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The RTO must have its accounts certified by a qualified accountant to Australian Accounting Standards, at least annually, and provide the certificate of accounts to its registering body on request. If the registering body reasonably deems it necessary, the chief executive must provide to the registering body, a full audit report of the RTO's financial accounts from a qualified and independent accountant.			✓		
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CONDITION 6 – CERTIFICATION AND ISSUING OF QUALIFICATIONS AND STATEMENTS OF ATTAINMENT

The RTO must issue to persons 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 meets the Australian Qualifications Framework (AQF) requirements, identifies the RTO by its national provider number from the National Training Information Service and includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use.			✓		
The RTO must retain client records of attainment of units of competence and qualifications for a period of 30 years.			✓		

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.			✓		
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CONDITION 8 – ACCURACY AND INTEGRITY OF MARKETING

The RTO must ensure its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration and the NRT logo is used in accordance with its conditions of use. The RTO must only use references or endorsements about their services or products in its marketing and advertising from a person or organisation in accordance with permission given by that person or organisation.			✓		
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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The RTO must manage the transition from superseded Training Packages within 12 months of their publication on the National Training Information Service and also manage the transition from superseded accredited courses so that it delivers only currently endorsed Training Packages or currently accredited courses.			✓		
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CONDITIONS OF REGISTRATION						
CONDITIONS OF REGISTRATION	RESULTS				EVIDENCE	CORRECTIVE ACTION TO BE TAKEN
	Yes	No	Not audited	Not applicable		
CONDITION 1 – GOVERNANCE						
The RTO's chief executive must ensure that the RTO complies with the Essential Standards for Registration and any national guidelines approved by the National Quality Council across all of its operations within its scope of registration listed on the National Training Information Service.			✓			
CONDITION 2 – INTERACTIONS WITH THE REGISTERING BODY						
The RTO's chief executive must ensure that the RTO cooperates with its registering body in the conduct of audits and the monitoring of its operations, the provision of accurate and timely data relevant to measures of its performance and information about significant changes to its operations and in the retention, archiving, retrieval and transfer of records consistent with its registering body requirements.			✓			
CONDITION 3 – COMPLIANCE WITH LEGISLATION						
The RTO must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to the RTO's operations and its scope of registration and ensure that its staff and clients are fully informed of these requirements where they affect their duties or participation in vocational education and training.			✓			
CONDITION 4 – INSURANCE						
The RTO must hold insurance for public liability throughout its registration period.			✓			
CONDITION 5 – FINANCIAL MANAGEMENT						
The RTO must protect fees paid in advance and have a fair and reasonable refund policy.					Organisation has a refund policy. Fees paid in advance will be recorded in accounting system as liability until training completed.	

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The organisation provided an amended records management procedure detailing how the organisation will comply with the DET Retention of Student Results and Assessment Records Policy.

Standard 3 - Strengths

- Nil identified.

Standard 3 - Opportunities for Improvement

- The organisation has developed a template for a partnership agreement. It is recommended that the organisation reviews this agreement against the DET resource for partnership arrangements available from the DET website.

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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.

Intent: The management system ensures that the RTO meets the AQTF 2007 Essential Standards for Registration and any legislation and regulations under which it is registered.

At time of audit:

- ☒ Compliant
☐ Not Compliant
☐ Not Audited

The organisation ensures that:

Y N

- ☒ ☐ there is relevant and sufficient documentation of management systems for the scope and scale of its operations
☒ ☐ staff know and meet their responsibilities for implementing the system
☒ ☐ the system is systematically monitored and improved.

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.

Intent: Services delivered under partnership arrangements comply with the AQTF 2007 Essential Standards for Registration.

At time of audit:

- ☐ Compliant
☐ Not Compliant
☐ Not Audited
☒ Not Applicable

The organisation:

Y N

- ☐ ☐ manages training and assessment provided on its behalf by documenting or recording agreements that cover the responsibilities of both parties
☐ ☐ monitors the implementation of these agreements
☐ ☐ makes improvements where required.

3.3: The RTO manages records to ensure their accuracy and integrity.

Intent: Records maintained by the RTO support the continuous improvement of its operations and provide evidence of compliance with the AQTF 2007 Essential Standards for Registration.

At time of audit:

- ☐ Compliant
☒ Not Compliant
☐ Not Audited

Y N

- ☒ ☐ The organisation uses a systematic approach that ensures it maintains all records relevant to its operations as an RTO, including the continuous improvement of its operations.
☐ ☒ The organisation complies with DETA's Retention of Student Results and Assessment Records Policy for RTOs.
☒ ☐ Qualifications and statements of attainment comply with the requirements of the AQF Implementation Handbook and the relevant training package or accredited course.

Following rectification:

- ☒ Compliant
☐ Not Compliant

Non-compliances:

The organisation provided evidence of an Information Storage & Retention Procedure however, there was insufficient detail demonstrating compliance with the DET Retention of Student Results and Assessment Records Policy.

Rectification required:

The organisation is required to demonstrate how it will comply with the DET Retention of Student Results and Assessment Records Policy.

Analysis of rectification evidence received 30 April 2009:

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- ☒ ☐ systematically manages learners' records
☒ ☐ ensures that staff understand and meet their responsibilities for record-keeping and records management
☐ ☒ informs learners on how to access their records.

Following rectification:

- ☒ Compliant
☐ Not Compliant

Non-compliances:

Students were not informed on how they can access their records.

Rectification required:

The organisation is to provide evidence of how it will inform students on how they can access their records.

Analysis of rectification evidence received 30 April 2009:

The organisation provided an amended Privacy Policy which details how students can access to their records. Furthermore, the policy is available from the organisation's website.

2.6: Complaints and appeals are addressed efficiently and effectively.

Intent: Complaints and appeals are managed fairly, efficiently and effectively.

The organisation:

Y N

- ☒ ☐ develops and implements a process for handling complaints and appeals
☐ ☒ ensures that clients and staff know about and follow the system
☒ ☐ takes corrective action to deal with the identified cause of complaints.

At time of audit:

- ☐ Compliant
☒ Not Compliant
☐ Not Audited

Following rectification:

- ☒ Compliant
☐ Not Compliant

Non-compliances:

The organisation provided evidence of a dispute resolution procedure. The procedure incorporates processes for handling complaints and appeals. However, there is no information in the procedure to inform students of a timeframe in which an appeal against an assessment decision is to be made.

Rectification required:

The organisation is required to provide evidence of how it will inform students on the timeframes for appealing an assessment decision.

Analysis of rectification evidence received 30 April 2009:

The organisation provided an amended disputes resolution procedure detailing timeframes for the submission of an appeal against an assessment decision.

Standard 2 - Strengths

- Nil identified.

Standard 2 - Opportunities for Improvement

- The organisation should review how the quality indicators will fit in with its continuous improvement process.

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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.	
Intent:	<i>Clients are provided with accurate and sufficient information to make an informed choice about their enrolment and/or contractual agreement.</i>	At time of audit: <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant <input type="checkbox"/> Not Audited
The organisation: Y N <input type="checkbox"/> <input checked="" type="checkbox"/> provides appropriate information to prospective clients and learners <input type="checkbox"/> <input checked="" type="checkbox"/> ensures the information is accurate, current and not misleading <input type="checkbox"/> <input checked="" type="checkbox"/> provides the information systematically.		
		Following rectification: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
Non-compliances: Whilst the organisation has developed a website from which prospective students can access course information, the information did not include details relating to the complaints/appeals process, fee refund policy etc therefore, students are not sufficiently informed to make a choice about their enrolment.		
Rectification required: The organisation is to provide evidence demonstrating of how it will provide appropriate information to prospective clients and learners to make an informed choice about their enrolment.		
Analysis of rectification evidence received 30 April 2009: The organisation amended its website to include additional information such as complaints/appeals, fee refunds etc.		

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.	
Intent:	<i>Learners, including apprentices and trainees, receive support from all parties engaged in their training and assessment.</i>	At time of audit: <input type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant <input type="checkbox"/> Not Audited <input checked="" type="checkbox"/> Not Applicable
The organisation: Y N <input type="checkbox"/> <input type="checkbox"/> involves workplace personnel in planning relevant workplace programs <input type="checkbox"/> <input type="checkbox"/> ensures that the training and assessment program makes full use of opportunities at the workplace <input type="checkbox"/> <input type="checkbox"/> monitors each learner's progress and the support provided to them by the workplace.		

2.4:	Learners receive training, assessment and support services that meet their individual needs.	
Intent:	<i>Learners have every reasonable opportunity to complete their training program.</i>	At time of audit: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant <input type="checkbox"/> Not Audited
The organisation ensures that: Y N <input checked="" type="checkbox"/> <input type="checkbox"/> individual learners' needs are systematically assessed <input checked="" type="checkbox"/> <input type="checkbox"/> learners know how to access the services they will require to complete their training and assessment program.		

2.5:	Learners have timely access to current and accurate records of their participation and progress.	
Intent:	<i>Learners have access to their records.</i>	At time of audit: <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant <input type="checkbox"/> Not Audited
The organisation: Y N		

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The organisation has:

Y N

- ☐ ☒ developed suitable benchmarking information for all assessment tools
- ☒ ☐ provided information to students about the context and purpose of assessment
- ☒ ☐ developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes.

- ☒ Student files were not examined, as no delivery has occurred.

Non-compliances:

HLTFA301B Apply first aid

HLTCPR201A Perform CPR

The practical assessments for CPR components consisted of a checklist of the performance criteria and did not provide sufficient detail as to what the learner was required to demonstrate.

Rectification required:

HLTFA301B Apply first aid

HLTCPR201A Perform CPR

The organisation is required to provide evidence of practical assessments for the CPR components which provide sufficient detail of what the learners are required to demonstrate.

Analysis of rectification evidence received 30 April 2009:

HLTFA301B Apply first aid

HLTCPR201A Perform CPR

The organisation provided an amended practical observation checklist which details the observable behaviours for all CPR components.

Standard 1 - Strengths

- Nil identified.

Standard 1 - Opportunities for Improvement

- The organisation should review how the quality indicators will fit in with its continuous improvement process.

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.

Intent: Client services meet clients' needs and are continuously improved in accordance with data collected about their effectiveness.

At time of audit:

- ☒ Compliant
☐ Not Compliant
☐ Not Audited

The organisation:

Y N

- ☒ ☐ establishes what client needs are
- ☒ ☐ collects data about whether these needs are being met
- ☒ ☐ systematically improves services in response to this data.

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outcomes.

- ☒ Student files were not examined, as no delivery has occurred.

MNM40105 Certificate IV in Metalliferous Mining Operations (Open Cut)*MNMG325A Apply risk management processes*

Assessment tools consist of:

- workplace activities (portfolio)
- theory questions (open book)
- case study.

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- | | | |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address performance criteria |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> sufficiently address critical aspects of evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address required knowledge |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address required skill |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- | | | |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |

- ☒ Student files were not examined, as no delivery has occurred.

HLT21107 Certificate II in Emergency Medical Service First Response*HLTFA301B Apply first aid**HLTCPR201A Perform CPR*

Assessment tools consist of:

- written theory assessment
- practical observation
- assessment tools developed by CSHA Pty Ltd.

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- | | | |
|-------------------------------------|-------------------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address performance criteria |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> sufficiently address critical aspects of evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address required knowledge |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address required skill |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | assessment methods align to the training and assessment strategy. |

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- assessment materials are developed by Skills DMC.

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- | | | | |
|-------------------------------------|--------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | sufficiently address performance criteria |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | sufficiently address critical aspects of evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | sufficiently address required knowledge |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | sufficiently address required skill |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | sufficiently address context and consistency of assessment requirements |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | provide for valid, reliable, flexible and fair assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | include workplace requirements as suggested in the range of variables |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- | | | |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |
- ☒ Student files were not examined, as no delivery has occurred.

MNM20306 Certificate II in Metalliferous Mining Operations (Open Cut)*MNMOLH307A Conduct dozer operations*

Assessment tools consist of:

- assessment plan
- mapping document
- practical assessment
- supporting evidence assessment tool
- theory assessment tool
- benchmark criteria
- assessment materials are developed by Skills DMC.

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- | | | | |
|-------------------------------------|--------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | sufficiently address performance criteria |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | sufficiently address critical aspects of evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | sufficiently address required knowledge |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | sufficiently address required skill |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | sufficiently address context and consistency of assessment requirements |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | provide for valid, reliable, flexible and fair assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | include workplace requirements as suggested in the range of variables |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- | | | |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment |

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- | | | |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | assessment methods align to the training and assessment strategy. |

The organisation has:

- | | | |
|-------------------------------------|--------------------------|--|
| Y | N | |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |
| <input checked="" type="checkbox"/> | | Student files were not examined, as no delivery has occurred. |

MNC40104 Certificate IV in Surface Coal Mining (Open Cut Examiner)*MNCG1002B Implement and apply the risk management process*

Assessment tools consist of:

- workplace activities (portfolio)
- theory questions (open book)
- case study.

For this unit, the organisation's assessment materials sufficiently address:

- | | | | |
|-------------------------------------|--------------------------|--------------------------|--|
| Y | N | N/A | |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | sufficiently address performance criteria |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | sufficiently address critical aspects of evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | sufficiently address required knowledge |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | sufficiently address required skill |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | sufficiently address context and consistency of assessment requirements |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | provide for valid, reliable, flexible and fair assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | include workplace requirements as suggested in the range of variables |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | | assessment methods align to the training and assessment strategy. |

The organisation has:

- | | | |
|-------------------------------------|--------------------------|--|
| Y | N | |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |
| <input checked="" type="checkbox"/> | | Student files were not examined, as no delivery has occurred. |

MNCO1014A Conduct haul truck operations

Assessment tools consist of:

- assessment plan
- mapping document
- practical assessment
- supporting evidence assessment tool
- theory assessment tool
- benchmark criteria

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Assessment tools consist of:

- assessment plan
- mapping document
- practical assessment
- supporting evidence assessment tool
- theory assessment tool
- benchmark criteria
- assessment materials are developed by Skills DMC.

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- | | | |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address performance criteria |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> sufficiently address critical aspects of evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address required knowledge |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address required skill |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- | | | |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |

☒ Student files were not examined, as no delivery has occurred.**MNCO1015A Conduct bulk water truck operations**

Assessment tools consist of:

- assessment plan
- mapping document
- practical assessment
- supporting evidence assessment tool
- theory assessment tool
- benchmark criteria
- assessment materials are developed by Skills DMC.

For this unit, the organisation's assessment materials sufficiently address:

Y N N/A

- | | | |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address performance criteria |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> sufficiently address critical aspects of evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address required knowledge |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address required skill |

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- 30596QLD Course in Workplace Health and Safety Officer
- BSB51604 Diploma of Occupational Health and Safety 8-2-06
- SCS00102A Work safely in confined spaces 7-2-06
- Various plant operator tickets.

Relevant vocational experience

- 2002 – 2005 Thiess and Anglo Coal – (Plant Operator)
- 6/2005 – 11/2005 Roche Mining International (Heavy Machinery Trainer)
- 11/2005 – 7/2006 Foxleigh Mining (Project Health, Safety and Environment Coordinator)
- 7/2006 – 4/2007 Capcoal (Anglo Coal) (Surface Training Officer)
- 4/2007 – present Transfield Services (Health, Safety and Environment Coordinator).

Relevant professional development

- currently working within the industry
- training and assessment professional development to be arranged by organisation when RTO application is finalised.

1.5: Assessment:

- meet the requirements of the relevant training package or accredited course
- is conducted in accordance with the principles of assessment and the rules of evidence
- meets workplace and, where relevant, regulatory requirements.

Intent: Assessment ensures that only learners who hold the requisite skills and knowledge are certified as competent.

At time of audit:

- ☐ Compliant
☒ Not Compliant

☒ Refer to technical adviser report for details relating to 30215QLD.

Following rectification:

- ☒ Compliant
☐ Not Compliant

39253QLD Course in Low Voltage Electrical Work Rescue

Assessment tools consist of:

- practical assessment
- written theory assessment.

For this unit, the organisation's assessment materials:

Y N N/A

- | | | |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address performance criteria |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address critical aspects of evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address required knowledge |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address required skill |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | sufficiently address context and consistency of assessment requirements |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provide for valid, reliable, flexible and fair assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provide for judgement to be made on basis of sufficient, valid, authentic and current evidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | include workplace requirements as suggested in the range of variables |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | assessment methods align to the training and assessment strategy. |

The organisation has:

Y N

- | | | |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed suitable benchmarking information for all assessment tools |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | provided information to students about the context and purpose of assessment |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | developed and, where appropriate, implemented mechanisms to provide feedback to learners on assessment outcomes. |

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- 1989 – 1991 QEC Electrical Trades Assistant
- 1991 – 1995 Panther Computers
- 1995 – 1998 Cook's Construction (Mining Plant Operator)
- 1998 – 2000 JLC Electronics
- 2000 – 2003 Western Computer Wholesalers
- 2003 – 2009 New Horizons Safety and Training Services (Trainer/Assessor Mining Industry).

Relevant professional development

- maintains currency in mining industry through New Horizons Safety and Training Services
- upgraded to TAA40104 Feb 2009.

Stephen FraserHLT21107 Certificate II in Emergency Medical Service First Response *partial delivery*

- ☐ TAA40104 Certificate IV in Training and Assessment or equivalent competencies
- ☒ BSZ40198 Certificate IV in Assessment and Workplace Training or equivalent competencies
- ☐ Trainer does not hold training and/or assessment competencies, but acts within suitable partnership or supervision arrangements.

Relevant vocational qualifications

- HLTF301B Apply First Aid 2-3-08
- HLTCP201A Perform CPR 2-3-08 –(recently upgraded with SES)
- HLTF201A Provide Basic Emergency Life Support.

Relevant vocational experience

- Member of SES since 11/07.

Relevant professional development

- ongoing practice of first aid in training exercises with SES
- upgrade to TAA40104 scheduled for 2009.

Jason Hartwell

MNC20107 Certificate II in Surface Coal Operations

MNC40104 Certificate IV in Surface Coal Mining (Open Cut Examiner)

MNM20306 Certificate II in Metalliferous Mining Operations (Open Cut)

MNM40105 Certificate IV in Metalliferous Mining Operations (Open Cut)

- ☒ TAA40104 Certificate IV in Training and Assessment or equivalent competencies
- ☐ BSZ40198 Certificate IV in Assessment and Workplace Training or equivalent competencies
- ☐ Trainer does not hold training and/or assessment competencies, but acts within suitable partnership or supervision arrangements.

Relevant vocational qualifications

- MNC20104 Certificate II in Surface Coal Operations 2-2-06
- MNC30104 Certificate III in Surface Coal Operations 2-2-06
- MNC30204 Certificate III in Coal Preparation 2-2-06
- MNM30105 Certificate III in Metalliferous Mining Operations (Open Cut) 13-4-07
- MNC40104 Certificate IV in Surface Coal Mining (Open Cut Examination) 9-2-07
- 39065QLD Course in Site Safety and Health Representative 31-8-04

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- ☒ ☐ The organisation has access to suitable human resources (refer to element 1.4)
☒ ☐ The organisation has access to suitable assessment materials (refer to element 1.5).

1.4: Training and assessment are conducted by trainers and assessors who:

- have the necessary training and assessment competencies as determined by the National Quality Council or its successors
- have the relevant vocational competencies at least to the level being delivered or assessed, and continue developing their vocational and training and assessment competencies to support continuous improvements in the delivery of the RTO's services.

Intent: All trainers and assessors of nationally recognised training meet national benchmark competency requirements and continue to develop their competence.

At time of audit:

- ☒ Compliant
☐ Not Compliant

☒ Refer to technical adviser report for details relating to 30215QLD.

The organisation verifies that trainers and assessors:

Y N

- ☒ ☐ meet national benchmark competency requirements (as detailed below)
☒ ☐ continue to develop their competency by:
- supporting them in meaningful engagement with industry and relevant professional bodies
 - supporting their professional development in teaching and learning methods
 - fostering a culture of critical evaluation and innovation.

Stephen Harding

39253QLD Course in Low Voltage Electrical Work Rescue

MNC20107 Certificate II in Surface Coal Operations

MNC40104 Certificate IV in Surface Coal Mining (Open Cut Examiner)

MNM20306 Certificate II in Metalliferous Mining Operations (Open Cut)

MNM40105 Certificate IV in Metalliferous Mining Operations (Open Cut)

- ☒ TAA40104 Certificate IV in Training and Assessment or equivalent competencies
☐ BSZ40198 Certificate IV in Assessment and Workplace Training or equivalent competencies
☐ Trainer does not hold training and/or assessment competencies, but acts within suitable partnership or supervision arrangements.

Relevant vocational qualifications

- 30254QLD Course in Generic Induction to Coal Mining (Surface) 3-8-06
- Workplace Health and Safety Officer – valid to 31-5-2011
- 30215QLD Course in General Safety Induction (Construction Industry) 26-1-05
- 30711QLD Course in Generic Induction to Metalliferous Mining (Core) 1-12-08
- 30643QLD Course in Generic Induction to Coal Mining (Core) 1-12-08
- 39065QLD Course in Site Safety and Health Representative 1-3-05
- MNCG1033A Conduct lifting operations (partial completion of MNC20104)
- MNCG1002A Implement and apply risk management processes (partial completion of MNC40104) 10-8-05
- Completion of 12 units from MNC30104 3-8-06 & 14-4-07
- SCS00102A Work safely in confined spaces 29-6-06
- 30236QLD Course in Safe Work At Heights (Building and Construction) 19-10-05
- Low voltage switchboard rescue and resuscitation (Statement of completion) 1-12-06.

Relevant vocational experience

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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.

Intent: The RTO improves training and assessment arrangements in accordance with data collected.

At time of audit:
☒ Compliant
☐ Not Compliant
☐ Not Audited

The organisation's continuous improvement approach:

- Y N
- ☒ ☐ ensures that trainers and assessors systematically validate and improve processes, assessment tools and evidence requirements.
- ☒ ☐ involves staff, clients and industry stakeholders (eg employers, skills councils etc)
- ☒ ☐ uses qualitative and/or quantitative data to determine the need for improvements to training and assessment.

Y N N/A

☐ ☐ ☒ Improvements to training and assessment are demonstrated.

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.

Intent: Industry engagement and support is evident in the development of all training and assessment strategies. All training and assessment strategies meet the requirements of the training package or accredited course.

At time of audit:
☒ Compliant
☐ Not Compliant

☒ Refer to technical adviser report for details relating to 30215QLD.

The organisation develops training and assessment strategies and training programs that:

- Y N
- ☒ ☐ provide sufficient information regarding delivery and assessment methods
- ☒ ☐ ensure that learners receive training and assessment that meets the needs of their identified target group
- ☒ ☐ industry engagement and support is evident
- ☒ ☐ meet all requirements of the training package qualification or accredited course, including identifying units of competency.

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 training and assessment strategies.

Intent: The resources used by the RTO across all of its operations are consistent with current industry standards.

At time of audit:
☒ Compliant
☐ Not Compliant
☐ Not Audited

☒ Refer to technical adviser report for details relating to 30215QLD.

- Y N
- ☒ ☐ The organisation has access to suitable facilities for its training and assessment activities
- ☒ ☐ The organisation has access to suitable equipment meeting the requirements of industry and the training package or accredited course.
- ☒ ☐ The organisation has access to training materials that meet the requirements of industry stakeholders and the training package or accredited course and which adequately support the learner in achieving the required level of competence

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INTERVIEWEE/S		
Stephen Harding (Director)	Stephen Fraser (Trainer/Assessor)	

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RTO DETAILS			
NTIS number	31955		
Address	85 Joseph Banks Ave, 4a, Forest Lake 4078		
Audit venue	85 Joseph Banks Ave, 4a, Forest Lake 4078		
Contact person	Mr Stephen Harding	Web site	
Phone number	0407779843	E-mail	steve@trainingprofessionals.com.au
Student numbers	Estimating a completion rate of 5000 competencies in the next year.		
AUDIT TEAM			
Lead Auditor	Ed Spink	Auditor/s	
Phone	0414399500	Adviser/s	
E-mail	ebspink1@bigpond.com	Observer/s	
AUDIT DETAILS			
Type of audit	Initial		
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 3.1, 3.2, 3.3.		
Conditions audited	Condition 5 was audited as the organisation intends to collect fees paid in advance.		
Audit date/s	30 April 2009		
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"/>		
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	The organisation's intended clients are in the mining industry. Training will be predominately face-to-face with practical skills being developed in the workplace. A number of minor non compliances were identified at audit. The organisation provided rectification evidence on the day.		

FOCUS OF AUDIT			
NTIS code	Qualification/Unit of Competence/Accredited Course	Licensed outcome	Delivery site
30215QLD	Course in General Safety Induction (Construction Industry)	Yes	Training will be conducted at premises hired by the organisation.
39253QLD	Course in Low Voltage Electrical Work Rescue	No	
HLT21107	Certificate II in Emergency Medical Service First Response - partial delivery	No	
MNC20107	Certificate II in Surface Coal Operations	No	
MNC40104	Certificate IV in Surface Coal Mining (Open Cut Examiner)	No	
MNM20306	Certificate II in Metalliferous Mining Operations (Processing)	No	
MNM40105	Certificate IV in Metalliferous Mining Operations (Open Cut)	No	