

VET Quality Framework audit report

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

Legal name of organisation	The Pharmacy Guild of Australia
Date/s of audit	17 and 21 May 2012

ORGANISATION DETAILS					
RTO legal name	The Pharmacy Guild of Australia		RTO ID number	0452	
Registered business trading name	The Pharmacy Guild of Australia National Secretariat		ABN	84 519 669 143	
Address	Level 3, 15 National Circuit, BARTON ACT 2600			Postcode	2609
Phone	(03) 9810 9960 (Ms Sue Bond, National Training Manager, is based in the Melbourne Office)		Fax	(02) 6270 1800	
E-mail	sue.bond@guild.org.au		Website	http://www.guild.org.au	
Registration contact	Name	Ms Sue Bond	Position	National Training Manager	

AUDIT TEAM				
Lead auditor	Brad Williams		Technical adviser/s	N/A
Audit team members	N/A			

ASQA CONTACT DETAILS				
Phone	1300 701 801 (ASQA Info line)		E-mail	admin@asqa.gov.au

AUDIT DETAILS	
Audit type	<input checked="" type="checkbox"/> Renewal of registration <input type="checkbox"/> Extension to scope of registration <input type="checkbox"/> Compliance monitoring (incl. post-initial registration) <input type="checkbox"/> Other:
Scope of audit	<input checked="" type="checkbox"/> Standards for NVR Registered Training Organisations <input checked="" type="checkbox"/> Australian Qualifications Framework (AQF) <input checked="" type="checkbox"/> Data Provision Requirements <input type="checkbox"/> Fit and Proper Person Requirements <input type="checkbox"/> Financial Viability Risk Assessment Requirements
Dates of site visits	17 May and 21 May 2012
Site visited	132 Leichhardt Street, Spring Hill (Brisbane), QLD (17 May 2012) 40 Burwood Road, Hawthorn (Melbourne), VIC (21 May 2012)
Standards audited	Essential Standards for Continuing Registration 15, 16, 17, 18, 20, and 22.2

ORGANISATION
<ul style="list-style-type: none"> The Pharmacy Guild of Australia was established in 1928 as a national employers' organisation servicing the needs of its members who are the proprietors of independent community pharmacies throughout Australia. As the national peak body representing community pharmacy, the Guild monitors a wide range of ongoing issues relating to community pharmacy practice (including consumer medicines information and product recalls). There are approximately 5000 community pharmacies across Australia dispensing around 250 million prescriptions annually. The RTO arm of the organisation (the Pharmacy Guild Academy) provides accredited training and assessment services in community pharmacy and has been operating as an RTO since 1995. Ms Wendy Phillips is the CEO of the organisation and its RTO operations; with Ms Sue Bond the National Training Manager and Ms Julie van Belkom the National Compliance Manager; each state and territory has a Training Services Manager. There are three (3) Training Package qualifications on its scope of registration: <ul style="list-style-type: none"> SIR20107 Certificate II in Community Pharmacy SIR30107 Certificate III in Community Pharmacy SIR40107 Certificate IV in Community Pharmacy The number of qualifications issued for the three qualifications in the 2010 calendar year was 590, 510 and 54 respectively. The Pharmacy Guild of Australia has been very involved in the development of the SIR07 Community Pharmacy Training Package and on-going revisions. Key clients are persons employed as assistant pharmacy/dispensary trainees, with training costs met through User Choice (some students in SIR30107 Certificate III in Community Pharmacy), by the employer or in some instances fee-for-service.

- As the supervising RTO, The Pharmacy Guild of Australia works closely with employers of the trainees.
- The organisation operates from facilities in each state and territory capital city, with the Pharmacy Guild Academy arm of the National Secretariat operating from 40 Burwood Road, Hawthorn (Melbourne).

FOCUS OF AUDIT		
Code	Qualification	Modes of delivery and assessment
SIR30107	Certificate III in Community Pharmacy	<ul style="list-style-type: none"> • Trainees complete the underpinning knowledge component of their course using resource workbooks and activities. On-the-job practical training is provided by their employer and guided by individual training plans monitored by The Pharmacy Guild of Australia (as the supervising RTO).
SIR40107	Certificate IV in Community Pharmacy	<ul style="list-style-type: none"> • Trainees complete the underpinning knowledge component of their course using resource workbooks and activities. On-the-job practical training is provided by their employer and guided by individual training plans monitored by The Pharmacy Guild of Australia (as the supervising RTO).

INTERVIEWEES		
Staff (name and position)		
Name	Position	Program (qualification, course, etc)
Sue Bond	National Training Manager, National Secretariat, The Pharmacy Guild of Australia	N/A
Julie van Belkom	National Compliance Manager, National Secretariat, The Pharmacy Guild of Australia	N/A
Kathy Knack	Training Quality & Workplace Services Manager, The Pharmacy Guild of Australia Queensland Division	N/A
Maria Hutchison	Training Services Manager, The Pharmacy Guild of Australia Victorian Division	N/A
Anthony Tassone [present for exit meeting]	Acting Director, Guild Pharmacy Academy, National Secretariat, The Pharmacy Guild of Australia	N/A

SUMMARY OF AUDIT OUTCOME

This audit was conducted under the *National Vocational Education and Training Regulator Act 2011* (the Act) to assess compliance with requirements of the VET Quality Framework as identified under the Scope of Audit section above.


AUDIT OUTCOME

Audit status as at 1 June 2012

- The organisation **has not demonstrated compliance** with all compliance requirements reviewed for the audit.

The level of non-compliance is considered to be minor when considering the potential for adverse impact on the quality of training and assessment outcomes for students.

The audit report describes evidence of non-compliance identified. Each issue referenced must be rectified by the organisation with evidence provided to ASQA within **20 working days** of the date of the letter accompanying this audit report to demonstrate corrective actions implemented.

Auditor's Name	Brad Williams	Signature		Date of Report	1 June 2012
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AUDIT RECTIFICATION

(delete whichever dot point option below does not apply)

Audit status following additional evidence received by the lead auditor on 9 July 2012

- The organisation has demonstrated compliance with all compliance requirements reviewed for the audit.

Auditor's Name	Brad Williams	Signature	<i>Brad Williams</i>	Date of Report	16 July 2012
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AUDIT SUMMARY OF VET QUALITY FRAMEWORK REQUIREMENTS

VET QUALITY FRAMEWORK COMPONENT		STATUS*
Financial Viability Risk Assessment Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Fit and Proper Person Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Data Provision Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Australian Qualifications Framework (AQF) Requirements		<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Standards for NVR Registered Training Organisations 2011		
- Essential Standards for Continuing Registration		
15	The NVR registered training organisation provides quality training and assessment across all of its operations	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
17	Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
18	The NVR registered training organisation has governance arrangements in place	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
19	Interactions with the National VET Regulator	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
20	Compliance with legislation	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
21	Insurance	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
22	Financial management	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
23	Certification, issuing and recognition of qualifications and statements of attainment	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
24	Accuracy and integrity of marketing	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
25	Transition to training packages/expiry of VET accredited courses	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
*STATUS: Status of audit findings when audit was conducted C = Compliant NC = Not Compliant NA = Not audited		

Audit Findings
<p>The Pharmacy Guild of Australia provided sufficient evidence to demonstrate that:</p> <ul style="list-style-type: none"> • It engages in effective consultation with the sector, including through an extensive network of Guild pharmacies and relevant peak bodies. • The pharmacy and its facilities are assessed for suitability before a trainee is placed at a particular pharmacy and regularly checked for continuing suitability by trainers/assessors on field visits to trainees. • It ensures employers and other parties involved in learners' training are engaged in the development, delivery and monitoring of training and assessment. • It ensures the decision making of senior management is informed by the experiences of its trainers and assessors. • The National Secretariat fulfils important roles in setting central policies and procedures for consistent implementation of RTO operations and its management systems across the state/territory branches. • All training and assessment materials are developed centrally through the National Secretariat, with trainers/assessors across the country accessing the latest versions only via the organisation's Internet. • It has consistent implementation of its management systems across the state/territory branches. • It has implemented an electronic student records management system (Wise.NET) with demonstrated capacity to provide AVETMISS compliant data. <p>Non-compliance Findings</p> <p>SNR 15.2 Strategies for training and assessment</p> <ul style="list-style-type: none"> • The training and assessment strategy documents for both qualifications in the audit sample did not include any direct information on the trainers/assessors involved or make any cross references to the separate supporting documentation.

SNR 18.1 Governance arrangements

- Given the issues identified in this report, the CEO has not ensured that the organisation has met all requirements in the VET Quality Framework.

Rectification requirements – evidence of rectification to be submitted within 20 working days

SNR 15.2 Strategies for training and assessment

- The Pharmacy Guild of Australia is required to include information on the trainers/assessors involved within the Training and Assessment Strategy document for each of the courses listed below or to include relevant and sufficient cross references to supporting documentation:
 - SIR30107 Certificate III in Community Pharmacy
 - SIR40107 Certificate IV in Community Pharmacy.
- If relevant cross references are added to a Training and Assessment Strategy document, The Pharmacy Guild of Australia is required to also provide copies of all relevant information within the supporting documentation.

Rectification evidence submitted

- Evidence 1 - Learning and assessment strategy SIR30107 Certificate III in Community Pharmacy
- Evidence 2 - Learning and assessment strategy SIR40107 Certificate IV in Community Pharmacy
- Evidence 3 - Vocational competence staff matrix- SIR30107 Queensland Branch (sighted at site audit)
- Evidence 4 - Vocational competence staff matrix- SIR40107 Queensland Branch (sighted at site audit)
- Evidence 5 - Vocational competence map – SIR20107 - Queensland Branch trainer Linden Pirrone (not relevant to audit scope)
- Evidence 6, 7 - Vocational competence map - SIR30107 and SIR40107 - Queensland Branch trainer Linden Pirrone (sighted at site audit)
- Evidence 8 - Vocational competence map - SIR30107 and SIR40107 - Queensland Branch trainer Nancy Wehbe (sighted at site audit)
- Evidence 9 - Vocational competence map – SIR20107 - Queensland Branch trainer Queensland Branch trainer Nancy Wehbe (not relevant to audit scope)
- Evidence 10 - Vocational competence staff matrix- SIR30107 Victoria Branch (sighted at site audit)
- Evidence 11 - Vocational competence staff matrix- SIR40107 Victoria Branch (sighted at site audit)
- Evidence 12, 13 - Vocational competence map - SIR30107 and SIR40107 - Victoria Branch trainer Nicole Thomas (sighted at site audit)
- Evidence 14 - Vocational competence map - SIR40107 - Victoria Branch trainer Leanne Tankard (sighted at site audit).

Analysis of rectification evidence

SIR30107 Certificate III in Community Pharmacy

SIR40107 Certificate IV in Community Pharmacy

- Each amended 'Learning and Assessment Strategy' (V3 250612) included references and hyperlinks to the relevant 'vocational competence staff matrix' for the qualification and the 'vocational competence maps' for each trainer/assessor involved.
- Hard copies of the 'vocational competence staff matrix' for the qualification and the 'vocational competence maps' for each trainer/assessor involved were provided.
- The samples of these documents audited at the site audit were compliant. These documents are maintained electronically on the organisation's intranet ('TrainNet').

Findings

- The Pharmacy Guild of Australia provided a sufficient body evidence to demonstrate compliance with SNR 15.2 - Training and assessment strategies.

SNR 18.1 Governance arrangements

- The Pharmacy Guild of Australia is required to demonstrate how its CEO will ensure that the RTO complies with the VET Quality Framework.

Rectification evidence submitted

- Evidence 15 - Signed letter from Executive Director (sighted at site audit)
- Evidence 16 - Delegations flowchart (sighted at site audit)
- Evidence 17 - Signed confirmation from Executive Director and Guild Pharmacy Academic Director in relation to the internal assessments conducted for the 2011 calendar year (sighted at site audit)
- Rectification evidence that fully addressed the non-compliance with SNR 15.2 - Training and assessment strategies.

Analysis of rectification evidence**Governance arrangements**

- The RTO provided rectification evidence that fully addressed the non-compliance with SNR 15.2 - Training and assessment strategies
- The supporting documentation provided evidence that satisfactory governance arrangements have been put in place to comply with requirements in the VET Quality Framework.

Findings

- The Pharmacy Guild of Australia provided a sufficient body evidence to demonstrate compliance with SNR 18.1 - Governance arrangements.