

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021 RTO: 22542 Serve it Up Training Pty Ltd

<b>Applicant Details</b>			
Applicant Name	Serve it Up Training Pty Ltd	TOID	22542
Address	39/617-643 Spencer Street, WEST MELBOURNE VIC 3003		
	Website	<a href="https://serveitup.com.au/">https://serveitup.com.au/</a>	
Registration Contact	Miss Amy Hickman		
Phone Number	1300 555 748	Email	<a href="mailto:amy@serveitup.com.au">amy@serveitup.com.au</a>
<b>Audit Team</b>			
Audit Firm	ShineWing Australia	Lead Auditor	Casey Helman
Auditor/s		Other Attendees	Amy Hickman Stephanie Muscat Renee Rainey Kimberly Rogers
<b>Registering Body Details</b>			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	<a href="mailto:vet.audit@edumail.vic.gov.au">vet.audit@edumail.vic.gov.au</a>
<b>Audit Details</b>			
Type of Audit	<b>Re-Registration Audit</b>		
Conditions Audited	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.,4
2016 VRQA Guidelines Audited		2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8	
	3.1, 3.2	4.1, 4.2	
Audit Date/s	16 <sup>th</sup> & 19 <sup>th</sup> August		
<b>RTO Background</b>			
<p>Serve it Up Training Pty Ltd is a Registered Training Organisation that specialises in delivering hospitality and management qualifications to the hospitality sector. They have a three-level training facility in West Melbourne, which includes a cafe and restaurant "Hunters &amp; Disciples" to provide students real experience and skills needed to land a job in Melbourne's hospitality scene. Serve it Up Training Pty Ltd invite hospitality employers to the venue to recruit students directly.</p> <p>COVID-19 has had a significant impact on the RTO. Enrolment numbers have dropped by more than 50% as the hospitality industry as a whole suffers greatly from the government mandated lockdowns.</p> <p>During this time, Serve it Up Training Pty Ltd have been motivated for a complete transfer onto the cloud. All policies and procedures are in one note, which also stores revision histories of each policy, and interactive live document with links to other information as required. It is clear the RTO has spent considerable time and resources on their new systems which automate and streamline the enrolment and pre-training review processes.</p> <p>Serve it Up Training Pty Ltd attention to detail and record keeping were strengths of their audit.</p>			

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021 RTO: 22542 Serve it Up Training Pty Ltd

Qualifications/Units Audited <sup>1</sup>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
SIT40416	Certificate IV in Hospitality <ul style="list-style-type: none"> <li>• BSBDIV501 Manage diversity in the workplace</li> <li>• SITXFIN003 Manage finances within a budget</li> </ul>	RTO
BSB42015	Certificate IV Leadership and Management <ul style="list-style-type: none"> <li>• BSBLDR403 Lead team effectiveness</li> <li>• BSBMGT402 Implement operational plan</li> </ul>	RTO

Interviewee(s) – Staff name and position; employer name and position	
Amy Hickman	CEO
Stephanie Muscat	Training Manager
Renee Rainey	Operations Manager
Kimberly Rogers	Compliance Manager

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	

<sup>1</sup> Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021 RTO: 22542 Serve it Up Training Pty Ltd

**Audit Summary - AQTF Conditions of Registration**

AQTF Conditions Place an X in the appropriate column		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 Summary - AQTF Standards**

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<b>Standard 1</b>			
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	
<b>Standard 2</b>			
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		
<b>Standard 3</b>			
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		

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

**Audit Summary – 2016 VRQA Guidelines for VET Providers**

<b>2016 VRQA Guidelines</b>	<b>Compliant</b>	<b>Non - Compliant</b>	<b>Not audited</b>
<b>1. Governance, Financial viability and Management systems</b>			
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
<b>2. Transparency and oversight of third parties</b>			
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		
<b>3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)</b>			
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
<b>4. Delivery of training and assessment services</b>			
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
<b>5. Annual Declaration of Compliance</b>			
5.1 – Annual Declaration of Compliance			X

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

### Detailed Findings - AQTF Conditions of Registration

<b>CONDITION 1 - Governance</b>	<b>Not audited in Phase 2 audit</b>
<b>CONDITION 2 - Interactions with the Registering Body</b>	<b>Not audited in Phase 2 audit</b>
<b>CONDITION 3 - Compliance with Legislation</b>	<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>Staff Induction module overview &amp; list of trainers/staff enrolled – legal compliance section</li> <li>Trainer induction checklist</li> <li>Staff Induction checklist</li> <li>RTO &amp; Employer Agreement</li> <li>Declaration page of enrolment form.</li> <li>Sample welcome email.</li> <li>Student handbook</li> </ul>	
<b>CF.3.1</b>	<b>Finding</b>
	<b>Required Rectification(s)</b>
<p>Serve it Up Training Pty Ltd has processes in place to identify, communicate and comply with relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration.</p> <p>It ensures that its staff and clients are fully informed of these requirements that affect their duties or participation in vocational education and training via staff and student induction programs and access to information via internal training modules and the student handbook.</p>	
N/A	
<b>CONDITION 4 - Insurance</b>	<b>Not audited in Phase 2 audit</b>

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>CONDITION 5 - Financial Management</b>	<b>Not audited in Phase 2 audit</b>
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<b>CONDITION 6 - Certification &amp; Issuing of Qualifications &amp; Statements of Attainment</b>	<b>Compliant</b>
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Evidence/Documentation Reviewed	
<ul style="list-style-type: none"> <li>• SIU Issuing qualifications Policy</li> <li>• Copy of student certificate and record of result (issued 22/06/2021)</li> <li>• Copy of traineeship certificate and record of result (issued 05/12/2009)</li> <li>• Copy of SOA certificate (issued 12/04/2020)</li> <li>• Sample email to students of cert issued on time</li> <li>• Register of Certificate and SOA's 2019-2020</li> <li>• VETtrak Invoice</li> <li>• VETtrak License agreement</li> <li>• Records Management P&amp;P</li> <li>• Issuing qualifications P&amp;P</li> <li>• Enrolment form</li> <li>• Enrolment email- link to USI website</li> </ul>	
CF.6.1	Finding
	<p>Serve it Up Training Pty Ltd has a process in place to issue students whom it has assessed as competent in accordance with the requirements of the Training Package, a qualification or statement of attainment, that meets the Australian Qualifications Framework (AQF) requirements, identifies the RTO by its national provider number and includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.</p>
Required Rectification(s)	
N/A	
CF.6.2.1	Finding
	<p>Serve it Up Training Pty Ltd has processes and systems in place to retain client records of attainment of units of competency and qualifications for a period of 30 years.</p>
Required Rectification(s)	
N/A	

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

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

CF.6.3.1	Finding	Required Rectification(s)
	Serve it Up Training Pty Ltd has a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data	N/A
CF.6.4.1	Finding	Required Rectification(s)
	<ul style="list-style-type: none"> <li>• VETtrak License agreement</li> <li>• Records Management P&amp;P</li> </ul>	N/A
CF.6.5.1	Finding	Required Rectification(s)
	<p>Serve it Up Training Pty Ltd has a licence for the AVETMISS Student Management System from VETtrak. This system prevents the RTO from issuing certification documentation without a verified USI number.</p> <p>Serve it Up Training Pty Ltd have a process for collecting the prospective student's national unique student identifier via the enrolment form and provide reference to the USI privacy Statement via the enrolment form.</p>	N/A

CONDITION 7 - Recognition of Qualifications Issued by other RTOs	Compliant	
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Credit transfer example: Student 09467</li> <li>• Enrolment process (credit transfer section)</li> <li>• Staff Induction Module</li> <li>• Student Handbook</li> </ul>		
CF.7.1	Finding	Required Rectification(s)
	Serve it Up Training Pty Ltd has policies and procedures to recognises the AQF Qualifications and Statements of Attainment issued by any other RTO. Serve it Up informs students of the requirements via the enrolment process and the student handbook. Staff are made aware of the requirements via the staff induction program.	N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>CONDITION 8 - Accuracy and Integrity of Marketing</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Website &amp; Full Course Brochure Marketing Checklist</li> <li>• Social Media Compliance Checklist</li> <li>• Serve it Up website: <a href="http://www.serveitup.com.au">www.serveitup.com.au</a></li> <li>• Hospitality Course Menu</li> </ul>		
<b>CF.8.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
22542 Serve it Up Training Pty Ltd ensure its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. The NRT logo has been employed in accordance with its conditions of use		N/A

<b>CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Communications from Renee Rainey communicating scope change.</li> <li>• Transition plan for BSB42015 Certificate IV in Leadership</li> <li>• Leadership and Management transition task list</li> <li>• Transition of training packages policy</li> </ul>		
<b>CF.9.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Serve it Up Training Pty Ltd has provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the training.gov.au		N/A



Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

**Detailed Findings - AQTF Standards**

<b>ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>- Continuous Improvement policy</li> <li>- Continuous Improvement register</li> <li>- Compliance team Microsoft planner</li> <li>- Survey responses</li> <li>- Class Quality Check (x 6)</li> <li>- Staff meeting minutes (22/07/21)</li> <li>- Trainer meeting (17/03/2021)</li> <li>- Trainer Feedback</li> <li>- Validation Overview</li> <li>- Validation Checklist</li> <li>- Moderation checklist</li> <li>- Staff Performance Appraisal</li> <li>- Governance Committee</li> <li>- Internal Audit Checklist</li> <li>- AQTF Survey responses and analysis</li> </ul>		
<b>SF.1.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Serve it Up Training Pty Ltd has mechanisms in place to collect data relevant for continuous improvement of training and assessment. Serve it Up has collected, analysed and acted on various information to improve training and assessment outcomes, products and processes.	N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>TAS_Blended HOSP_v3_July 2021</p> <ul style="list-style-type: none"> <li>- Session Plan Blended Hosp &amp; Dual V2 3.3.21</li> <li>- Final Competency Checklist - SIT40616 Hosp Blended v3.2</li> <li>- Timetable template - Blended Hosp only v3 July 2021</li> </ul> <p>TAS_Intensive Standalone Hosp_V7_July_2021</p> <ul style="list-style-type: none"> <li>- Session plan Intensive v4 July 2021</li> <li>- Final Competency Checklist - SIT40616 Intensive Model v5.2</li> <li>- Timetable</li> </ul> <p>TAS_Blended DUAL_V4_July 2021</p> <ul style="list-style-type: none"> <li>- Session Plan Blended v2 03.03.21</li> <li>- Final Competency Checklist - SIT40616 Hosp only Dual v3.2</li> <li>- Final Competency Checklist - SIT40616 L&amp;M Dual v3.2</li> <li>- Timetable template - Blended dual v3 July 2021</li> </ul> <p>Industry Consultation</p> <ul style="list-style-type: none"> <li>- Industry Consultation Record: Hunters and Disciples</li> <li>- Industry Consultation Record: Olympic Hotel</li> <li>- Industry Consultation Record: Rubber Duck</li> <li>- Industry Consultation Record: Quaff</li> </ul>		
<b>SF 1.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Serve it Up Training Pty Ltd has strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry for the following qualifications.</p> <ul style="list-style-type: none"> <li>- SIT40416 Certificate IV in hospitality</li> <li>- SIT40416 Certificate IV in hospitality and BSB42015 Certificate IV in Leadership &amp; Management (blended delivery)</li> </ul>	N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>- Photos of venue (Statutory Declaration)</li> <li>- WH&amp;S Facilities &amp; Equipment Checklist</li> <li>- Trainers: See Standard 1.4</li> <li>- Assessment resources: See Standard 1.5</li> </ul>		
<b>SF.1.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Serve it Up Training Pty Ltd has provide a statutory declaration with accompanying photos of the workplace they train in due to COVID-19 restrictions preventing a site audit. They have also provided workplace checklists identifying a range of resources for each qualification being audited,	N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<p><b>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</b></p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>Trainer files for:</p> <ul style="list-style-type: none"> <li>• Alan Tubb</li> <li>• Andy Peterson</li> <li>• Bridget Jackson</li> <li>• Cate Smith</li> <li>• Lynne Joseph (Beatson)</li> <li>• Natalia Beeston</li> <li>• Stephanie Anania</li> <li>• Stephanie Muscat</li> <li>• Skills First Register of Trainers and Assessors Trainer Induction Checklist</li> </ul>		
<b>SF 1.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Serve it Up Training Pty Ltd training and assessment is delivered by trainers and assessors who have the necessary training and assessment competencies, 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.</p> <p>With the recent transition to facilitating more training online, Serve it Up Training Pty Ltd have ensured trainers and assessors have completed professional development in online facilitation and continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence</p>		N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<p><b>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):</b>  <b>a) meets the requirements of the relevant Training Package or accredited course</b>  <b>b) is conducted in accordance with the principles of assessment and the rules of evidence</b>  <b>c) meets workplace and, where relevant, regulatory requirements</b>  <b>d) is systematically validated.</b></p>	<p><b>Non-Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<p><b><u>SIT40416 Certificate IV in Hospitality</u></b></p> <p><b>BSBDIV501 Manage diversity in the workplace</b></p> <ul style="list-style-type: none"> <li>- Customer Service and Diversity - Written</li> <li>- Customer Service Role Play Observations</li> <li>- Session 3 Observations Part 1 - Customer Service Obs</li> <li>- Session 3 Observations Part 2 - Simulated Restaurant Service + Customer Service Prac + F&amp;B Oral Questions</li> <li>- Session 3_ Peer Review</li> </ul> <p><b>SITXFIN003 Manage finances within a budget</b></p> <ul style="list-style-type: none"> <li>- Monthly budget</li> <li>- Month data analysis</li> <li>- Report upload</li> <li>- Final declaration</li> </ul> <p><b><u>BSB42015 Certificate IV Leadership and Management</u></b></p> <p><b>BSBLDR403 Lead team effectiveness</b></p> <ul style="list-style-type: none"> <li>• Industry Workbook – Observations</li> <li>• Industry Workbook – Written</li> <li>• Leadership &amp; Teamwork - Written</li> <li>• Leadership Practical 1 – Observations</li> </ul>	

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<ul style="list-style-type: none"> <li>• Leadership Practical 1 – Written</li> <li>• Leadership Practical 2 – Observations</li> <li>• Leadership Practical 2 – Written</li> <li>• The Function – Written</li> <li>• The Function - Observations</li> </ul> <p><b>BSBMGT402 Implement operational plan</b></p> <ul style="list-style-type: none"> <li>• Industry Workbook – Observations</li> <li>• Industry Workbook – Written</li> <li>• Leadership &amp; Teamwork - Written</li> <li>• Leadership Practical 1 – Observations</li> <li>• Leadership Practical 1 – Written</li> <li>• Leadership Practical 2 – Observations</li> <li>• Leadership Practical 2 – Written</li> <li>• The Function – Written</li> <li>• The Function - Observations</li> </ul>		
<b>SF 1.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p><b><u>SIT40416 Certificate IV in Hospitality</u></b></p> <p><b>BSBDIV501 Manage diversity in the workplace</b></p> <p>The assessment provided for BSBDIV501 Manage diversity in the workplace meets the requirements of the relevant Training Package is conducted in accordance with the principles of assessment and the rules of evidence and meets workplace and, where relevant, regulatory requirements.</p> <p><b>SITXFIN003 Manage finances within a budget</b></p> <p>The assessment provided for SITXFIN003 Manage finances within a budget meets the requirements of the relevant Training Package is conducted in accordance with the principles of assessment and the rules of evidence and meets workplace and, where relevant, regulatory requirements.</p>		N/A
<b>SF 1.5.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<p><b><u>BSB42015 Certificate IV Leadership and Management</u></b></p> <p><b>BSBLDR403 Lead team effectiveness</b></p> <p>The knowledge and practical assessments meet the requirements of the training package; however, are not conducted in accordance with the principles of assessment and the rules of evidence.</p> <p>The practical assessments do not contain sufficient benchmark answers for some of the observation criteria for the assessor to make consistent assessment decisions. Some of the verbal questions that are required to be answered during the practical assessment do not contain sufficient benchmark answers to guide the assessor.</p> <p><b>BSBMGT402 Implement operational plan</b></p> <p>The knowledge and practical assessments meet the requirements of the training package; however, are not conducted in accordance with the principles of assessment and the rules of evidence.</p> <p>The practical assessment does not contain sufficient benchmark answers for some of the observation criteria for the assessor to make consistent assessment decisions. Some of the verbal questions that are required to be answered during the practical assessment do not contain sufficient benchmark answers to guide the assessor.</p>	<p>22542 Serve it Up Training Pty Ltd are required to review and adjust their benchmark answers for BSBLDR403 Lead team effectiveness to ensure assessors can make consistent judgements across a range of cohorts and assessments are conducted in accordance with the principles of assessment and the rules of evidence</p> <p>22542 Serve it Up Training Pty Ltd are required to review and adjust their benchmark answers for BSBMGT402 Implement operational plan to ensure assessors can make consistent judgements across a range of cohorts and assessments are conducted in accordance with the principles of assessment and the rules of evidence</p>
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Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.		Compliant
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Enrolment PPT</li> <li>• Sample PTR/Enrolment – assessor view</li> <li>• Welcome email</li> <li>• Student Handbook- support section</li> <li>• Sample emails from Alan support trainer</li> <li>• Sample support session evidence and VETtrak events.</li> <li>• Enrolment Information Events Report</li> <li>• Sample Reengagement email from Alan Tubb</li> </ul>		
SF.2.1.1	Finding	Required Rectification(s)
	Serve it Up Training Pty Ltd has processes in place to establish the needs of clients before the delivery of services	N/A

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Compliant
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>- Continuous Improvement policy</li> <li>- Continuous Improvement register</li> <li>- Compliance team Microsoft planner</li> <li>- Survey responses</li> <li>- Class Quality Check (x 6)</li> <li>- Staff meeting minutes (22/07/21)</li> <li>- Trainer meeting (17/03/2021)</li> <li>- Trainer Feedback</li> <li>- Validation Overview</li> <li>- Validation Checklist</li> <li>- Moderation checklist</li> <li>- Staff Performance Appraisal</li> </ul>		



Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<ul style="list-style-type: none"> <li>- Governance Committee</li> <li>- Internal Audit Checklist</li> </ul> <p>AQTF Survey responses and analysis</p>		
<b>SF.2.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Serve it Up Training Pty Ltd has mechanisms in place to collect data relevant for continuous improvement of client services.</p>		<p>N/A</p>

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Enrolment PPT</li> <li>• Sample PTR/Enrolment Form</li> <li>• Course Brochure</li> <li>• Student Handbook link</li> <li>• Marketing and student recruitment policy</li> <li>• Education and welfare support policy</li> <li>• PTR policy</li> <li>• Enrolment/funding policy</li> </ul>		
<b>SF.2.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Before clients enrol or enter into an agreement, Serve it Up Training Pty Ltd informs them about the training, assessment and support services to be provided, and about their rights and obligations		N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Sample Employer PTR Macelleria</li> <li>• Sample emails to carls Jr burgers traineeships</li> <li>• RTO and Employer agreement and Logbook</li> <li>• Student Handbook which contains traineeships</li> </ul>		
<b>SF.2.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Serve it Up Training Pty Ltd ensures 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.</p> <p>Serve it Up Training Pty Ltd also provided evidence of industry consultation with workplaces that will host students during their training and assessment.</p>		N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>2.5 - Learners receive training, assessment and support services that meet their individual needs.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Enrolment PPT</li> <li>• Sample PTR/Enrolment Form</li> <li>• Course Brochure</li> <li>• Student Handbook link</li> <li>• Marketing and student recruitment policy</li> <li>• Education and welfare support policy</li> <li>• PTR policy</li> <li>• Enrolment/funding policy</li> </ul>		
<b>SF 2.5</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Serve it Up Training Pty Ltd ensures learners receive training, assessment and support services that meet their individual needs.	N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>2.6 - Learners have timely access to current and accurate records of their participation and progress.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Sample welcome email</li> <li>• Sample Training Plan</li> <li>• Snip from VETtrak student portal</li> <li>• Records Management Policy</li> <li>• Enrolment and funding policy</li> </ul>		
<b>SF.2.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Serve it Up Training Pty Ltd had <b>developed and implemented procedures to ensure that</b> learners had timely access to current and accurate records of their participation and progress and communicated this to students via through the student enrolment procedure		N/A

<b>2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Complaints &amp; Appeals Policy</li> <li>• <a href="http://www.serveitup.com.au">www.serveitup.com.au</a></li> <li>• Student handbook</li> <li>• Staff Induction Course</li> <li>• Complaints register/File notes VETtrak</li> </ul>		
<b>SF.2.7.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Serve it Up Training Pty Ltd has provided appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. The complaints and appeals procedures included procedures for students to escalate complaints to an external source.		N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>- Enrolment for with Declarations</li> <li>- Student handbook – Privacy statements</li> <li>- Sample quality checks</li> <li>- Continuous Improvement Policy</li> <li>- Training/assessment policy</li> </ul>		
<b>SF.3.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Serve it Up Training Pty Ltd have processes in place to ensure the management of its operations and ensure clients received the services detailed in the enrolment agreement.	N/A

<b>3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.</b>		<b>Compliant</b>
<ul style="list-style-type: none"> <li>- Continuous Improvement policy</li> <li>- Continuous Improvement register</li> <li>- Compliance team Microsoft planner</li> <li>- Survey responses</li> <li>- Class Quality Check (x 6)</li> <li>- Staff meeting minutes (22/07/21)</li> <li>- Trainer meeting (17/03/2021)</li> <li>- Trainer Feedback</li> <li>- Validation Overview</li> <li>- Validation Checklist</li> <li>- Moderation checklist</li> <li>- Staff Performance Appraisal</li> <li>- Governance Committee</li> <li>- Internal Audit Checklist</li> </ul>		

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

- AQTF Survey responses and analysis	
SF.3.2.1 Finding	Required Rectification(s)
Serve it Up Training Pty Ltd has mechanisms in place to collect data relevant for continuous improvement for the management of their operations.	N/A

<b>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.</b>	<b>Not Audited</b>
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<b>3.4 - The RTO manages records to ensure their accuracy and integrity.</b>	<b>Compliant</b>
<p>Records management procedure</p> <p>Student files:</p> <ul style="list-style-type: none"> <li>• Student (08902)</li> <li>• Student (09695)</li> <li>• Student (09383)</li> <li>• Student (09355)</li> <li>• Student (09831)</li> <li>• Student (08749)</li> <li>• Student (09187)</li> <li>• Student (09360)</li> <li>• Student (09405)</li> <li>• Student (08759)</li> <li>• Student (08709)</li> <li>• Student (09098)</li> </ul>	

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

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<ul style="list-style-type: none"> <li>• Student (08967)</li> <li>• Student (09089)</li> <li>• Student (04757)</li> <li>• Student (03061)</li> <li>• Student (09206)</li> <li>• Student (08352)</li> <li>• Student (05872)</li> </ul>	
SF.3.4.1 Finding	Required Rectification(s)
Serve it Up Training Pty Ltd manages records to ensure their accuracy and integrity.	N/A



**Detailed Findings – 2016 VRQA Guidelines for VET Providers**

**GUIDELINE 1.1 - An RTO must ensure that it has a current strategic plan and a detailed business plan which have been approved by its governing body.**

**Not Audited in Phase 2 audit**

- a) An RTO ensures the strategic plan details the overall vision, mission, board of directors and strategic directions of the RTO and clearly indicates that provision of vocational education is a primary purpose of the RTO.
- b) An RTO ensures the business plan details the operational and workforce development arrangements for a three year period that incorporates:
  - i. description of the business including an organisation chart, courses, location(s) and facilities
  - ii. a continuous improvement plan or risk management strategy
  - iii. a work force development plan
  - iv. strategic alliances with other education or service providers or third party arrangements
  - v. training and assessment delivery including proposed facilities and delivery hours

**GUIDELINE 1.2 - An RTO demonstrates its financial viability and its capacity to sustain quality VET into the future by ensuring it has a three year financial plan that includes:**

**Not audited in Phase 2 audit**

- a) projected student enrolments by qualifications
- b) a range of financial indicators, including
  - i. cash flow
  - ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1)
  - iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1)
- c) the VET provider shows that it has a financial guarantor with the capacity to service the guarantee and/or to demonstrate sufficient working capital to operate for at least 6 months without tuition fees.
- d) details about whether any person involved in the management or provision of courses by the RTO meets any of the descriptions listed in section 4.3.11(2) of the Act.

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

**GUIDELINE 1.3 - An RTO ensures that it has management systems that include:**

- a) management information including:
  - I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds)
  - II. a physical address of the company in Victoria for the purposes of serving notices
  - III. details of the directors, CEO/PEO and senior management members with associated police checks and Working With Children Checks if students are under 18 years of age
  - IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria
  - V. contact arrangements for the CEO/PEO including during holidays and other closure periods
  - VI. a physical addresses for the location of financial, student and staff records including archives and computer back up storage
- b) a financial management system including a system for managing student fee payments and student refunds
- c) a student records management system that includes the capacity to provide the VRQA with AVETMISS compliant data and to ensure that copies of student records are
  - I. not able to be withheld from the RTO; and
  - II. able to be provided in electronic and print versions, at no cost to the VRQA in the event that the VET provider ceases operations
- d) a staff records management system including arrangements which ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills.

**Not Audited**

**GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:**

- a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management
- b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that:
  - i. for an RTO with anticipated ongoing operation of less than 150 equivalent full time students or an annual student fee turnover of less than \$1.5m per annum, persons are appointed with suitable qualifications and experience; and
  - ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience
- c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience.

**Not audited in  
Phase 2 audit**

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<p><b>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.</b></p> <ul style="list-style-type: none"> <li>• A <i>third party</i> means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO.</li> <li>• <i>Services</i> mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services.</li> </ul>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Third party relationships Policy</li> <li>• Third party register</li> <li>• Print out of webpage link to brokers</li> <li>• Contracts of each third party</li> </ul>		
<b>GF 2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Serve it Up Training Pty Ltd has ensured that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement		N/A

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

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>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:</b>		<b>Compliant</b>
<ul style="list-style-type: none"> <li>a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and</li> <li>b) for the purposes of the conduct of any audit or monitoring of its operations.</li> </ul>		
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Third party relationships Policy</li> <li>• Third party register</li> <li>• Print out of webpage link to brokers</li> <li>• Contracts of each third party</li> </ul>		
<b>GF 2.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Serve it Up Training Pty Ltd has ensured that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement to cooperate with the VRQA.		N/A

<b>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:</b>		<b>Compliant</b>
<ul style="list-style-type: none"> <li>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</li> <li>b) within 30 calendar days of the agreement coming to an end.</li> </ul>		
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>- Third party relationships Policy</li> <li>- Third party register</li> <li>- Print out of webpage link to brokers</li> <li>- Contracts of each third party</li> </ul>		
<b>GF 2.3</b>	<b>Finding</b>	<b>Required Rectification(s)</b>

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

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

Serve it Up Training Pty Ltd has ensured that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement and have notified the VRQA.	N/A
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<b>GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:</b>	<b>Compliant</b>
<ul style="list-style-type: none"> <li>a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and</li> <li>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.</li> </ul>	
<b>Evidence/Documentation Reviewed</b>	
<ul style="list-style-type: none"> <li>- Third party relationships Policy</li> <li>- Third party register</li> <li>- Print out of webpage link to brokers</li> <li>- Contracts of each third party</li> </ul>	
<b>GF 2.4 Finding</b>	<b>Required Rectification(s)</b>
Serve it Up Training Pty Ltd ensures that information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual.	N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO provides, in print or through referral to an electronic copy, current and accurate information that:</b>		<b>Compliant</b>
<ul style="list-style-type: none"> <li>a) enables the student to make informed decisions about undertaking training with the RTO and</li> <li>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</li> </ul>		
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>- Third party relationships Policy</li> <li>- Third party register</li> <li>- Print out of webpage link to brokers</li> <li>- Contracts of each third party</li> </ul>		
<b>GF 2.5</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Serve it Up Training Pty Ltd ensure that prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO provides, in print or through referral to an electronic copy, current and accurate information		N/A

<b>GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>- Third party relationships Policy</li> <li>- Third party register</li> <li>- Print out of webpage link to brokers</li> <li>- Contracts of each third party</li> </ul>		
<b>GF 2.6</b>	<b>Finding</b>	<b>Required Rectification(s)</b>

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

Serve it Up Training Pty Ltd has provisions in place to ensure where there are any changes to agreed services, the RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.	N/A
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<b>GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:</b>		<b>Compliant</b>
<ul style="list-style-type: none"> <li>a) the RTO, its trainers, assessors or other staff;</li> <li>b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or</li> <li>c) a student of the RTO.</li> </ul>		
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>- Third party relationships Policy</li> <li>- Third party register</li> <li>- Print out of webpage link to brokers</li> <li>- Contracts of each third party</li> <li>- Complaints and appeals policy</li> </ul>		
<b>GF 2.7</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Serve it Up Training Pty Ltd has provided appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. The complaints and appeals procedures included procedures for students to escalate complaints to an external source.		N/A

<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>- Third party relationships Policy</li> <li>- Third party register</li> </ul>		

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<ul style="list-style-type: none"> <li>- Print out of webpage link to brokers</li> <li>- Contracts of each third party</li> <li>- Complaints and appeals policy</li> </ul>		
<b>GF 2.8</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Serve it Up Training Pty Ltd has provided appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. The complaints and appeals procedures included procedures for students to escalate complaints to an external source.	N/A



Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<p><b>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:</b></p> <ul style="list-style-type: none"> <li>a) vocational competencies at least to the level being delivered and assessed;</li> <li>b) current industry skills directly relevant to the training and assessment being provided; and</li> <li>c) current knowledge and skills in vocational training and learning that informs their training and assessment.</li> </ul> <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
See Standard 1.4		
<b>GF 3.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Serve it Up Training Pty Ltd training and assessment is delivered by trainers and assessors who have the necessary training and assessment competencies, 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.</p> <p>With the recent transition to facilitating more training online, Serve it Up Training Pty Ltd have ensured trainers and assessors have completed professional development in online facilitation and continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence</p>		N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
See Standard 1.4		
<b>GF 3.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Serve it Up Training Pty Ltd training and assessment is delivered by trainers and assessors who have the necessary training and assessment competencies, 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.</p> <p>With the recent transition to facilitating more training online, Serve it Up Training Pty Ltd have ensured trainers and assessors have completed professional development in online facilitation and continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence</p>	N/A
<b>GUIDELINE 3.3 Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.</b>		<b>Not Audited</b>
<b>GUIDELINE 3.4 Where the RTO, in delivering training and assessment, engages an individual who is not a qualified trainer and/or assessor, the individual works under the supervision of a qualified trainer and/or assessor and must not determine assessment outcomes.</b>		<b>Not Audited</b>
<b>GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:</b>		<b>Not Audited</b>
<ul style="list-style-type: none"> <li>a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines;</li> <li>b) has vocational competencies at least to the level being delivered and assessed; and</li> <li>c) has current industry skills directly relevant to the training and assessment being provided.</li> </ul>		

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
See Standard 1.2		
<b>GF 4.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Serve it Up Training Pty Ltd has strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry for the following qualifications.</p> <ul style="list-style-type: none"> <li>- SIT40416 Certificate IV in hospitality</li> <li>- SIT40416 Certificate IV in hospitality and BSB42015 Certificate IV in Leadership &amp; Management (blended delivery)</li> </ul> <p>Serve it Up Training Pty Ltd.'s training and assessment strategies including the amount of training it provides and is consistent with the requirements of the training packages and enables each student to meet the requirements for each unit of competency or module in which the student is enrolled.</p>	N/A

<b>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:</b>		<b>Compliant</b>
<ul style="list-style-type: none"> <li>a) the existing skills, knowledge and the experience of the student;</li> <li>b) the mode of delivery; and</li> <li>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.</li> </ul>		
<b>Evidence/Documentation Reviewed</b>		
See Standard 1.2		

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

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

GF 4.2.1	Finding	Required Rectification(s)
	<p>Serve it Up Training Pty Ltd has strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry for the following qualifications.</p> <ul style="list-style-type: none"> <li>- SIT40416 Certificate IV in hospitality</li> <li>- SIT40416 Certificate IV in hospitality and BSB42015 Certificate IV in Leadership &amp; Management (blended delivery)</li> </ul> <p>Serve it Up Training Pty Ltd.'s training and assessment strategies including the amount of training it provides and is consistent with the requirements of the training packages and enables each student to meet the requirements for each unit of competency or module in which the student is enrolled.</p>	N/A

Audit Date: 16<sup>th</sup> and 19<sup>th</sup> August 2021

RTO: 22542 Serve it Up Training Pty Ltd

<p><b>GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation) of these Guidelines.</b></p>	<b>Not Audited</b>
<p><b>GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.</b></p>	<b>Not Audited</b>
<p><b>GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment:</b></p> <ul style="list-style-type: none"> <li>a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or</li> <li>b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.</li> </ul>	<b>Not Audited</b>
<p><b>GUIDELINE 4.6 - An RTO ensures that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 of these Guidelines and does not determine assessment outcomes.</b></p>	<b>Not Audited</b>
<p><b>GUIDELINE 4.7 - An application to add any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor) to an RTO's scope of registration has only be granted if an RTO has:</b></p> <ul style="list-style-type: none"> <li>a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and</li> <li>b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3.</li> </ul>	<b>Not audited</b>
<p><b>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:</b></p> <ul style="list-style-type: none"> <li>a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and</li> <li>b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and</li> <li>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.</li> </ul>	<b>Not audited</b>