## RTO DETAILS

<table>
<thead>
<tr>
<th>NTIS number</th>
<th>31955</th>
<th>Registration expiry</th>
<th>08/06/2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Address</td>
<td>4a 85 Joseph Banks Ave, FOREST LAKE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Audit venue</td>
<td>24 Tenterfield Place, FOREST LAKE, QLD 4078</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RTO contact</td>
<td>Stephen Harding</td>
<td>Phone number</td>
<td>0407779843</td>
</tr>
</tbody>
</table>

### Operations
- The RTO's core clients are medium earth moving companies whose staff require licences for prescribed occupations
- Delivery is face to face one on one
  - Theory classes are conducted at client premises or hired venues
  - Practical classes are conducted at clients premises
- The organisation has partnering arrangements with: Driver Training Education Kingaroy; Steve Walters and Jarra Creek Marketing Pty Ltd; and Robert Kerridge.

## AUDIT TEAM

| Lead Auditor | Tony Farrington | Auditor/s | Nil |
| Phone | 32252400 | Adviser/s | Shane Holdsworth – WH&SQ |
| E-mail | tony.farrington@deta.qld.gov.au | Observer/s | Nil |

## AUDIT DETAILS

| Reason/s for audit | Extension to scope |
| Audit date/s | 5 & 6 November 2009 |
| Audit number/s | 31955-2A |
| Standards audited | 1.1, 1.2, 1.3, 1.4, 1.5, 2.2, 2.3, 3.2 |
| Audit outcome on day of audit | Compliant | Significant non-compliance |
| Minor non-compliance | Critical non-compliance |
| Rectification received | 18/01/2010 |
| Audit outcome following rectification | Compliant | Significant non-compliance |
| Minor non-compliance | Critical non-compliance |
| Other audit notes | During the audit the organisation stated that it may consider withdrawing its application for the unit OHSCER218A Perform dogging operations – the auditor advised the organisation will need to complete an RTO2 form. |

## FOCUS OF AUDITS

<table>
<thead>
<tr>
<th>Code</th>
<th>Qualification/Course/Unit title</th>
<th>Regulated outcome</th>
<th>Delivery venues (list specific sites)</th>
<th>Govt funding (eg UC, PPP)</th>
</tr>
</thead>
<tbody>
<tr>
<td>30496QLD</td>
<td>Course in Operating Loadshifting Equipment [Partial Delivery]</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>30497QLD</td>
<td>Course in Operating Cranes, Rigging and Scaffolding Equipment [Partial Delivery]</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPC10108</td>
<td>Certificate I in Construction [Partial Delivery]</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## INTERVIEWEE/S – Staff (and position); Employers; Students

Stephen Harding - Director
Stephen Fraser – IT Manager
### Standard 1: The RTO provides quality training and assessment across all of its operations

<table>
<thead>
<tr>
<th>Elements</th>
<th>Examined at audit</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.</td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>1.4 Training and assessment are conducted by trainers and assessors who:</td>
<td></td>
</tr>
<tr>
<td>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors</td>
<td></td>
</tr>
<tr>
<td>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</td>
<td></td>
</tr>
<tr>
<td>c) continue developing their vocational and training and assessment competencies to support continuous improvements in delivery of the RTO’s services.</td>
<td></td>
</tr>
<tr>
<td>1.5 Assessment, including Recognition of Prior Learning (RPL):</td>
<td></td>
</tr>
<tr>
<td>a) meets the requirements of the relevant Training Package or accredited course</td>
<td></td>
</tr>
<tr>
<td>b) is conducted in accordance with the principles of assessment and the rules of evidence</td>
<td></td>
</tr>
<tr>
<td>c) meets workplace and, where relevant, regulatory requirements.</td>
<td></td>
</tr>
</tbody>
</table>

#### Audit findings

**At time of audit:**
- [ ] Compliant
- [X] Not Compliant

Following rectification received [18/01/10]:
- [X] Compliant
- [ ] Not Compliant

Technical advice has been incorporated into the findings for this standard for the following qualifications:
- 30496QLD Course in Operating Loadshifting Equipment [Partial Delivery]
- 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment [Partial Delivery]
- CPC10108 Certificate I in Construction [Partial Delivery]

#### Findings:

The RTO has documented its training and assessment strategies and has consulted with staff from the following industry stakeholders: Civdec Construction; GWT Earthmoving; and Carborough Downs mine site in their development.

Evidence was provided that demonstrates how the RTO will ensure its students receive access to a real work environment at which to practice skills for units within 30496QLD Course in Operating Loadshifting Equipment and 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment. The organisation has in place a documented procedure ‘Equipment Hire and Maintenance Procedure SOP 08’ for instances when the RTO is unable to access the required equipment at the client’s workplace.

The organisation has conducted a mapping of its training materials to unit requirements as a means of ensuring learner’s can achieve competence. During this exercise the organisation identified some gaps in information which are currently being rectified. Trainers/assessors will be able to access resources for training and assessment via the organisation’s backend database.

The RTO has a staff matrix document which identifies the nominated trainers/assessors for each unit from 30496QLD Course in Operating Loadshifting Equipment and 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment. These trainers and assessors are all approved by Workplace Health and Safety Qld. The organisation intends to conduct a performance planning and review process with its trainers/assessors annually – performance and vocational competence are reviewed in some detail. This process will also refer to the outcomes of the ongoing reviews provided via the ‘Assessment mini audit’ which is completed at the conclusion of the delivery of each unit.

The assessments for the units of competency from the accredited courses 30496QLD Course in Operating Loadshifting Equipment and 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment are mandated by Workplace Health and Safety Queensland and provided with the purchase of the course materials.
Non-compliances:

STRATEGIES

30496QLD Course in Operating Loadshifting Equipment [Partial Delivery]
30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment [Partial Delivery]
CPC10108 Certificate I in Construction [Partial Delivery]

The training and assessment strategies for the above accredited courses and qualification did not:

- provide accurate and sufficient information regarding training and assessment methods
- ensure that learners receive training and assessment that meets their needs
- provide accurate and sufficient information regarding requirements of the qualification or course, in particular information related to meeting the licensing component of the course and identifying units of competency

EQUIPMENT and FACILITIES

RTO could not provide evidence to ensure facilities and equipment will be operational, safe and accessible.

TRAINING MATERIALS

Insufficient evidence provided to demonstrate the training materials address the requirements of the unit.

HR

Insufficient evidence provided to demonstrate the organisation ensures trainers and assessors will continue to develop their competencies by:

- supporting their professional development in teaching and learning methods

It is noted that prior to the conclusion of the audit the organisation has updated its performance planning review process to include the requirement that trainers/assessors be provided with opportunities to develop their competencies in teaching and learning methods for the upcoming 12 months.

Implications for training/assessment quality:

It is expected that the identified non-compliances will have a minor effect on the quality of training and/or assessment outcomes as no delivery has occurred and the organisation has continuous improvement processes in place.

Rectification required:

STRATEGIES

30496QLD Course in Operating Loadshifting Equipment [Partial Delivery]
30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment [Partial Delivery]
CPC10108 Certificate I in Construction [Partial Delivery]

For the qualifications listed above the organisation is required to provide evidence to demonstrate it has in place training and assessment strategies that:

- provide accurate and sufficient information regarding training and assessment methods
- ensure that learners receive training and assessment that meets their needs
- provide accurate and sufficient information regarding requirements of the qualification or course, in particular information related to meeting the licensing component of the course and identifying units of competency

EQUIPMENT and FACILITIES

The organisation is to provide evidence to demonstrate how it will ensure facilities and equipment will be operational, safe and accessible.

TRAINING MATERIALS

The organisation is to provide evidence to demonstrate how it will ensure the training materials address the requirements of the unit.

Rectification evidence received 18 January 2010:

The organisation provided amended strategies for training and assessment for:

30496QLD Course in Operating Loadshifting Equipment [Partial Delivery]
30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment [Partial Delivery]
CPC10108 Certificate I in Construction [Partial Delivery]. The technical adviser supports that the amended training and assessment strategies:
- provide accurate and sufficient information regarding training and assessment methods
- ensure that learners receive training and assessment that meets their needs
- provide accurate and sufficient information regarding requirements of the qualification or course, including identifying units of competency.

EQUIPMENT and FACILITIES
The organisation provided evidence of updated procedures that staff are required to follow as a means of ensuring facilities and equipment will be operational, safe and accessible. The technical adviser supports that the organisation has adequate processes in place to ensure that facilities and equipment are safe, operational and industry-relevant.

TRAINING MATERIALS
The organisation provided evidence via mapping documents as a means to demonstrate how it has ensured the training materials address the requirements of the unit. The technical adviser supports that the organisation has access to suitable training materials that meet industry standards and qualification/course requirements.

Strengths
- The organisation was very receptive to the auditor’s comments and was proactive in putting in place strategies to rectify non-compliances on the day of the audit.

Opportunities for Improvement
- The student log book could have more pages inserted to allow for more workplace task entries if required.
- The organisation could rewrite the strategies to include terminology used within the AQTF guidelines.

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

<table>
<thead>
<tr>
<th>Elements</th>
<th>Examined at audit</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 The RTO continuously improves client services by collecting, analysing and acting on relevant data.</td>
<td>☐ Compliant</td>
</tr>
<tr>
<td>2.2 Before clients enrol 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.</td>
<td>☐ Compliant</td>
</tr>
<tr>
<td>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.</td>
<td>☐ Compliant</td>
</tr>
<tr>
<td>2.4 Learners receive training, assessment and support services that meet their individual needs.</td>
<td>☐ Compliant</td>
</tr>
<tr>
<td>2.5 Learners have timely access to current and accurate records of their participation and progress.</td>
<td>☐ Compliant</td>
</tr>
<tr>
<td>2.6 Complaints and appeals are addressed efficiently and effectively.</td>
<td>☐ Compliant</td>
</tr>
</tbody>
</table>

Audit findings

At time of audit: Following rectification received [06/11/09]:
☐ Compliant ☒ Compliant
☒ Not Compliant ☐ Not Compliant

Findings:
Upon an enquiry interested students are emailed links to the organisation’s website via its backend database/portal. The website provides information about courses, the organisations policies and procedures and learner’s rights and responsibilities.

The Training Plan & Log Book document also provides details of the training and assessment support services to be provided and information concerning the learner’s rights and responsibilities.

For 30496QLD Course in Operating Loadshifting Equipment and 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment the RTO delivers training and assessment in the workplace. The trainer/assessor for the RTO negotiates the timeframe for the delivery of training and assessment with the relevant person such as the employer or supervisor. Following training, the learner records ongoing practical experience in the workplace in a logbook prior to...
assessment. The details of the tasks and supervision arrangements are negotiated with the employer/supervisor and documented in the logbook. The trainer/assessor for the RTO makes follow up phone calls to monitor the learner's progress.

Non-compliances:
For clients who do not have access to the organisation's website insufficient evidence was provided to demonstrate a process is in place to ensure that before they enrol 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.

It is noted that prior to the conclusion of the audit, the organisation provided a mail out kit of 'Pre-booking Information' which provides clear information about the training, assessment and support services to be provided, and about their rights and obligations. Consequently, no further evidence will be required.

**Strengths**
- Nil identified.

**Opportunities for Improvement**
- Nil identified.
Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates

<table>
<thead>
<tr>
<th>Elements</th>
<th>Examined at audit</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1 The RTO uses a systematic and continuous improvement approach to the management of operations.</td>
<td></td>
</tr>
<tr>
<td>3.2 The RTO monitors training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the AQTF 2007 Essential Standards for Registration.</td>
<td>☒</td>
</tr>
<tr>
<td>3.3 The RTO manages records to ensure their accuracy and integrity.</td>
<td></td>
</tr>
</tbody>
</table>

Audit findings
At time of audit: ☒ Compliant

Following rectification received [06/11/09]: ☒ Compliant

Findings:
The organisation has comprehensive systems in place to monitor training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the AQTF 2007 Essential Standards for Registration.

Partnering arrangements are documented via 'Partner Prospectus SMF 06' this document details the responsibilities for each party regarding the requirements of the 'AQTF 2007 Essential Standards for Registration'.

The training and assessment services provided on its behalf are monitored via the organisation's process 'TO Contract Audit SMF 05' which is conducted annually. This process documents compliance to AQTF requirements within the following:
- Contract requirements
- Management
- Documentation
- Insurance.

Furthermore this process will be supported via the outcomes of the 'Trainer/Assessor Authorisation & Review SMF 07' process which is to be conducted at least annually. This process also refers to the ongoing reviews provided via the 'Assessment mini audit' process which is to be conducted several times throughout the year based on risk.

Non-compliances:
PARTNERING ARRANGEMENTS
Insufficient evidence was provided to demonstrate partnering organisations will be required to use Training Professionals' approved training and assessment materials for delivery of the units applied for.

It is noted that prior to the conclusion of the audit, the organisation updated the ‘Partner Prospectus SMF 06’ to stipulate that partnering organisations will be required to use Training Professionals’ approved training and assessment materials.

Strengths
- Nil identified.

Opportunities for Improvement
- Nil identified.