

Queensland Department of Education and Training  
**AQTF Audit Report**  
**Training Professionals Pty Ltd – NTIS# 31955**

Training and International Quality  
 FM-PMA-34a  
 Version 11 – 9 October 2009

RTO DETAILS				
NTIS number	31955	Registration expiry	08/06/2014	
Principal Address	4a 85 Joseph Banks Ave, FOREST LAKE			
Audit venue	24 Tenterfield Place, FOREST LAKE, QLD 4078			
RTO contact	Stephen Harding	Phone number	0407779843	
Operations	<ul style="list-style-type: none"> <li>The RTO's core clients are medium earth moving companies whose staff require licences for prescribed occupations</li> <li>Delivery is face to face one on one               <ul style="list-style-type: none"> <li>theory classes are conducted at client premises or hired venues</li> <li>practical classes are conducted at clients premises</li> </ul> </li> <li>The organisation has partnering arrangements with: Driver Training Education Kingaroy; Steve Walters and Jarra Creek Marketing Pty Ltd; and Robert Kerridge.</li> </ul>			
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 <input type="checkbox"/> Significant non-compliance <input type="checkbox"/> Minor non-compliance <input checked="" type="checkbox"/> Critical non-compliance* <input type="checkbox"/> <small>[*Critical non-compliance cannot be determined if no delivery has occurred]</small>			
Rectification received	18/01/2010			
Audit outcome following rectification	Compliant <input checked="" type="checkbox"/> Significant non-compliance <input type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>			
Other audit notes	<ul style="list-style-type: none"> <li>During the audit the organisation stated that it may consider withdrawing its application for the unit OHSCER218A <i>Perform dogging operations</i> – the auditor advised the organisation will need to complete an RTO2 form.</li> </ul>			
FOCUS OF AUDITs				
Code	Qualification/Course/Unit title	Regulated outcome	Delivery venues (list specific sites)	Govt funding (eg UC, PPP)
30496QLD	Course in Operating Loadshifting Equipment [Partial Delivery]	<input checked="" type="checkbox"/>		
30497QLD	Course in Operating Cranes, Rigging and Scaffolding Equipment [Partial Delivery]	<input checked="" type="checkbox"/>		
CPC10108	Certificate I in Construction [Partial Delivery]	<input checked="" type="checkbox"/>		
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	
Elements	Examined at audit
1.1 The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.	<input 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 are conducted by trainers and assessors who: <ul style="list-style-type: none"> <li>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors</li> <li>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</li> <li>c) continue developing their vocational and training and assessment competencies to support continuous improvements in delivery of the RTO's services.</li> </ul>	<input checked="" type="checkbox"/>
1.5 Assessment, including Recognition of Prior Learning (RPL): <ul style="list-style-type: none"> <li>a) meets the requirements of the relevant Training Package or accredited course</li> <li>b) is conducted in accordance with the principles of assessment and the rules of evidence</li> <li>c) meets workplace and, where relevant, regulatory requirements.</li> </ul>	<input checked="" type="checkbox"/>

Audit findings	
<b>At time of audit:</b> <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant	<b>Following rectification received [18/01/10]:</b> <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
<p>Technical advice has been incorporated into the findings for this standard for the following qualifications:</p> <ul style="list-style-type: none"> <li>• 30496QLD Course in Operating Loadshifting Equipment [Partial Delivery]</li> <li>• 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment [Partial Delivery]</li> <li>• CPC10108 Certificate I in Construction [Partial Delivery]</li> </ul> <p><b>Findings:</b>            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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p>	

**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**

Elements	Examined at audit
2.1 The RTO continuously improves client services by collecting, analysing and acting on relevant data.	<input type="checkbox"/>
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.	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>
2.4 Learners receive training, assessment and support services that meet their individual needs.	<input type="checkbox"/>
2.5 Learners have timely access to current and accurate records of their participation and progress.	<input type="checkbox"/>
2.6 Complaints and appeals are addressed efficiently and effectively.	<input type="checkbox"/>

#### **Audit findings**

At time of audit:

- ☐ Compliant  
☒ Not Compliant

Following rectification received [06/11/09]:

- ☒ 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



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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**

Elements	Examined at audit
3.1 The RTO uses a systematic and continuous improvement approach to the management of operations.	<input type="checkbox"/>
3.2 The RTO monitors training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the <i>AQTF 2007 Essential Standards for Registration</i> .	<input checked="" type="checkbox"/>
3.3 The RTO manages records to ensure their accuracy and integrity.	<input type="checkbox"/>

**Audit findings**

**At time of audit:**

- ☐ Compliant  
☒ Not Compliant

**Following rectification received [06/11/09]:**

- ☒ Compliant  
☐ Not 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.