications at Serve It Up Training are of a relatively short duration, however, the review of training and assessment arrangements, practical experience and student interviews confirmed that students were provided with adequate opportunities to develop the knowledge and skills required of the units of competency. All students enrolled in the dual hospitality and leadership qualification are required to complete 36 food service periods in a realistic work environment prior to being assessed as competent for practical skills. This experience is achieved through part time employment or at the RTOs food and beverage area.

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

Qualifications/Units Audited¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
BSB40812	Certificate IV in Frontline Management	62 Little La Trobe Street, Melbourne Vic 3000
BSB42015	Certificate IV Leadership and Management	62 Little La Trobe Street, Melbourne Vic 3000
SIT40313	Certificate IV in Hospitality	62 Little La Trobe Street, Melbourne Vic 3000

Interviewee(s) – Staff name and position; employer name and position	
Stephanie Muscat	Coordinator Trainer/assessor: Certificate IV in Hospitality
Class of six students	Certificate IV in Hospitality

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
If 'No', please provided amended details below:		

Third party Arrangements –	Yes	No
Do the RTO's third party arrangements match the information provided by the VRQA?	X	
<p>Serve It Up Training has entered into a partnership agreement for the marketing of training services and referral of students to Serve It Up Training courses. An agreement was reviewed at audit confirming the responsibilities of each party. Students interviewed confirmed that they had not been promised a job outcome.</p> <p>2016 Reporting of Brokerage Services Form identified:</p> <ul style="list-style-type: none"> Taught Recruitment Whitaker Management Pty Ltd - no students to date. <p>Completed Form F – Notification of Third Party Arrangements:</p> <ul style="list-style-type: none"> Paragon Advisors Pty Ltd (six students - not on register). Recruitment to prospective students signed 6/7/2016. Declaration by PEO 8/7/2016. <p>Sighted Letters of Engagement – Taught Recruitment for 15 letters to clients, Feb – Mar 2016.</p>		

¹ Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

Audit Summary - AQTF Conditions of Registration

AQTF Conditions		Compliant	Non - Compliant	Not audited
1	Governance	X		
2	Interactions with the Registering Body			X
3	Compliance with Legislation	X		
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	X		
7	Recognition of Qualifications Issued by other RTOs	X		
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses	X		

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1	X		
1.1 – Continuous Improvement Strategy	X		
1.2 – Training and Assessment Strategies	X		
1.3 – Training and Assessment Resources	X		
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies		X	
Standard 2	X		
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services	X		
2.3 – Provision of Information to Clients	X		
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy	X		
Standard 3	X		
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations	X		
3.3 – Third-Party Training and/ or Assessment Services	X		
3.4 – Records Management	X		
Summary of Non-Compliance²			
<p>SF.1.5.1 Assessment did not meet the requirements of the relevant Training Package. For the unit: SITHFAB204 Prepare and serve espresso coffee</p> <ul style="list-style-type: none"> Assessment was not conducted in accordance with the principles of assessment as it was not based on evidence that demonstrated that a learner could demonstrate the skills and knowledge of the competent making of nine different coffee types on multiple occasions and judgement of competence was not based on evidence of learner performance aligned to the unit of competence and associated assessment requirement – competent making of nine different types of coffee. Assessment was not conducted in accordance with the rules of evidence as the assessor did not provide records to confirm that the quality and quantity and relevance of assessment enabled a judgement to be made of the learners' competence in making nine different types of coffee on multiple occasions. <p>For the unit:</p>			

² SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

SITXHRM402 Lead and manage people

- Assessment was not conducted in accordance with the principles of assessment as the assessment was not based on evidence that demonstrated that a learner could demonstrate the skills and knowledge to:
 - lead by example and build positive team culture through effective leadership
 - monitor individual and team performance over a period of time and motivate individuals and teams to achieve optimum performance
 - judgement of competence was not based on evidence of learner performance aligned to the unit of competence and associated assessment of the candidate leading by example and building positive team culture through effective leadership and monitoring individual and team performance over a period of time and motivating individuals and teams to achieve optimum performance.
- Assessment was not conducted in accordance with the rules of evidence as the assessor did not provide records to confirm that the quality and quantity and relevance of assessment enabled a judgement to be made of the learners' competence in leading by example and building positive team culture through effective leadership and monitoring individual and team performance over a period of time and motivating individuals and teams to achieve optimum performance.

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
1. Governance, Financial viability and Management systems			X
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
2. Transparency and oversight of third parties	X		
2.1 – Third party agreement	X		
2.2 – Co-operation with VRQA	X		
2.3 – Notifying VRQA of Third party agreements	X		
2.4 – Information - Disclosure of third party services	X		
2.5 – Pre-enrolment materials - Disclosure of third party services	X		
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services	X		
2.8 – Appeals - Third party services	X		
3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)	X		
3.1 – Vocational & Industry skill requirements	X		
3.2 – Training and Assessment (TAE) skill requirements	X		
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
4. Delivery of training and assessment services	X		
4.1 – Training and assessment practices	X		
4.2 – Amount of training	X		
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
5. Annual Declaration of Compliance	X		
5.1 – Annual Declaration of Compliance	X		

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The Director had ensured that the RTO complied with the AQTF Essential Conditions and Standards for Continuing Registration and national guidelines.	<ul style="list-style-type: none"> • Organisation Chart • Register of Trainers • Completed Fit and Proper Person Declarations 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

CONDITION 3 - Compliance with Legislation			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up Training demonstrated knowledge of and compliance with Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration. It ensures that its staff and clients are fully informed of these requirements that affect their duties or participation in vocational education and training.	<ul style="list-style-type: none"> • Student Handbook • Staff and Employees Handbook • Policy and Procedures – Compliance with legislative and regulatory requirements 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up Training had issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF) TGA. The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.	<ul style="list-style-type: none"> • Issuing Qualifications Policy and Procedures. • Records Management Procedures • Samples of Issued Certificates and Statements of Attainment 	N/A	
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The RTO had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years.	<ul style="list-style-type: none"> • Records Management Policy and Procedures • Examples VETtrak Data Management System entries 	N/A	
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up Training had a student records management system in place that had the capacity to provide the registering body with AVETMISS compliant data.	<ul style="list-style-type: none"> • Samples in VETtrak Data Management System 	N/A	
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The RTO had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2015.	<ul style="list-style-type: none"> • VETtrak Data Management System 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Serve It Up Training had met the requirements for implementation of a national unique student identifier.	<ul style="list-style-type: none"> • Website– USI requirements. • Student Handbook – Unique Student Identifier. • USI fact sheet. • Pre-training review checks. 	N/A

Improvement Opportunities
<p>C6.1.1 Serve It Up Training would benefit from including on the reverse of the Certificate, along with the unit code and title, the date of enrolment and result (C, CT, RPL) or provide the student with a separate Statement of Results that identifies each unit, date of enrolment and result.</p>

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

CONDITION 7 - Recognition of Qualifications Issued by other RTOs			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The RTO had procedures in place for the recognition of AQF Qualifications and Statements of Attainment issued by any other RTOs. Students were informed in the Student Handbook 2016 and in course brochures.	<ul style="list-style-type: none"> • Policy and Procedures Manual • Course brochures • Student Handbook • Traineeship Handbook 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

CONDITION 8 - Accuracy and Integrity of Marketing			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The RTO had ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration and had monitored the marketing activities if its broker Taught Recruitment. The NRT logo was employed in accordance with its conditions of use.	<ul style="list-style-type: none"> • Marketing materials for four course on scope • Course brochures as on website. • Broker induction and file checklist. • Third Party Application Form. • Marketing and recruitment standards. • Third Party Induction PowerPoint. • Contractor Agreement. • Letter of Engagement. 	N/A	

Improvement Opportunities
<p>C8.1.1 Serve It Up Training would benefit by including students referred through brokers on the Broker Register and ensure that the VRQA is informed of all brokers.</p>

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The RTO had provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA.	<ul style="list-style-type: none"> • Policy and Procedures 24 and 25 Transition to revised Training Packages. • TGA record 29/3/2016 – current. 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up Training collected, analysed and acted on relevant data for continuous improvement of training and assessment.	<ul style="list-style-type: none"> • Policy and Procedures 29 Continuous Improvement. • Continuous Improvement Register • 2016 Survey data summary 	N/A	

Improvement Opportunities

SI.1.1

Serve It Up Training would benefit by modifying its Continuous Improvement Register to identify the source, issue and specific action.

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Strategies for training and assessment met the requirements of the relevant Training Package and were developed in consultation with industry.	<p>Learning and assessment strategies for:</p> <ul style="list-style-type: none"> • BSB40812 Certificate IV in Frontline Management <i>BSBMGT401A Show leadership in the workplace</i> <i>BSBMGT404A Lead and facilitate off site staff</i> • BSB42015 Certificate IV Leadership and Management. Dual qualification with the qualification SIT40313 Certificate IV in Hospitality <i>SITXHRM402 Lead and manage people</i> <i>BSBLDR402 Lead effective workplace relationships</i> • SIT40313 Certificate IV in Hospitality <i>SITHFAB307 Provide table service of food and beverage</i> <i>SITHFAB204 Prepare and serve espresso coffee</i> 	N/A	

Improvement Opportunities
<p>SI.1.2</p> <ul style="list-style-type: none"> • Duration of qualification delivery and assessment had been based on past experience with client groups and industry feedback. Serve It Up Training would benefit by including in the TAS the rationale for the amount of training for each course based on the following indicators: <ul style="list-style-type: none"> – AQF Volume of Learning

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

- Nominal hours
- Skills and experience of learners
- Employer feedback
- Support available to learners
- For the qualification BSB40812 Certificate IV in Frontline Management the TAS accurately identified the training product but the release date and version information was not provided. Serve It Up Training would benefit by including this information in the TAS.

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package and qualifications and the RTO's own training and assessment strategies.	<p>Staff, facilities, equipment and training and assessment materials related to the following qualifications and sample of units:</p> <p>SIT40313 Certificate IV in Hospitality BSB42015 Certificate IV Leadership and Management <i>Units:</i> <i>SITHFAB307 Provide table service of food and beverage</i> <i>SITHFAB204 Prepare and serve espresso coffee</i> <i>Units:</i> <i>SITXHRM402 Lead and manage people</i> <i>BSBLDR402 Lead effective workplace relationships</i></p> <p>BSB40812 Certificate IV in Frontline Management <i>BSBMGT401A Show leadership in the workplace</i> <i>BSBMGT404A Lead and facilitate off site staff</i></p>	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:			Compliant
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.			
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>Training and assessment is delivered by trainers and assessors who have the necessary training and assessment competencies and have the relevant vocational competencies at least to the level being delivered or assessed, and can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	<p>Personnel files for the following trainers/assessors:</p> <p>BSB40812 Certificate IV in Frontline Management <i>BSBMGT401A Show leadership in the workplace</i> <i>BSBMGT404A Lead and facilitate off site staff</i> Trainers/assessors:</p> <p>BSB42015 Certificate IV Leadership and Management <i>SITXHRM402 Lead and manage people</i> <i>BSBLDR402 Lead effective workplace relationships</i> Trainers/assessors:</p> <ul style="list-style-type: none"> • Amy Hickman • Stephanie Anania • Sarah Arifovic • Kate Smith • Gem Doonan • Stephanie Muscat • Jackson 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

	<p>SIT40313 Certificate IV in Hospitality <i>SITHFAB307 Provide table service of food and beverage</i> <i>SITHFAB204 Prepare and serve espresso coffee</i> Trainers/assessors: Trainers/assessors:</p> <ul style="list-style-type: none">• Amy Hickman• Stephanie Anania• Sarah Arifovic• Kate Smith• Gem Doonan• Stephanie Muscat• Jackson	
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Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):			Non-Compliant
a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated.			
SF.1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>Assessment did not meet the requirements of the relevant Training Package.</p> <p>For the unit: SITHFAB204 Prepare and serve espresso coffee</p> <ul style="list-style-type: none"> Assessment was not conducted in accordance with the principles of assessment as it was not based on evidence that demonstrated that a learner could demonstrate the skills and knowledge of the competent making of nine different coffee types on multiple occasions and judgement of competence was not based on evidence of learner performance aligned to the unit of competence and associated assessment requirement – competent making of nine different types of coffee. Assessment was not conducted in accordance with the rules of evidence as the assessor did not provide records to confirm that the quality and quantity and relevance of assessment enabled a judgement to be made of the learners' 	<p>PP 18 Assessment of competencies PP 29 Continuous Improvement PP 17 Recognition of Prior Learning and Credit Transfer</p> <p>Assessment arrangements and completed student assessments for the following qualifications and sample of units:</p> <p>BSB40812 Certificate IV in Frontline Management BSBMGT401A Show leadership in the workplace BSBMGT404A Lead and facilitate off site staff</p> <p>BSB42015 Certificate IV Leadership & Management SITXHRM402 Lead and manage people BSBLDR402 Lead effective workplace relationships</p> <p>SIT40313 Certificate IV in Hospitality SITHFAB307 Provide table service of food and beverage SITHFAB204 Prepare and serve espresso coffee Session</p>	<p>For the unit: SITHFAB204 Prepare and serve espresso coffee Serve It Up Training is required to review and modify the assessment instruments, tasks and tools for the unit <i>SITHFAB204 Prepare and serve espresso coffee</i> to ensure that students demonstrate the competent making of nine different types of coffee, on multiple occasions, and maintain records of observation identifying the criteria observed.</p> <p>For the unit: SITXHRM402 Lead and manage people</p> <ul style="list-style-type: none"> Serve It Up Training is required to review and modify the assessment instruments, tasks and tools for the unit <i>SITXHRM402 Lead and manage people</i> to ensure that students could demonstrate the skills and knowledge to: <ul style="list-style-type: none"> lead by example and build positive team culture through effective leadership monitor individual and team performance over a period of time and motivate individuals and teams to achieve optimum performance

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

<p>competence in making nine different types of coffee on multiple occasions.</p> <p>For the unit: SITXHRM402 Lead and manage people</p> <ul style="list-style-type: none"> • Assessment was not conducted in accordance with the principles of assessment as the assessment was not based on evidence that demonstrated that a learner could demonstrate the skills and knowledge to: <ul style="list-style-type: none"> - lead by example and build positive team culture through effective leadership - monitor individual and team performance over a period of time and motivate individuals and teams to achieve optimum performance - judgement of competence was not based on evidence of learner performance aligned to the unit of competence and associated assessment of the candidate leading by example and building positive team culture through effective leadership and monitoring individual and team performance over a period of time and motivating individuals and teams to achieve optimum performance. • Assessment was not conducted in accordance with the rules of evidence as the assessor did not provide records to confirm that the quality and quantity and relevance of assessment enabled a judgement to be made of the learners' competence in leading by example and building 		<ul style="list-style-type: none"> - maintain records of observation identifying the criteria observed.
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Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

<p>positive team culture through effective leadership and monitoring individual and team performance over a period of time and motivating individuals and teams to achieve optimum performance.</p>		
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Improvement Opportunities
<p>SI.1.5</p> <ul style="list-style-type: none"> • Serve It Up Training would benefit by including research activities in student learning project assessments to access real workplace documentation. • Though Serve It Up Training had provided evidence of validation of assessments, the RTO would benefit by developing a validation plan consistent with Clauses 1.9, 1.10 and 1.11 of the Standards for RTOs 2015.

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The RTO had established the needs of clients and delivered services to meet these needs.	<ul style="list-style-type: none"> • Policy and Procedure 16 Selection, Enrolment, Training and Assessment Procedure. • Pre-training reviews – samples on student files. • Policy and Procedure Student Welfare. • Critical Incident Policy 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The RTO had identified and implemented a strategy for the continuous improvement of client services by collecting, analysing and acting upon relevant data.	<ul style="list-style-type: none"> Policy and Procedure 29 Continuous Improvement. 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up Training had provided sufficient information, before clients enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.	<ul style="list-style-type: none"> • Policy and Procedure 16 Selection, Enrolment, Training and Assessment Procedure. • Policy and Procedure 14 Fees, Charges and Refunds. • Policy and Procedure 15 Marketing and Recruitment Standards. • PTR Poster – Information for trainers. 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

2.4 - 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.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The employer contributed significantly to each learner's training and assessment through the provision of work experience and was engaged in the development, delivery and monitoring of training and assessment.	<ul style="list-style-type: none"> • PP18 Assessment of Competencies – External moderation • PP 26 Work-based Training Agreements and venues. • WBT Agreements. 	N/A	

Improvement Opportunities
<p>SI.2.4</p> <p>Serve It Up Training would benefit by reviewing procedures by which students meet the service period requirements for the Certificate IV in Hospitality, with an employer during their own organised work experience to ensure that students not in employment are adequately protected in case of injury.</p>

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

2.5 - Learners receive training, assessment and support services that meet their individual needs.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The RTO had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs.	<ul style="list-style-type: none"> • PP16 Selection, Enrolment, Training and Assessment Procedure. • PP 10 Student – Educational and Welfare Support Services. • Interviews with 6 hospitality students 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

2.6 - Learners have timely access to current and accurate records of their participation and progress.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress.	<ul style="list-style-type: none"> • PP16 Selection, Enrolment, Training and Assessment Procedure. • PP 32 Records Management. • Student Handbook. 	N/A	

Improvement Opportunities
<p>SI.2.6 Serve It Up would benefit by informing students of how they can have access to current records of their participation and progress by including information in the Student Handbook.</p>

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Following rectification at audit, Serve It Up Training had included an internal appeals process in the Complaints procedures and clarified the source of the external mediator – ACPET.	Detail of evidence reviewed relating to element 2.7	Details of required rectification relating to element 2.7	

Improvement Opportunities
<p>SI.2.7 Serve It Up Training had identified ACPET as the external source of mediation for students in the Student Handbook. Serve It Up Training would benefit by checking the currency of membership with ACPET if this is to be the source of external mediation for its students or to identify an alternative source of mediation, and inform students of this source.</p>

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up Training management ensured clients received the services detailed in their agreement with the RTO.	<ul style="list-style-type: none"> • PP1 Administration and Management, Staff, Training Environment, Certificates and Statements of Attainment, Credit Transfer, Student Information. • PP2 Governance – Purpose, structure, company. Changes to control, management or operations. Interactions with the regulating body, management meetings. • Organisation Chart. • Sample of Student files. 	N/A	

Improvement Opportunities
<p>SI.3.1 Serve It Up Training would benefit from identifying on all documentation, all qualifications and units as identified on the TGA including code and title.</p>

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up Training had implemented a systematic and continuous improvement approach to the management of operations.	<ul style="list-style-type: none"> • PP29 Continuous Improvement • Continuous Improvement Register. • Internal Audit Conducted July 2016 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
No courses were delivered on behalf of the RTO.	N/A	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

3.4 - The RTO manages records to ensure their accuracy and integrity.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up Training managed records to ensure their accuracy and integrity.	<ul style="list-style-type: none"> • Policy and Procedure 11 • Policy and Procedure 29 Continuous Improvement • Policy and Procedure 32 Records Management • Sample of records and documents maintained throughout the audit. 	N/A	

Detailed Findings – 2016 VRQA Guidelines for VET Providers

GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>Serve It Up Training had ensured services provided on its behalf by Taught Recruitment for referral of potential students to Serve It Up Training were the subject of a written agreement.</p>	<ul style="list-style-type: none"> Contractor agreement. Register of agreements. Agreement with Taught Recruitment. VRQA Form B – notifying of third party arrangement. PP 10 Monitoring of Contractors - surveys, performance review. Taught Recruitment - sighted letters to clients Feb and Mar 2016. 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>Serve It Up Training had ensured that the third party delivering brokerage services on its behalf was required, under a written agreement, to cooperate with the VRQA:</p> <p>a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and</p> <p>b) for the purposes of the conduct of any audit or monitoring of its operations.</p>	<ul style="list-style-type: none"> • Agreement 5 Contractors Obligations • Register of Third Party Agreement 2016 	<p>N/A</p>	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

GUIDELINE 2.3 – An RTO notifies the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:			Compliant
a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and b) within 30 calendar days of the agreement coming to an end.			
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up had notified the VRQA of a written agreement entered into with Taught Recruitment through the completion and submission of Form F Recruitment to prospective students signed 6/7/2016. Declaration by PEO 8/7/2016.	<ul style="list-style-type: none"> Form F Recruitment to prospective students signed 6/7/2016. 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party.	<ul style="list-style-type: none"> • Agreement and arrangements with Taught Recruitment. • Contractor Agreement – accuracy of information. • Third Party Application Form. • Third Party Induction PowerPoint. 	N/A	
Serve It Up Training had ensured that information provided by Taught Recruitment, was both accurate and factual, and clarified that they were recruiting prospective students for an RTO on its behalf.			

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO t provides, in print or through referral to an electronic copy, current and accurate information that:			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>a) enables the student to make informed decisions about undertaking training with the RTO and</p> <p>b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf</p>	<ul style="list-style-type: none"> • Agreement and arrangements with Taught Recruitment. • Contractor Agreement – accuracy of information. • Third Party Application Form. • Third Party Induction PowerPoint. • Course brochures. 	N/A	
<p>Serve It Up Training had in print current and accurate information that, prior to the enrolment of students, enabled the student to make informed decisions about undertaking training with the RTO.</p>			

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
a) the RTO, its trainers, assessors or other staff; b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or c) a student of the RTO.			
Serve It Up Training had a complaints policy to manage and respond to allegations involving the conduct of a third party providing services on the RTO's behalf.	<ul style="list-style-type: none"> Complaints Procedures. Internal audit checklist. 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up had an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.	<ul style="list-style-type: none"> Complaints Procedures (See 2.7). Internal audit checklist. 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

<p>GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:</p> <ul style="list-style-type: none"> a) vocational competencies at least to the level being delivered and assessed; b) current industry skills directly relevant to the training and assessment being provided; and c) current knowledge and skills in vocational training and learning that informs their training and assessment. <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>All trainers/assessors delivering the qualifications reviewed had:</p> <ul style="list-style-type: none"> a) vocational competencies at least to the level being delivered and assessed; b) current industry skills directly relevant to the training and assessment being provided; and c) current knowledge and skills in vocational training and learning that informs their training and assessment. 	<p>See Standard 1.4</p>	<p>N/A</p>	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
All trainers/assessors delivering the qualifications reviewed had the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.	See Standard 1.4	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Serve It Up had identified in the TAS for each qualification a duration and amount of training based on the student's capacity to complete the course based on 12-14 days of face to face training and completion of 36 service periods in a cafe/restaurant environment.	Training and Assessment Strategies and session plans for the following qualifications: <ul style="list-style-type: none"> • BSB40812 Certificate IV in Frontline Management • BSB42015 Certificate IV Leadership and Management. • SIT40313 Certificate IV in Hospitality 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
a) the existing skills, knowledge and the experience of the student; b) the mode of delivery; and c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.			
Serve It Up had provided a rationale for the amount of training and duration of each qualification delivery based on the following indicators: <ul style="list-style-type: none"> • AQF Volume of Learning • Nominal hours • Holistic delivery methodology • Self-paced learning components • Experience of learners • Employer feedback. 	<ul style="list-style-type: none"> • Training and assessment strategies • Session Plans • Student interviews 	N/A	

Audit Date: 29 August 2016

RTO: Serve It Up Training Pty Ltd

GUIDELINE 5.1 - An RTO registered with the VRQA has provided an annual declaration of compliance with the AQTF Essential Conditions and Standards for Continuing Registration (the AQTF Standards) and these Guidelines, and in particular whether it:			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and c) has training and assessment strategies and practices in place that ensure that all current and prospective students are or will be trained and assessed in accordance with the requirements of the AQTF Standards and these Guidelines.			
Serve It Up Training had provided an annual declaration of compliance with the AQTF Essential Conditions and Standards for Continuing Registration (the AQTF Standards) and these Guidelines.	<ul style="list-style-type: none"> Annual Declaration of Compliance submitted to the VRQA on 30/3/2016. 	N/A	