



NSW Vocational
Education & Training
Accreditation Board

AQTF 2007 Compliance Audit Report

Yum Restaurants Australia Pty Ltd

12 July 2010

AQTF AUDIT REPORT

RTO DETAILS			
RTO Legal Name	Yum Restaurants Australia Pty Ltd		NTIS Number 91014
Trading name	Pizza Hut		Business No
	ACN 000 674 993	ABN	16 000 674 993
Street address	20 Rodborough Road FRENCHS FOREST NSW		Postcode 2086
Postal address	Locked Bag 522 FRENCHS FOREST NSW		Postcode 2086
Phone	02 9930 3057	Fax	02 9451 1468
E-mail	Linda.kewin@yum.com	Website	-
Registration contact Person responsible for registration matters	Name Linda Kewin	Position	RTO Manager
Student numbers Currently enrolled	As of 06.08.09 – 2085 across all qualifications. As of 13.07.10 – 1100 across all qualifications.		

AUDIT TEAM			
Lead auditor	Terry Everitt	Auditor(s)	N/A
Technical advisor(s)	N/A	Observer(s)	N/A

REGISTERING BODY DETAILS			
Contact person	Gwendoline Bennett		
Phone	02 9244 5305	E-mail	gwendoline.bennett@det.nsw.edu.au


AUDIT DETAILS	
Type of audit	Renewal
Standards audited	All
Conditions audited	All
Audit date(s)	13 July 2010

INTRODUCTION
<p>A previous audit of 8 June 2006 was undertaken to assess effectiveness of the RTO systems since registration. There was an audit conducted on 30 September 2009. The approval of this depended on the renewal of registration.</p> <p>All qualifications are via work based delivery and in all states, delivered only to employees of Yum Restaurants. The RTO maintains offices in all states (except WA) with all administration and documentation being provided from the Sydney site.</p> <p>The auditor was advised that the RTO is waiting for a few students to finish in two of the WRR qualifications and RTO will then remove all WRR qualifications at one time.</p> <p>ASIC Certificate of Registration of a Company limited by shares commenced 01.04.1969.</p>

FOCUS OF AUDIT		
NTIS Code	Qualification(s), Unit(s) of competency, Accredited course(s) as per NTIS	Delivery site(s)
SIR10107	Certificate I in Retail Services	NSW, QLD, SA, VIC, WA, TAS, ACT
SIR20207	Certificate II in Retail	
SIR30207	Certificate III in Retail	
SIR40207	Certificate IV	
SIR50107	Diploma of Retail Management	
WRR20102	Certificate II in Retail	Final trainees expected to finish in August and RTO will remove all WRR02 qualifications from scope.
WRR30102	Certificate III in Retail	
WRR40102	Certificate IV in Retail	
WRR50102	Diploma of Retail Management	

INTERVIEWEES		
Staff (name and position), Employers (name and position), Students (by program only; do not list by name)		
Name	Position	Program (qualification, course, etc)
Linda Kewin	RTO Manager (NSW)	All
Kylie Walliss	Training Program Manager	
Julie Mayer	Compliance Coach	
Leanne Morison	RTO Manager (Vic)	

SUMMARY OF AUDIT
<p>This audit was conducted under Section 22 of the NSW Vocational Education and Training Act 2005 (the VET Act) to assess compliance with the Australian Quality Training Framework Essential Standards for Registration. The Conditions of Registration were also audited.</p> <p>Audit Outcome 2010-07-27 The organisation has demonstrated compliance with the relevant AQTF Essential Standards and Conditions of Registration.</p>

AUDITOR'S RECOMMENDATION					
<p>2010-07-27 That, under the relevant section of the VET Act 2005, the organisation's application be approved.</p>					
Auditor's Name	Terry Everitt	Signature		Date of Report	27 July 2010

ESSENTIAL STANDARDS

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

Audit conclusion	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

RTO has provided evidence to demonstrate that it provides quality training and assessment services.

Strengths:

Use of store management who already have qualifications to help with the work based training.

Opportunities for Improvement:

Review of the mapping alignment of the assessments for the certificate qualifications.

Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients

Audit conclusion	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

RTO has shown how outcomes are maximised for students and how it works within the broader corporate environment it is part of as an enterprise RTO.

Strengths:

Opportunities for Improvement:

Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates

Audit conclusion	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

RTO has implemented a range of new initiatives to better control the information flow across the country and to codify and simplify this into the Quality Management System, including a document print on demand and automatic version control.

Strengths:

Opportunities for Improvement:

ESSENTIAL STANDARDS AND ELEMENTS

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

1.1 The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Completion survey has been used until early 2010 and now only using the Learner Quality Indicator at completion of course. Completed surveys filed per course per year and results into a spreadsheet grid and reviewed by RTO Manager and coordinators. Action Plan used to document the action to be taken with completion date and responsible person listed. Generally all actions are completed within 30 days. 'Smarter' database used to record outcomes.

Quality Indicators have been uploaded to VETAB.

RTO managers have weekly telephone meetings and quarterly meet with meeting minutes taken.

Workplace assessor meetings held bi monthly with minutes taken – sighted June 2010 minutes and previous meeting minutes for NSW and the different states.

Corporate Area Managers undertake a Training Function Review with individual site managers/supervisors.

Focus groups RTOC (Registered Training Organisation Coordinators) take random sample of trainees across all qualification with set questions for response.

Strategic survey undertaken 4 months ago and this will now be undertaken annually. This survey is for all RTO staff and same process as above to record, analyse and action.

Employer Quality Indicator is also used.

Findings:

RTO has various methods to collect data from differing stakeholders regarding training and assessment and have shown how analysis is undertaken and action resulting from the data to improve services. This is ongoing and at times immediate as the RTO is part of the same corporate organisation that it provides training for.

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.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Strategies are in same template for all qualifications, which provide for correct unit alignment of core/electives, durations and entry pathways.

Delivery modes are all a blend of classroom and on the job training as all students are employees of the various restaurants under the Yum Restaurant umbrella (KFC, Taco Bell and Pizza Hut). Assessment tasks are identified per unit.

Resources are listed (see 1.3) as are the vocational outcomes.

Industry consultation is from own management teams in the restaurants, Service Industry Skills Council, VIC WRAPS meeting and via Retail Traders Association

Findings:

Strategies are documented per qualification for the delivery and assessment for this enterprise RTO. The strategies have been developed in consultation with the enterprise and relevant stakeholders.

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.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

All RTO staff is also staff of the corporate Yum Restaurant organisation and the RTO is part of the Human Resource department. Organisational chart indicates the staff levels with their responsibilities.

Facilities – Entity address has fully (AV) equipped training rooms and test kitchen (not used for training). Training undertaken at work site and RTO ensures all requirements at the site are met via an 8 page Champs Excellence Review (CER) [comprising of technical and operational requirements] used by CER department (part of corporate organisation) and these are undertaken for each site quarterly and also have unannounced site audits.

Also used is an 8 page Training Excellence Review (sighted), undertaken by Training Manager annually with action plans instigated indicating compliance.

Training material – Team Member Orientation Guide used by trainer and the trainee receives the Team Member Orientation Workbook.

Star/Expert guide (which is mapped to training package requirements).

Module Trainer Guide used and trainees receive Modules (which are the learner guides) which include a self assessment (not used as part of the assessment). Assessments are separate LMR's (see 1.5).

Mapping of each qualification per unit is documented on the Mapping Guide. The element and performance criteria are individually listed mapped to the area of the learner guide which has the information along with the required skill, knowledge and critical aspects of evidence for all qualifications.

Diploma of Retail qualification has been mapped in a different format with Performance Criteria mapped to the individual module with the activity and assessment tool relevant to the information; also listed are the required skill, knowledge and critical aspects of evidence.

All training material is RTO developed with the mapping guides supplied.

Findings:

RTO has documented processes and checklists used to ensure the work sites have the appropriate requirements for training and assessment.

Array of learning materials used by trainer and trainee, which are RTO developed and mapped to the training package requirements.

- 1.4 Training and assessment are conducted by trainers and assessors who:**
- (a) have the training and assessment competencies determined by the National Quality Council or its successors**
 - (b) have the relevant vocational competencies at least to the level being delivered or assessed, and**
 - (c) continue to develop their vocational and training and assessment competencies to support continuous improvements in the delivery of RTO services.**

Evidence	Result		Result
	Compliant	✓	Not audited
	Non-compliant		Not applicable

Trainer matrix supplied and checked against hard copy files of NSW based trainers and electronic files of trainers in other states.
Certificate Trainers

Lee Dyson, Jodie Chammen, Sharna Atkins, Kaye Lynch, Lydi Cullinan, Elli Frediani, Alison Smith, Rachel Bowden, Rebecca Friend, Jamie Bundy, Rebecca McDonald, Anita Fabos, Melissa Astruc, Allie Jackson, Tammy Vella, Veronica Tate.

Diploma Trainers

Elli Frediani, Adam Petorious, Jodie Denmead, Gerald Fishpool, Melissa Astruc, Tim Fisher.

All trainers have BSZ/TAA and vocational qualifications sighted and all have been restaurant managers.

Matrix lists current Professional Development for all trainers and evidence of this sighted in files.

All trainers have certificate of completion of Chalkpoint data system and have DET completed Working with Children Checks.

Each trainer/assessor has an annual 'Assessor Calibration' which is an assessment by the RTO Manager of the assessor's capability in assessment of a trainee to listed criteria (not the unit requirements).

Findings:

Hard copy files kept in Victoria for other state trainers; however head office has electronic copies of all trainer files employed by the RTO.

Nominated trainers all have required qualifications and vocational expertise confirmed by auditor from sighted copies.

- 1.5 Assessment, including Recognition of Prior Learning (RPL):**
- (a) meets the requirements of the relevant Training Package or accredited course**
 - (b) is conducted in accordance with the principles of assessment and the rules of evidence, and**
 - (c) meets workplace and, where relevant, regulatory requirements.**

Evidence	Result		Result
	Compliant	✓	Not audited
	Non-compliant		Not applicable

RTO uses their proprietary Developing Champions Management Training Program developed by Yum Restaurants International. This is divided into Leading Multiple Restaurants (LMR) guides that are appropriately written for work place learning.

These do not align individually to specific units however the RTO has provided a mapping of the LMR to unit requirements.

Example: LMR 3,4,7 and 8 hold relevant information mapped to requirements of 2 units – SIRXFIN005A Manage operations to budget and SIRXMGT005A Set strategic plans.

These LMR's have various activities and then various assessment tasks – for both theory and various skill assessment tasks.

Recording of assessment are then mapped back to the unit requirement and entered electronically.

Diploma of Retail Management

Assessment booklet has been developed which includes all units and the various assessment tasks have been mapped to the various LMR's information.

The information provides guidance to both candidate and assessor as a mapping document. Candidate completes tasks and assessor uses the guide, mapped to assessment tasks and unit requirement, to define competency.

A final assessment is a major project in report form presented to a panel. This project relates to the formative assessments per unit undertaken.

Panel members each record their comments and outcome. These are finalized to provide an outcome decision. All panel members (with 1 exception) have the TAA qualification and are senior members of the Yum Restaurant organisation.

RPL

Skills Recognition is the document that outlines the RPL process, including the application and required evidence per unit. Module Verification used by assessor to verify evidence and provides outcome decision which assessor and candidate sign. Flow chart diagrams the process.

Findings:

The RTO demonstrated how the assessments are undertaken, recorded and transcribed via mapping guides to record competency to the requirements of the training package units, from their Developing Champions Management Training Program and use of Leading Multiple Restaurants guides. The mapping guides being the key documents in this process. The Diploma mapping is formatted differently to the certificate mapping and is easier to understand. RTO has process in place fully customised and contextualised for assessments that provide for unit requirements. RPL process is also in place.

Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients

2.1 The RTO continuously improves client services by collecting, analysing and acting on relevant data.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

RTO employs a number of data collection activities:

- RTO managers meet with meeting minutes quarterly and with weekly telephone meetings.
- Strategic survey undertaken 4 months ago and this now will be annually. This survey is for all RTO staff.
- Workplace assessor meetings held bi monthly with minutes taken – sighted June 2010 and previous meeting minutes for NSW and the different states.
- Area Managers undertake a Training Function Review with individual site managers/supervisors.
- Focus groups RTOC (Registered Training Organisation Coordinators) take random sample of trainees across all qualification with set questions for response.
- Founders Day Survey completed by restaurant managers and Voice of Champions survey completed by team members which has specific questions on training among other corporate services provision.
- Store audit for site managers where the RTO audits processes in place
- Employers Quality Indicators
- Client Services Monitoring Checklist is used by anyone that lists the various services provided. This is a form developed recently and no completed forms yet available.

RTO Manager is responsible for analyses of data and initiating required action.

Findings:

RTO has various processes in place to record data of client services and analysis and action is via RTO Manager.

2.2 Before clients enroll or enter into a contract, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Client Traineeship Information provides required information regarding the qualification, training and assessment and the RTO polices. Fees are stated as fully covered by employer. Learning support and reasonable adjustment are documented, as are RPL, selection and induction.

Enrolment Form, Training Plan and a Training Plan Agreement are completed prior to training.

On employment each student undertakes a team member orientation which includes benefits and polices, OH&S, organizational culture and their rights and responsible. Training is part of their employment contract.

Findings:

Prospective students are provided with appropriate information pre enrolment and have also been inducted into Yum Restaurants at employment.

2.3 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.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

RTO is an enterprise operation with their students being employees of the corporate structure that the RTO is part of. Training plan signed by employer and at each site visit the employer is involved with the assessment process – generally supplementing the RTO assessor and by provision of third party reports.

Monthly contact sheet which lists competency and training to be completed between visits.

Supervisor/trainer has completed the vocation qualification being trained.

Findings:

Enterprise training system with employers/management having been trained in same material and holding qualifications, allows a more streamlined process of work based delivery and assessment.

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

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Enrolment form has self disclosure questions regarding learning needs.

LL&N assessment tasks completed by all at induction with use of Learner Needs Profile, which is used as required if any doubts are expressed.

On employment all employees are screened and RTO gains relevant information at initial contact with the employee and employer (H R Department and store manager).

Flexible Learning Policy documents various support mechanisms and other than learning support, support requirements are provided corporation wide via human resource department.

Findings:

RTO has shown how it supports learners, particularly having supervisor/manager having completed the training and use of corporate wide support mechanisms.

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

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Trainee Record Book used to record progress and participation which is completed and signed by trainer and assessor each visit, so learner can gauge own progress.
Record of Contact in the Workplace completed and signed each visit, recording what took place and progress made.
Pre enrolment Traineeship Information documents access to own records by contacting the RTO.

Findings:

RTO have process for learners to access progress information.

2.6 Complaints and appeals are addressed efficiently and effectively.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Complaint and Appeals policy and procedure and the process communicated to students in pre enrolment information with informal resolution and then formal process begins with written complaint.
RTO Coordinator resolves the issue and provides written outcome to complainant.

Appeals are heard by the RTO Manager if regarding assessments or the Yum Restaurant Human Resources Director will hear non assessment appeals.
If not satisfied, the AAC will be contacted for appropriate external mediation advice.

The RTO and students also has access to the organizational wide Grievance Policy as an employee which includes appeal process.
Flow chart provides graphic representation of the process and the contact people.

Findings:

RTO has appropriate complaint and appeal process which is communicated to staff and students on the internal intranet.

Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates

3.1 The RTO uses a systematic and continuous improvement approach to the management of operations.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

RTO has implemented the following for ongoing improvement:

- Quality Management System which is divided into 7 sections held electronically. Each section has an Improvement Register which lists all improvements made and the date, plus the date of the effectiveness check made to ensure action was implemented and useful.
- All documents are print on demand and version locked with all on Internet with individual password protection with different access levels.
- AQTF self assessment undertaken April 2010 which indicated areas of non compliance and the action taken to rectify these non compliances.
- Chalk port QMS purchased 6 months ago and at this time not all data transferred to this system and still ongoing.
- Commenced program of digital assessment recording which has the written assessment electronically held.
- Professional development for all RTO staff (including trainers) is undertaken on regular basis.
- Corporate individual development plans are required to be undertaken by each member of Yum Restaurant staff.
- RTO reports to larger corporate structure it is part of regularly via various management meetings and reports.

Findings:

RTO has processes in place to ensure a continuous improvement approach to the operational management is maintained.

3.2 The RTO monitors training and/or assessment services provided on its behalf to ensure they comply with all aspects of the AQTF 2007 <i>Essential Standards for Registration</i> .				
Evidence	Result		Result	
	Compliant		Not audited	
	Non-compliant		Not applicable	✓
All training provided by the RTO.				

Findings:

No external providers required.

3.3 The RTO manages records to ensure their accuracy and integrity.				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>Student file are electronic in 'I care' (student data management system). Although this data is taken from paper based format student files and these files are presently sent to Sydney for archiving. Staff files are as above.</p> <p>Electronic system is backed up and taken off site daily. Each staff has own log on passwords. Record system as part of the QMS maintains various registers (i.e certificates, attendance)</p> <p>RTO Records Management Policy outlines how the RTO keeps all records.</p>				

Findings:

RTO has record management systems in place to ensure data integrity.

CONDITIONS OF REGISTRATION

CONDITIONS OF REGISTRATION	RESULTS				EVIDENCE	CORRECTIVE ACTION TO BE TAKEN
	Yes	No	Not audited	Not applicable		

CONDITION 1 – GOVERNANCE

<p>The RTO's chief executive must ensure that the RTO complies with the <i>Essential Standards for Registration</i> and any national guidelines approved by the National Quality Council. This applies to all operations within the RTO's scope of registration, as listed on the National Training Information Service.</p>	✓				<p>Renewal of Registration Statutory Declaration and Conditions of Registration Declaration signed by CEO, R. Wallis, 16.06.09.</p>	
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CONDITION 2 – INTERACTIONS WITH THE REGISTERING BODY

<p>The RTO's chief executive must ensure that the RTO cooperates with its registering body:</p> <ul style="list-style-type: none"> • in the conduct of audits and monitoring of its operations • by providing accurate and timely data relevant to measures of its performance • by providing information about significant changes to its operations <p>in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements.</p>	✓				<p>As above. CEO was not at audit however did meet with auditor on the day.</p>	
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CONDITION 3 – COMPLIANCE WITH LEGISLATION

<p>The RTO must comply with Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration. It must ensure that its staff and clients are fully informed of requirements that affect their duties or participation in vocational education and training.</p>	✓				<p>RTO uses Yum Restaurant corporate wide Team Member Orientation and Restaurant Manager Benefits, Procedures and Policies Handbook which has various requirements from legislation i.e. EEO, Anti Discrimination, OH&S, Privacy. Supplemented by RTO Employee/Assessor Guideline which has VET information.</p>	
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CONDITION 4 – INSURANCE

<p>The RTO must hold insurance for public liability throughout its registration period.</p>	✓				<p>Australia wide ACE policy CSZ0318310 until 31.12.2010</p>	
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CONDITION 5 – FINANCIAL MANAGEMENT

CONDITIONS OF REGISTRATION	RESULTS				EVIDENCE	CORRECTIVE ACTION TO BE TAKEN
	Yes	No	Not audited	Not applicable		
The RTO must protect fees paid in advance and have a fair and reasonable refund policy.	✓				No fees are charged to student. Employers via invoice. RTO does have a Fee for Training policy which outlines how fees are charged and includes refund policy.	
The RTO must have its accounts certified by a qualified accountant to Australian Accounting Standards at least annually, and must provide the certificate of accounts to its registering body on request. If the registering body reasonably deems it necessary, the chief executive must provide a full audit report on the RTO's financial accounts from a qualified and independent accountant.	✓				Giuliana Cleary KPMG 02 93358619 RTO accounts are part of Yum Restaurant's corporate accounting.	

CONDITION 6 – CERTIFICATION AND ISSUING OF QUALIFICATIONS AND STATEMENTS OF ATTAINMENT

The RTO must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or accredited course, a qualification or statement of attainment (as appropriate) that: <ul style="list-style-type: none"> meets the Australian Qualifications Framework (AQF) requirements identifies the RTO by its national provider number from the National Training Information Service includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use 	✓				Testamurs, transcripts and SoA are compliant.	
The RTO must retain learners' records of attainment of units of competency and qualifications for a period of 30 years.	✓				Record Management Policy has this stipulation.	

CONDITION 7 – RECOGNITION OF QUALIFICATIONS ISSUED BY OTHER RTOS

The RTO must recognise the AQF qualifications and statements of attainment issued by any other RTO.	✓				Traineeship Information has this documented.	
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CONDITION 8 – ACCURACY AND INTEGRITY OF MARKETING

The RTO must ensure that its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. The NRT logo must be employed only in accordance with its conditions of use.	✓				Advertising and Ethical Marketing policy. AQTF 2.2 is compliant.	
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CONDITION 9 – TRANSITION TO TRAINING PACKAGES/EXPIRY OF ACCREDITED COURSES

The RTO must manage the transition from superseded Training Packages within 12 months of their publication on the National Training Information Service. The RTO must also manage the transition from superseded accredited courses so that it delivers only currently	✓				While no written policy sighted, RTO staff advised of process undertaken - SISC and VETAB email	
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CONDITIONS OF REGISTRATION	RESULTS				EVIDENCE	CORRECTIVE ACTION TO BE TAKEN
	Yes	No	Not audited	Not applicable		
endorsed Training Packages and currently accredited courses.					alert – workshop attendance -mapping of difference and change of documents for new units.	