



Audit report – VET Quality Framework

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

ORGANISATION DETAILS

Organisation's legal name	Krishna Maree Dawson
Trading name/s	Gold Coast Floristry and Retail Management
RTO number	31989
CRICOS number	N/A

AUDIT TEAM

Lead auditor	Ms Sonja Anders
Auditor/s	N/A
Technical adviser/s	N/A

AUDIT DETAILS

Application number/s	1061285
Audit number/s	1006488
Audit reason 1	Application - renewal
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	3/19 Millennium Cct, Helensvale Qld 4212
Dates of audit	23/09/2014

Organisation's contact for audit Mrs Krishna Maree Dawson Owner and/or executive officer
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NVR standards audited Selected Standards for Continuing Registration:
SNR 15, 16, 17, 18, 20.2, 22.2, 22.3, 23.1 and 25

BACKGROUND

- The organisation has been operating for five years conducting training and assessing in the floristry industry area to the Gold Coast region.
- The current CEO identified that there was a gap in training in this field and developed this organisation to meet the demand of training in this area.
- Delivery is conducted face to face and distance.
- RPL is offered but has not been undertaken since operation.
- There are no partnerships.
- **Core clients include individuals looking for a career change and school leavers.**

- The organisation is made up of a CEO, Trainer and Assessor and an administration officer.

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

- 22

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (if not yet on scope, record N/A)
SFL20110	Certificate II in Floristry (Assistant)	Face to face, distance	0
SFL30110	Certificate III in Floristry	Face to face, distance	22

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

INTERVIEWEES			
Name	Position	Qualification/Course/Unit code/s	
Ms Krishna Maree Dawson	CEO	N/A	

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 23/09/2014: Significant non-compliance

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

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 06/11/2014: Compliant

AUDIT FINDING BY STANDARD			
Standard	Original finding	Finding following rectification	
SNR 15	Not compliant	Compliant	
SNR 16	Compliant	n/a	
SNR 17	Compliant	n/a	
SNR 18	Not compliant	Compliant	
SNR 19	Not audited	n/a	
SNR 20	Compliant	n/a	
SNR 21	Not audited	n/a	



SNR 22	Compliant	n/a
SNR 23/AQF	Not compliant	Compliant
SNR 24	Not audited	n/a
SNR 25	Compliant	n/a

SNR 15 The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:

15.1 The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.

Original finding: Compliant **Following rectification:** n/a

15.2 Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry.

Original finding: Not compliant **Following rectification:** Compliant

Reasons for finding of non-compliance:

SFL30110 Certificate III in Floristry

- No training and assessment strategy was presented at time of audit for the above qualification.

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

SFL30110 Certificate III in Floristry

- Provide a training and assessment strategy for the above qualification that meets the requirements of the Training Package.

Analysis of rectification evidence:

SFL30110 Certificate III in Floristry

- An updated training and assessment strategy was provided for the above qualification that meets the requirements of the Training Package.

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

Original finding: Not compliant **Following rectification:** Compliant

Reasons for finding of non-compliance:

SFL20110 Certificate II in Floristry (Assistant)

SFL30110 Certificate III in Floristry

- Non-compliances were found in SNR 15.2, SNR 15.4 and SNR 15.5.

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

SFL20110 Certificate II in Floristry (Assistant)

SFL30110 Certificate III in Floristry

- Provide evidence of compliance against SNR 15.2, SNR 15.4 and SNR 15.5.

Analysis of rectification evidence:

SFL20110 Certificate II in Floristry (Assistant)

SFL30110 Certificate III in Floristry

Evidence was provided against SNR 15.2, SNR 15.4 and SNR 15.5 which is now compliant. No further evidence is required.

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

- (a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and
- (b) have the relevant vocational competencies at least to the level being delivered or assessed; and
- (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
- (d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

SFL20110 Certificate II in Floristry (Assistant)
SFL30110 Certificate III in Floristry
Sue Young

- The evidence provided for this trainer/assessor did not demonstrate the requirements of the standard have been met.

There was no evidence available at audit to demonstrate that she holds the relevant vocational competencies at least to the level being delivered or assessed (SNR 15.4b).

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

SFL20110 Certificate II in Floristry (Assistant)
SFL30110 Certificate III in Floristry
Sue Young

Provide evidence for this trainer/assessor that demonstrates the requirements of the standard have been met, for example; that she holds the relevant vocational competencies at least to the level being delivered or assessed (SNR-15.4b).

Analysis of rectification evidence:

SFL20110 Certificate II in Floristry (Assistant)
SFL30110 Certificate III in Floristry
Sue Young

Evidence was provided for this trainer/assessor in the form of a matrix which demonstrates that the requirements of the standard have been met and that she holds the relevant vocational competencies at least to the level being delivered or assessed (SNR 15.4b).

15.5 Assessment including Recognition of Prior Learning (RPL):

- (a) meets the requirements of the relevant Training Package or VET accredited course; and
- (b) is conducted in accordance with the principles of assessment and the rules of evidence; and
- (c) meets workplace and, where relevant, regulatory requirements; and
- (d) is systematically validated.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

SFL20110 Certificate II in Floristry (Assistant)
SFL30110 Certificate III in Floristry
SFLDEC201A Assemble floristry products
SFSOP205A Display and merchandise floristry product

- The evidence provided does not demonstrate that assessment includes guidance to trainers and assessors to enable them to make consistent judgements about competence. In addition there was insufficient information to students about the assessment process (SNR 15.5a) so as to ensure decisions of competence are determined against all the requirements of the relevant training package and that assessment meets the principles of assessment and rules of evidence.

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

SFL20110 Certificate II in Floristry (Assistant)
SFL30110 Certificate III in Floristry
SFLDEC201A Assemble floristry products
SFSOP205A Display and merchandise floristry product

- Provide evidence that demonstrates assessment includes guidance to trainers and assessors to enable them to make consistent judgements about competence, and information to students about the assessment process (SNR 15.5a) to ensure assessment meets the requirements of the training package, the principles of assessment and the rules of evidence.

Analysis of rectification evidence:

SFL20110 Certificate II in Floristry (Assistant)
SFL30110 Certificate III in Floristry
SFLDEC201A Assemble floristry products
SFSOP205A Display and merchandise floristry product

- Evidence has been provided that demonstrates assessment includes guidance to trainers and assessors to enable them to make consistent judgements about competence, and information to students about the assessment process (SNR 15.5a) it ensures assessment meets the requirements of the training package, the principles of assessment and the rules of evidence.

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

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

Original finding: Compliant

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a

16.4 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.



Original finding: Compliant

Following rectification: n/a

16.5 Learners receive training, assessment and support services that meet their individual needs.

Original finding: Compliant

Following rectification: n/a

16.6 Learners have timely access to current and accurate records of their participation and progress.

Original finding: Compliant

Following rectification: n/a

16.7 The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.

Original finding: Compliant

Following rectification: n/a

SNR 17 Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:

17.1 The NVR registered training organisation's management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.

Original finding: Compliant

Following rectification: n/a

17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.

Original finding: Compliant

Following rectification: n/a

17.3 The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

Original finding: Compliant

Following rectification: n/a

17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.

Original finding: Compliant

Following rectification: n/a

SNR 18 The NVR registered training organisation has governance arrangements in place as follows:

18.1 The NVR registered training organisation's Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation's scope of registration, as listed on the National Register.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The non-compliances identified demonstrate the Chief Executive did not ensure the organisation complied with the VET Quality Framework.
In order to become compliant, the organisation is required to:

- Provide evidence to rectify non-compliances identified in SNR 15. No other specific evidence is required.

Analysis of rectification evidence:

- All evidence provided rectified non-compliances identified in SNR 15 therefore SNR 18.1 is now compliant.

18.2 The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.

Original finding: Compliant

Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

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

Original finding: Not audited

Following rectification: n/a

SNR 20 Compliance with legislation

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

Original finding: Not audited

Following rectification: n/a

20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Original finding: Compliant

Following rectification: n/a

SNR 21 Insurance

21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.

Original finding: Not audited

Following rectification: n/a

SNR 22 Financial management

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

Original finding: Not audited

Following rectification: n/a

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

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

Original finding: Compliant

Following rectification: n/a

22.3 Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:

- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;
- (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;
- (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;
- (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or
- (e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.

Original finding: Compliant

Following rectification: n/a

SNR 23 Certification, issuing and recognition of qualifications & statements of attainment

23.1 The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:

- (a) meets the Australian Qualifications Framework (AQF) requirements;
- (b) identifies the NVR registered training organisation by its national provider number from

the National Register and
(c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

The template provided for the Statement of Attainment and Certificate did not meet the Australian Qualifications Framework requirements.

- **NOTE:** Prior to the conclusion of the site visit, the organisation provided evidence to rectify this non-compliance. Consequently, no further evidence is required.

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

Original finding: Not audited

Following rectification: n/a

23.3 The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.

Original finding: Not audited

Following rectification: n/a

23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]

This element was not audited.

23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]

This element was not audited.

SNR 24 Accuracy and integrity of marketing

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

Original finding: Not audited

Following rectification: n/a

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

Original finding: Not audited

Following rectification: n/a

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

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

delivers only currently endorsed Training Packages.	
Original finding: Compliant	Following rectification: n/a
25.2 The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.	
Original finding: Compliant	Following rectification: n/a

