

# AQTF Audit Report

(including User Choice validation)

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FM-PMA-34c

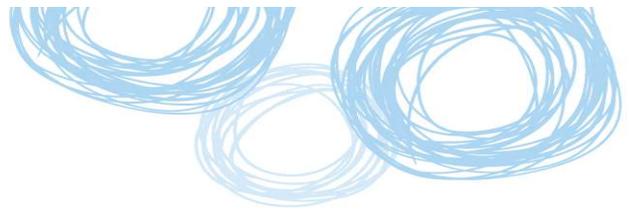
TRIM No: 09/182330

Version 4 – 12 August 2010

Training and International Quality

## Baking Industry Training Australia Pty Ltd – NTIS #31200

RTO Details																	
Registration expiry	22 March 2015																
Principal Address	49-51 Gregory Terrace, Spring Hill																
RTO contact	Paul McDonald	Phone number	3831 5961														
Operations	<ul style="list-style-type: none"> <li>Baking Industry Training Australia Pty Ltd is the headquarters of the Bakery Industry Skills Centre</li> <li>Core clients are apprentices under User Choice funding</li> <li>Delivery of training and assessment is flexible, on the job and contains both distance and face to face components.</li> <li>Baking Industry Training Australia Pty Ltd does not partner with any other organisation for the delivery of training and assessment services on its behalf</li> <li>Baking Industry Training Australia Pty Ltd is party to government funding contracts as follows:               <table border="0"> <tr> <td>o CP101781 Skills First Trade Recognition 2009-11</td> <td>\$ 56,700</td> </tr> <tr> <td>o UC104354 User Choice 2010-11</td> <td>\$722,000</td> </tr> <tr> <td>o PS100224 User Choice 2010-15 Pre-qualified Supplier</td> <td>No claims</td> </tr> </table> </li> <li>Approximate number of completions in past year               <table border="0"> <tr> <td>o FDF30603 Certificate III in Food processing (Retail Baking – Bread)</td> <td>36</td> </tr> <tr> <td>o FDF30703 Certificate III in Food Processing (Retail baking – Combined)</td> <td>25</td> </tr> </table> </li> <li>Approximate number of current enrolments               <table border="0"> <tr> <td>o FDF30603 Certificate III in Food processing (Retail Baking – Bread)</td> <td>171</td> </tr> <tr> <td>o FDF30703 Certificate III in Food Processing (Retail baking – Combined)</td> <td>106</td> </tr> </table> </li> </ul>			o CP101781 Skills First Trade Recognition 2009-11	\$ 56,700	o UC104354 User Choice 2010-11	\$722,000	o PS100224 User Choice 2010-15 Pre-qualified Supplier	No claims	o FDF30603 Certificate III in Food processing (Retail Baking – Bread)	36	o FDF30703 Certificate III in Food Processing (Retail baking – Combined)	25	o FDF30603 Certificate III in Food processing (Retail Baking – Bread)	171	o FDF30703 Certificate III in Food Processing (Retail baking – Combined)	106
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Audit Team																	
Lead Auditor	Christine Williams	Auditor/s	Robyn Gray														
Phone	3247 4278	Adviser/s	N/A														
E-mail	Christine.williams@deta.qld.gov.au	Observer/s	N/A														
Audit details																	
Reason/s for audit	Monitoring (including User Choice)																
Audit date/s	5 May 2011	Audit number/s	312005514A														
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.2, 2.3, 3.2, 3.4 (element 3.3 was included in the audit scoping and found to be not applicable)																
Conditions audited	NIL																
User Choice schedule number/s and value/s	Agreement UC104354 (2010-2011) FDF30603 \$325,320; FDF30703 \$365,582 FDF30503 \$ 31,098 Agreement PS100224 (2010- 2015) Pre-qualified Supplier																
User Choice clauses audited	3(h), 6(a), 7(b), 18																
Audit outcome on	Compliant <input type="checkbox"/>		Significant non-compliance <input type="checkbox"/>														



day of audit	Minor non-compliance <input checked="" type="checkbox"/>	Critical non-compliance <input type="checkbox"/>
Rectification received		
Audit outcome following rectification	Compliant <input type="checkbox"/> Minor non-compliance <input type="checkbox"/>	Significant non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>
Other audit notes	<ul style="list-style-type: none"> <li>The RTO is in the process of transitioning to the new FDF10 Training Package which was endorsed in October 2010 and published on 30 January 2011.</li> <li>The RTO has an extensive system in place to ensure all aspects of training are covered for example, a process for the employment of trainers/assessors in the event that a trainer/assessor leaves the organisation.</li> <li>At the audit site visit, the RTO's representative advised that, in response to client feedback it has implemented a new procedure which requires trainers/assessors to conduct site visits on a quarterly basis. Whilst the audit process recognised this as continuous improvement, it was noted by the Lead Auditor that the 'contact record sheet' for one student indicated that site visits have not occurred. The Lead Auditor accepted explanation by the RTO's representative that although all students have not yet been visited during the first quarter of 2011, the new process is being systematically implemented and a site visit will occur within a short period of time. The RTO was advised that future audits would examine the continued implementation of quarterly site visits to its apprentices.</li> </ul>	

**Focus of Audit**

Code	Qualification / Course / Unit title (List all qualifications in scope of audit; indicate if reviewed for UC in far column)	Regulated	Delivery venues	UC reviewed
FDF30603	<b>Certificate III in Food processing (Retail Baking – Bread)</b> <i>FDFRBDPB3B Diagnose and respond to product and process faults (bread)</i> <i>FDFRBFM2B Conduct final mould and final proof</i>	<input type="checkbox"/>	At place of employment	<input type="checkbox"/>
FDF30703	<b>Certificate III in Food Processing (Retail baking – Combined)</b> <i>FDFRBBC2B Bake sponges, cakes and cookies</i> <i>FDFRBBP2B Bake pastry products</i>	<input type="checkbox"/>		<input checked="" type="checkbox"/>

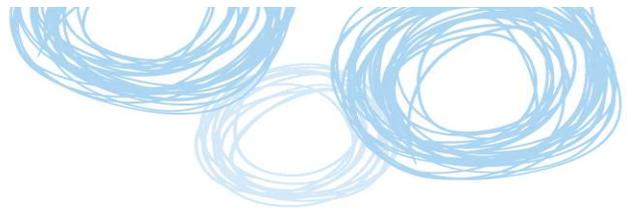
**INTERVIEWEE/S (incl. position)**

Paul McDonald – General Manager/Company Secretary  
 Maree Cruden – Administration Officer  
 Terry Wuki – Training Manager – Trainer/assessor – Baking  
 Martin Schett - Trainer/Assessor FDF30603 Certificate III in Food Processing (Retail Baking – Bread)

**Disclaimer:** The Department of Education and Training collects the information on this form as part of the audit of registered training organisations under the AQTF. Only authorised government officers or contracted personnel have access to this information. Your personal information will not be disclosed to any other third party without your consent, unless authorised or required by law, in accordance with the *Information Privacy Act 2009*.

**Standard 1: The RTO provides quality training and assessment across all of its operations**

Elements	Examined
1.1 The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.	<input checked="" type="checkbox"/>
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 stakeholders.	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>
1.4 Training and assessment is delivered by trainers and assessors who: <ul style="list-style-type: none"> <li>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors</li> <li>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</li> </ul>	<input checked="" type="checkbox"/>



<ul style="list-style-type: none"> <li>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</li> <li>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</li> </ul>	
<p>1.5 Assessment, including Recognition of Prior Learning (RPL):</p> <ul style="list-style-type: none"> <li>a) meets the requirements of the relevant Training Package or accredited course</li> <li>b) is conducted in accordance with the principles of assessment and the rules of evidence</li> <li>c) meets workplace and, where relevant, regulatory requirements</li> <li>d) is systematically validated.</li> </ul>	<input checked="" type="checkbox"/>

**Audit findings**

<p><b>At time of audit:</b></p> <p><input type="checkbox"/> Compliant</p> <p><input checked="" type="checkbox"/> Not Compliant</p>	<p><b>Following rectification received:</b></p> <p><input type="checkbox"/> Compliant</p> <p><input type="checkbox"/> Not Compliant</p>
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**Findings:**

Baking Industry Training Australia Pty Ltd has developed processes which allow for the collection and analysis of data to enable continuous improvements to training and assessment. The RTO collects a range of data from relevant and sufficient stakeholders, conducts an analysis of this data. In the first instance, analysis is carried out through an informal process of round table meetings conducted on a regular basis and as required, with all relevant staff. These meetings include the evaluation, moderation and validation of assessment instruments and their efficiency in the collection of relevant assessment evidence toward a quality outcome.

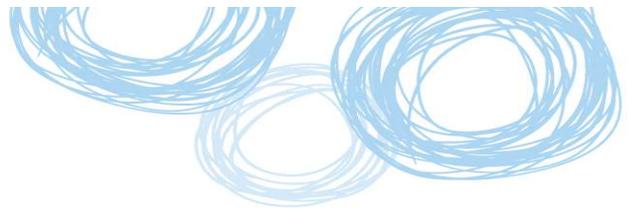
The RTO is currently in the process of developing new training materials and assessment tools in preparation for the transition to the new Training Package. The RTO also took part in the development of the new FDF10 Training Package; is evaluating which students will need to transition due to their inability to complete the superseded qualification prior to teach-out, and has given extensive consideration to the transitioning arrangements of its students and has a comprehensive plan to ensure a smooth transition.

Training and assessment strategies meet the requirements of the training package and evidence industry consultation. Each strategy specifies both human and physical resources and includes processes to be used for its monitoring and review. The organisation has a suite of documents, which combined, make up a strategy for each qualification on its scope of registration.

Nominated trainers/assessors hold the necessary training and assessment competencies; relevant vocational competencies, at least to the level being delivered, and demonstrate current industry skills directly relevant to the training and assessment being undertaken. In addition, the RTO has a plan in place to develop staff VET knowledge and skills as well as their industry currency.

The organisation does not generally conduct training and assessment at its premises; apprentices are engaged through employers within industry. To determine whether the employer has sufficient capabilities with regard to facilities/resources and client requirements, the trainer/assessor attends the prospective apprentice's workplace prior to the completion of the training agreement and completes a workplace venue assessment. The organisation advised that if the bakery workplace does not have the equipment, it will not deliver the training and assessment. Areas where the organisation was unable to demonstrate that its resources address AQTF requirements are detailed in the "Non-compliances" section of this report.

The RTO conducts assessment in accordance with the Training Package guidelines, meets the requirements for pre-requisite units; workplace conditions and systematically validates tools and practices, particularly with regard to the employer bakeries. The RTO has developed the required core units for the new FDF10 Training Package qualification. Assessments include a range of theory tests requiring short written responses, practical observations and student workbook activities. Whilst the RTO's representative believes the RTO will not have to re-write many of the old units, it has taken the opportunity to review its assessment tools, through active participation in the writing/development of the new Training Package. However, gaps were identified which are outlined in the 'non-compliances' section of this report.



## **Non-compliances:**

### Resources:

The workplace venue assessment checklist used by the organisation does not sufficiently identify resources requirements at unit level. For example, the checklist for *FDFRBFM2B Conduct final mould and final proof* does not include equipment identified in the unit range statement as requisite level for training and assessment of the qualification.

### Assessment:

Whilst there is no requirement for the organisation to conduct a mapping of the assessments to the unit requirements, the RTO's process includes a mapping exercise to cross reference assessments against the unit requirements for all units evaluated at the audit site visit. With regard to the theory assessments, the mapping documents do not appear to align with the actual assessment instruments. This creates an unacceptable risk that a student may be marked off as 'competent' prior to his/her completion of all unit requirements.

## **FDF30703 Certificate III in Food processing (Retail Baking – Combined).**

### FDFRBBC2B Bake sponges, cakes and cookies

### FDFRBBP2B Bake pastry products

The above units of competency do not meet all requirements of the required skills, particularly with regard to recording of evidence to determine competence. Whilst the practical assessment is marked against the performance criteria and backed up with an extensive range of sequential photos to evidence the student carrying out the required skills, there is insufficient comment on why the assessor determined a satisfactory outcome for competence against all aspects of the units of competency being assessed.

## **FDF30603 Certificate III in Food processing (Retail Baking – Bread)**

Assessment tools for the following units of competency do not sufficiently address unit required skills and knowledge.

### FDFRBFM2B Conduct final mould and final proof

Assessment tools for the above unit are not sufficiently supported by criteria defining acceptable performance (benchmark criteria/markings guide).

### FDFRBDPB3B Diagnose and respond to product and process faults (bread)

It is not clear from the practical assessment for *FDFRBDPB3B Diagnose and respond to product and process faults (bread)* how the student is to demonstrate their skills in diagnosis of bread faults, as the information required to be diagnosed is already comprehensively provided in the instructions to the student or can be copied directly from the workbook under the title of the fault identified. At audit the organisation advised that the practical assessment activity is usually conducted in a day at the student's workplace, where the doughs are made to the requirements of recipes outlined in the assessment tool, examined and commented on by the student, then baked and further described by the student within the assessment instrument. It is understood that the activity is intended to be both a learning and an assessment exercise. Despite its significant merit as a learning exercise, it is not clear how the exercise in its current form enables the assessor to make a judgement on competency or a confirmation that the individual can perform to a standard expected in the workplace. It is noted also that the assessment instructions do not indicate that the exercise must be done in the presence of an assessor.

## **Rectification required:**

### Resources:

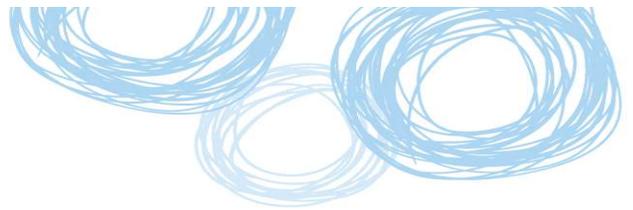
The RTO is required to provide:

- its revised workplace venue assessment checklist for *FDFRBFM2B Conduct final mould and final proof* as an example of its consistency with equipment resource Training Package requirements at unit level

### Assessment

As the organisation is transitioning from superseded FDF03 Training Package qualifications examined at audit, it was agreed that rectification would be provided against equivalent units in the new FDF10 Training Package

The RTO is required to provide:



Its mapping of the theory questions for the following units of competency

- FDFRB3006A Bake sponges, cakes and cookies
- FDFRB3007A Bake pastry products
- FDFRB3011A Diagnose and respond to product and process faults (bread)\*
- FDFRB3010A Process dough

The above units are from the FDF10 Training Package and are the equivalent units to those evaluated at the audit site visit.

#### **FDF30710 Certificate III in Retail Baking (Combined).**

FDFRB3006A Bake sponges, cakes and cookies

FDFRB3007A Bake pastry products

The RTO is required to provide the process it will implement (including a revised assessment evidence gathering tool) to ensure sufficient evidence is recorded to determine competence. If photos are used, then comment should be made against the individual photos to explain what the student is doing and the student's explanation. Further, comment regarding why the student met the unit requirements for a determination of satisfactory against a particular assessment or for a determination of competence against a unit/s of competency.

#### **FDF30610 Certificate III in Retail Baking (Bread)**

FDFRB3011A Diagnose and respond to product and process faults (bread)\*

FDFRB3010A Process dough

The organisation is required to provide assessment tools for the units listed that sufficiently address unit required skills and knowledge and are supported by criteria defining acceptable performance (benchmark criteria/marketing guide).

In addition, the organisation is required to outline how it will ensure that its assessment activities in relation to FDFRB3011A Diagnose and respond to product and process faults (bread) enable the assessor to make a judgement on competency or a confirmation that the individual can perform to a standard expected in the workplace as prescribed within the unit essentials, and that there is adequate demarcation between activities for learning and assessment activities.

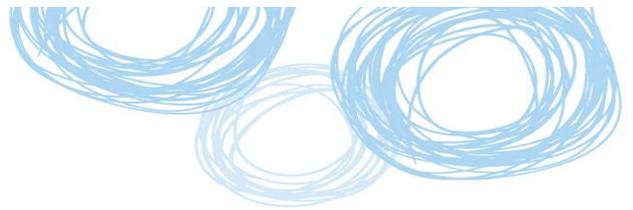
#### **Rectification evidence received:**

#### **Strengths**

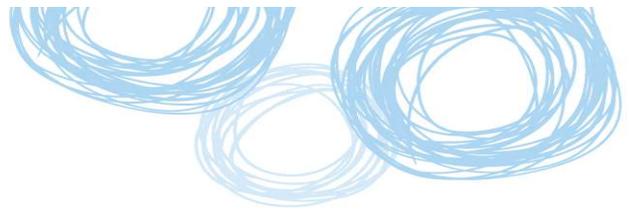
- The RTO has direct contact with each student and their employer; provides counselling on the best options available to a student
- The RTO's staff are committed to a quality system and process for delivery and assessment for a quality outcome. Staff expressed real concern about the inability of the RTO to enforce quality employer premises.

#### **Opportunities for Improvement**

- Ensure that training package requirements are monitored against the current training package rather than accepting Wisenet on face value e.g. the RTO's strategy identifies the unit of competency FDFRBDPB3A correctly, however the RTO has claimed the unit as a 'B' version which the staff believe was due to Wisenet data. Whilst this has no impact on claims made, it could cause an issue with the delivery of a unit should the unit content change as part of the unit review.
- To ensure consistency of training and assessment activity across its operations it is recommended that the organisation expand the strategy document to make reference to all aspects of the requirements under 1.2 as outlined in the AQTF with hyperlinks to other documents that form part of the whole RTO strategy.

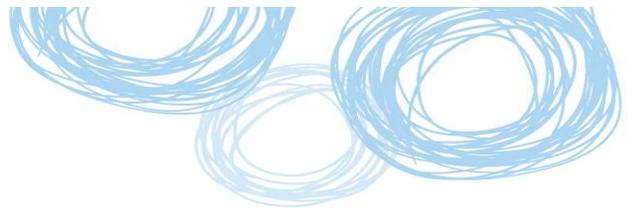


<b>Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients</b>	
<b>Elements</b>	<b>Examined</b>
2.1 The RTO establishes the needs of clients, and delivers services to meet these needs.	<input type="checkbox"/>
2.2 The RTO continuously improves client services by collecting, analysing and acting on relevant data.	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>
2.5 Learners receive training, assessment and support services that meet their individual needs.	<input type="checkbox"/>
2.6 Learners have timely access to current and accurate records of their participation and progress.	<input type="checkbox"/>
2.7 The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	<input type="checkbox"/>
<b>Audit findings</b>	
<p><b>At time of audit:</b>  <input checked="" type="checkbox"/> <b>Compliant</b>  <input type="checkbox"/> <b>Not Compliant</b></p> <p><b>Findings:</b>            The RTO collects data and improves its client services through the Quality Indicator questionnaires, its own surveys, monthly meetings of its National Bakery Industry Association members and employers and monthly staff meetings. Information and recommendations from staff meetings is presented at the management board meetings for approval and are entered into a continuous improvement register for actioning. Administration officers monitor this register. Evidence sighted at audit identified that on some occasions, the student contact feedback indicated dissatisfaction with the RTO regarding insufficient workplace visits. The organisation's representative and the two trainers/assessors interviewed, provided verbal advice that the workplace visits have been extended to one visit every three months. As this process has recently been implemented, future audits will evaluate the implementation and continuous improvement approach to the RTO's apprentices.</p> <p>The RTO provides its clients with clear and accurate information to enable an informed choice prior to entering into an agreement. As the RTO's clients are all apprentices, as part of the induction program, students are informed of the student contribution fees and how they are calculated.</p> <p>Evaluation of evidence provided at the audit site visit identifies that all parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment. The RTO monitors the learner's progress and uses information from the workplace to continuously improve training and assessment, the employer is consulted in the development of the workplace training and assessment processes and are clearly informed of their training and assessment roles and responsibilities. The contact log on each student file clearly identifies the contacts made by the RTO with the apprentice and the workplace personnel to monitor the learner's progress.</p>	
<b>Strengths</b>	
<ul style="list-style-type: none"> <li>The organisation's networks and involvement within the baking fraternity nationally and internationally enable students to access latest industry information and trends.</li> </ul>	
<b>Opportunities for Improvement</b>	
<ul style="list-style-type: none"> <li>The RTO should consider a more robust collection, recording and analysis of student and client feedback data. Whilst it is currently collecting and analysing data, the process needs to be imbedded more deeply into the day-to-day process.</li> <li>It is recommended that the RTO strengthen its complaints procedure to ensure alignment with the intent of its Policy Manual, to define "timely manner" "informal approach" and include more information about how complaints will be addressed within the management structure of the organisation.</li> </ul>	



<b>Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates</b>	
<b>Elements</b>	<b>Examined</b>
3.1 The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.	<input type="checkbox"/>
3.2 The RTO uses a systematic and continuous improvement approach to the management of operations.	<input checked="" type="checkbox"/>
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.	<input type="checkbox"/>
3.4 The RTO manages records to ensure their accuracy and integrity.	<input type="checkbox"/>
<b>Audit findings</b>	
<p><b>At time of audit:</b>  <input checked="" type="checkbox"/> <b>Compliant</b>  <input type="checkbox"/> <b>Not Compliant</b></p> <p><b>Findings:</b>            Baking Industry Training Australia Pty Ltd's management systems are appropriate for the size and scope of the RTO's operations and systematically monitored and improved. Recently the RTO had identified issues within its delivery and management of training and assessment services. The BITA Policy and Procedures Manual conforms to AQTF Standards and it was evident at audit that work had been done and improvements made in consistency of quality of assessment and support services and system implementation across its operations.</p> <p>At audit the changes the RTO had made, including the improvements to administration of systems and increased frequency of face to face visits, were accepted as evidence of the RTO's continuous improvement approach to management of its operations. It is expected that subsequent AQTF audits will confirm the full rollout of these management system changes and the projected positive outcomes.</p>	
<b>Strengths</b>	
<ul style="list-style-type: none"> <li>Nil identified</li> </ul>	
<b>Opportunities for Improvement</b>	
<ul style="list-style-type: none"> <li>Nil identified</li> </ul>	

<b>User Choice Contract</b>	
<b>Clause</b>	<b>Examined</b>
3h The supplier must comply with the User Choice fees and charges requirements set out in Appendix 3.	<input checked="" type="checkbox"/>
6a The Supplier must fully and correctly provide to the Department the reports set out in Item 1 of Appendix 5 in accordance with the timeframes set out in Item 2 of Appendix 5.	<input checked="" type="checkbox"/>
7b Unless otherwise specified or approved in writing by the Department, the Department will not pay, without limitation, the Supplier for the provision of the Services set out in Item 5 of Appendix 6.	<input checked="" type="checkbox"/>
18 The Supplier must collect and retain documents, records and information in accordance with Item 3 of Appendix 2.	<input checked="" type="checkbox"/>
<b>Audit findings</b>	
<p><b>At time of audit:</b>  <input checked="" type="checkbox"/> <b>Compliant</b>  <input type="checkbox"/> <b>Not Compliant</b></p> <p><b>Findings:</b>            45% of income is from User Choice.</p> <p>Student files examined at the audit site visit evidences the RTO's compliance with User Choice Fees and Charges</p>	



requirements in that, student contribution fees are calculated in accordance with the requirements of the User Choice Fees and Charges. Files examined evidenced that the correct fee amount was charged for the relevant amount of nominal hours.

Student files examined at the audit site visit evidenced that:

- the RTO has accurately reported student data
- Identifier Code 20; assessment end dates for each student align to end dates provided to the Department
- Identifier Code 40; student files examined for Clinton Magee, Erica Whitton and Luke Bayne contained training/assessment for the unit of competency *FDFRBBC2B Bake sponges, cakes and cookies*.
- Identifier Code 60; application for credit transfer and Statement of Attainment from Southbank Institute of TAFE was sighted on the file of student Timothy Falknau, for the unit of competency *FDFRBBC2B Bake sponges, cakes and cookies*

Evidence evaluated identified that the RTO has not been funded in any instances for a qualification achieved through RPL, Claims for payment were not in excess of the competency count for the qualification.

Staff have remote access to the RTO's templates. After undertaking any communication activity with the apprentice and/or employer, comments are recorded. Evidence on student files indicated that the RTO communicates regularly with apprentices and employers. Visits and contacts are recorded on Form K4.2 BITA Student Communications Log.

#### **Strengths**

- The RTO's Administration Officer, Maree Cruden – a strong understanding of the importance of accurate reporting and makes every attempt to ensure staff are kept informed of any changes, and that all accurate reporting is carried out in a timely manner.

#### **Opportunities for improvement**

- The RTO should consider an additional step in its processes for recording on the Student Communications Log that will ensure site visits identify whether training only occurred or if the site visit included assessment.
- To assist the client with better understanding the fee calculations when invoiced, the form 'Payment of Enrolment Fees' could contain more details regarding the calculation of fees.