

AQTF Audit Report – Continuing Registration

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 FM-PMA-34A
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 Training and International Quality

Worksafe Connect – NTIS #31385

| Organisation details | | | |
|---------------------------------------|--|---|--|
| Registration expiry | 05/12/2011 | | |
| Principal address | 1/3 Ramsay Street, Garbutt | | |
| RTO contact | Mr Desmond Smith | Phone number | (07) 4728 9866 |
| Operations | <ul style="list-style-type: none"> • Core clients are fee for service off-the-street clients and employees of corporate clients. • All training and assessment services are currently delivered via face to face with 70% of delivery occurring at the RTO's training facility in Garbutt and 30% occurring at the Cannington Mine & various Ernst Henry venues (<i>Mining clients want training onsite</i>). The organisation advised it is looking to deliver some training via the online medium in the future but confirmed that this is some time away yet. • The organisation has partnering agreements with some of its trainers and assessors by virtue of how the business arrangements have been structured. • All delivery is fee for service. • The number of completions in past year per qualifications/courses/units of competency has exceeded 10,000. This high number is attributed to the RTO delivering short courses comprising of between 1 and 3 units of competency for mining inductions; CPR and hot work. • Approximate number of current enrolments per qualification/course/unit: 250 at the time of audit. | | |
| Audit team | | | |
| Lead auditor | Ms Susan Blakemore | Auditor/s | Ms Pauline Bowtell |
| Phone | (07) 3237 0840 | Adviser/s | N/A |
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| Audit details | | | |
| Reason/s for audit | Renewal of Registration | | |
| Audit date/s | 27 October 2011 | Audit number/s | 3138515695A |
| Standards audited | 1.1, 1.2, 1.3, 1.4, 1.5, 2.2, 2.3, 3.2, 3.3 | | |
| Conditions audited | 27 October 2011 | | |
| Audit outcome on day of audit | Compliant <input type="checkbox"/> | Significant non-compliance <input type="checkbox"/> | Critical non-compliance <input type="checkbox"/> |
| | Minor non-compliance <input checked="" type="checkbox"/> | | |
| Rectification received | 27 October 2011 | | |
| Audit outcome following rectification | Compliant <input checked="" type="checkbox"/> | Significant non-compliance <input type="checkbox"/> | Critical non-compliance <input type="checkbox"/> |
| | Minor non-compliance <input type="checkbox"/> | | |
| Other audit notes | • Nil | | |
| Focus of audit | | | |
| Code | Qualification / Course / Unit title | Regulated | Delivery venues |
| HLT21107 | Certificate II in Emergency Medical Service First Response [Partial] | <input type="checkbox"/> | |

| | | | |
|---|---|-------------------------------------|-------------------------------|
| PRM20406 | Certificate II in Asset Maintenance (Fire Protection Equipment) [Partial] | <input type="checkbox"/> | RTO premises and client sites |
| RII20209 | Certificate II in Surface Extraction Operations | <input type="checkbox"/> | |
| RII20409 | Certificate II in Underground Metalliferous Mining | <input type="checkbox"/> | |
| RII30309 | Certificate III in Underground Metalliferous Mining | <input type="checkbox"/> | |
| RII40309 | Certificate IV in Metalliferous Mining Operations (Underground) | <input type="checkbox"/> | |
| TAE40110 | Certificate IV in Training and Assessment | <input type="checkbox"/> | |
| Interviewee/s (incl. position) | | | |
| Mr Des Smith, CEO | | Ms Narelle Marschke, Office Manager | |
| Ms Jasmine Bowman, Administration Officer | | | |

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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"> a) have the necessary training and assessment competencies as 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) 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. | <input checked="" type="checkbox"/> |
| 1.5 Assessment, including Recognition of Prior Learning (RPL): <ul style="list-style-type: none"> 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 c) meets workplace and, where relevant, regulatory requirements d) is systematically validated. | <input checked="" type="checkbox"/> |

Audit findings

At time of audit:

- Compliant
 Not Compliant

Following rectification received 27/10/2011:

- Compliant
 Not Compliant

Findings:

CONTINUOUS IMPROVEMENT

It was clear that the RTO has a systematic approach to continuous improvement and a culture of innovation and improvement that is entrenched in the organisation's systems, staff and day to day operations.

Assessment validation and planning forms had been completed on a scheduled and continues basis, and improvements to



training and assessment were clearly demonstrated through wide variety of evidence sources. These sources ranged from registers to strategies, completed surveys, completed student files, and materials and resources.

Corrective action forms had been completed and actioned for a range of items including but not limited to training and assessment, client services and management systems. In the first instance these are reviewed by the Office Manager who then forwards them on to the Director. Items for actioning were noted in a spreadsheet and closed out accordingly.

For each qualification included in the audit scope, the organisation provided a collection of student files with completed assessments and a folder that included the following documentation:

- A learning and assessment strategy
- A copy of the unit of competency
- A course delivery plan
- Course material that consisted all PowerPoint presentations used for classroom delivery
- A learner manual
- Assessment instruments
- Marking guides
- An assessment mapping tool
- Relevant human resource information supporting compliance with NQC requirements.

The organisation provided strategies for training and assessment for both full delivery and for those units it actually delivers to its various clients. For some unit sets, it provided up to three strategies indicating that its strategies are driven by the differing needs of each of its client groups. For all strategies, both generic and targeted, there was clear evidence that each had been developed through passive industry consultation; information sharing; and formal consultation processes (see Strengths below for commentary regarding strategies for training and assessment for Sun Metals)

One strategy in particular was accompanied by a project plan that outlined how negotiations with the mine for delivery had occurred, what the desirables and deliverables were, and what the intended outcomes were. The final strategy document was clearly a result of months of discussion and consultation resulting in fit for purpose delivery.

The course delivery plan included very specific information that would ensure consistent and quality training. This was further supported by the organisation's PowerPoints and learner manuals.

Information within the human resource files provided for each qualification demonstrated that training and assessment has been delivered by highly qualified and industry current staff, further adding to the high level of quality in training and assessment outcomes.

The organisation's own training facility is equipped with all the necessary resources for delivery of the qualifications sampled at audit including appropriately sized classrooms to meet class numbers. The organisation has designed and had custom built a training trailer that simulates working at heights and working in confined spaces. The organisation was able to provide evidence that it had consulted with a range of stakeholders regarding the safety and suitability of this trailer. The evidence demonstrated support from these stakeholders for the usability and functionality of this mobile training resource.

Assessment tools were analysed for:

PRM20406 Certificate II in Asset Maintenance (Fire Protection Equipment) [Partial]

PRMPFES05B Use portable fire fighting equipment

RII20209 Certificate II in Surface Extraction Operations

RIIERIS201A Conduct local risk control

RIIERR205A Apply initial response first aid

RII20409 Certificate II in Underground Metalliferous Mining

RIIOHS204A Work safely at heights

RII30309 Certificate III in Underground Metalliferous Mining

RIIRIS301A Apply risk management processes

RIIOHS301A Conduct safety & health investigation

RII40309 Certificate IV in Metalliferous Mining Operations (Underground)

RIIOHS401A Supervise work in confined space



TAE40110 Certificate IV in Training and Assessment

TAEDEL301A Provide work skill instruction

TAEASS402A Assess competence

The tools analysed had been developed in-house by the RTO and met all training package requirements including the required knowledge and skills and the critical aspects of evidence necessary to achieve the performance criteria.

All assessment had been validated as evidence the assessment mapping matrices provided and had been validated both internally and with external stakeholders. The assessment tools and tasks were consistent with the organisation's strategies for training and assessment.

Analysis of completed student files identified systematic record keeping practices. It was also confirmed that there has been an ongoing improvement to its assessment materials and resources as evidence by changes and enhancements to tools used under the Krause Safety and Training branding and the Worksafe Connect branding.

Non-compliances:

ASSESSMENT

HLT21107 Certificate II in Emergency Medical Service First Response [Partial]

HLTCPR201A Perform CPR

HLTFA301B Apply first aid

RII20409 Certificate II in Underground Metalliferrous Mining

RIIOHS202A Enter and work in confined spaces

Analysis of tools for the above listed units of competency identified minor gaps in the coverage of all required knowledge and skills and mandatory requirements in the range statement. For example only: for *HLTCPR201A Perform CPR* the practical assessment did not include the application of CPR techniques on a child/and or infant manikins as well as an adult manikin as per the requirements of the range statement. This is identified as a 'must' inclusion into the assessment process within the range statement. As the assessment for this unit was also incorporated into assessment for *HLTFA301B*, the gap had an impact on both units of competency.

For *RIIOHS202A*, small gaps in the assessment of all required skills relating to environmental impacts on working at heights were identified.

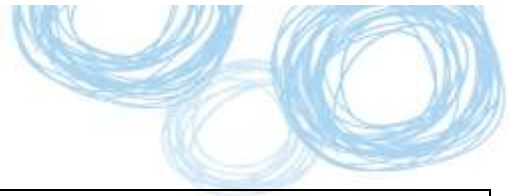
During the audit, the organisation amended its tools and assessment tasks to address the identified gaps. Consequently, no further evidence has been requested and the identified non-compliances have now been rectified.

Strengths

- The organisation provided evidence of its in-house improvement and planning workshop for all RTO staff in November last year. Information within the PowerPoint that was used to facilitate this workshop and planning day included guidance on the organisations expectations and objectives; similar future workshops; information regarding significant events and key achievements during the preceding 12 months; and business operations priorities, priorities for trainers, priorities for all staff, monthly meetings agendas, moderation and validation schedules, administration processes, staff issues and operational scope for the proceeding 12 months. The Office Manager was identified as being responsible for managing the outcomes from the meeting. A Continuous Improvement Ideals November 2010 document was developed following that meeting that has been used to manage, monitor and measure the outcomes from the workshop.
- The organisation developed a 'Transition to RII09 Project' report for Sun Metals for the purposes of overhauling and upgrading the mine's human resources skill base through nationally recognised training. The project document sighted at audit outlined methodologies, phases, continuous improvement, a project plan, sustainability, engagement, responsibilities, barriers and risks, infrastructure, capabilities, key stakeholders, resources, information management, change management and projected costs. This same type of plan has been replicated for Ernest Henry Mines.
- The organisation has a clear understanding of its areas of expertise and skill and heavily focuses on ensuring it maintains high standards of service delivery in those areas.

Opportunities for Improvement

- The organisation should consider updating the competency summary sheets to reference the activity workbooks for all of its units of competency that include workbook activities.
- The activity workbook could include a copy of the assessment results form consistent with those used for theory and



practical assessments.

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

| Elements | Examined |
|---|-------------------------------------|
| 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 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"/> |

Audit findings

At time of audit:
 Compliant
 Not compliant

Findings:
 The organisation was able to demonstrate a strong culture and commitment to being responsive to the needs of its clients, and to ensuring that its client services are systematically reviewed and improved.

Client feedback is reviewed on a monthly basis and recorded in a register that is managed, monitored and actioned by the Office Manager. Sundry improvements to its client services were identified within the improvement register.

The organisation's pre-enrolment information meets the requirements of this standard and is sufficient to allow a potential client to make an informed decision about their enrolment with the organisation.

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

| Elements | Examined |
|---|-------------------------------------|
| 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 checked="" type="checkbox"/> |
| 3.4 The RTO manages records to ensure their accuracy and integrity. | <input type="checkbox"/> |

Audit findings

At time of audit:
 Compliant
 Not Compliant

Findings:
 The organisation has a robust management system which is sufficient for the scope and size of the business. The organisation is clearly focused on providing quality training, assessment and support services as evidence by:

- RTO policy and procedure manual and supporting documents
- consistent records management
- version control
- internal reviews
- corrective actions records.



Procedures such as developing QA documentation, control of documents and data, control of records, documents register maintenance, formatting of Worksafe Connect RTO documents, internal auditing, improvements, risk management and quality objectives further assist the RTO in the systematic and continuous improvement approach to the management of operations.

The organisation's management system is consistently implemented and systematic monitoring is occurring resulting in regular continuous improvement to ensure that the changing needs of clients and industry continue to be met.

Several trainers and assessors are engaged in partnering arrangements with the organisation.

The agreements have been defined as the trainer/assessor operates a business and from time to time will engage clients/students on behalf of the organisation. The organisation is always aware of training and assessment prior to it having occurred and prepares the materials for each course and upon completion will issue to statements of attainment/qualifications. Students are clearly aware of the issuing RTO being "Worksafe Connect".

The agreements are documented and clearly describe the responsibilities of each party including monitoring/audit arrangements. The agreements have been monitored and customised over time. The organisation provided a recent sit-in trainer evaluation of one of its partners that was completed by the CEO as an example of its ongoing monitoring activities.

Strengths

- The CEO and Office Manager's understanding of the critical importance of a robust quality management system and its consistent implementation to the provision of quality training, assessment and client services is a strength of this organisation. This has been pivotal in ensuring the organisation's current risk rating will remain unchanged following the audit activity.