

# AQTF Audit Report

(including User Choice validation)

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FM-PMA-34c

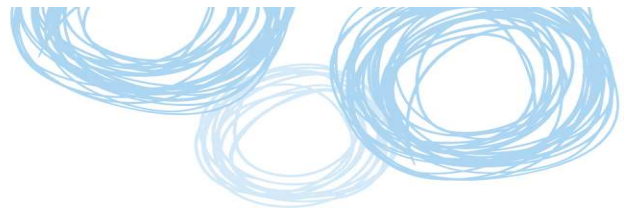
TRIM No: 09/182330

Version 4 – 12 August 2010

Training and International Quality

## Hopwood Integrated Training #7148

RTO Details			
Registration expiry	08.07.2014		
Principal Address	4/100 Park Road, Slacks Creek 4127 QLD		
RTO contact	Cathie Wood	Phone number	3806 5792
Operations	<p>The organisation has been operating as an RTO for 11 years delivering training and assessment services to the transport and logistics industry. Brisbane Transport and Transit Australia Group is the organisations main corporate client.</p> <p>Delivery is provided via blended classroom and on site practical training and assessment. The organisations clients include trainees which are approximately 95% of all enrolments; some fee for service clients and RPL is large part of its business.</p> <p>The organisation has a pre-qualified 2010/15 User Choice contract and 2010/11 User Choice (Continuing) contract totalling \$342,000.00.</p> <p>The organisation has had the following number of completions in past year:            TLI20207 Certificate II in Transport and Logistics (Road Transport): 1            TLI30107 Certificate III in Transport and Logistics (Warehousing and Storage): 7            TLI30207 Certificate III in Transport and Logistics (Road Transport): 153            TLI40107 Certificate IV in Transport and Logistics (Warehousing and Storage): 1            TLI40207 Certificate IV in Transport and Logistics (Road Transport): 1</p> <p>The organisation has the following number of current enrolments per qualification:            30496QLD Course in Operating Loadshifting Equipment: 9            BSB40507 Certificate IV in Business Administration: 11            BSB40807 Certificate IV in Frontline Management: 4            BSB51107 Diploma of Management: 12            TLI30107 Certificate III in Transport and Logistics (Warehousing and Storage): 15            TLI30207 Certificate III in Transport and Logistics (Road Transport): 610</p>		
Audit Team			
Lead Auditor	Anthony Barkey	Auditor/s	Rebecca Grant
Phone	3235 4744	Adviser/s	Rob Kalkaus - WHSQ
E-mail	<a href="mailto:Anthony.barkey@deta.qld.gov.au">Anthony.barkey@deta.qld.gov.au</a>	Observer/s	Nil
Audit details			
Reason/s for audit	Monitoring Audit		
Audit date/s	26-27.11.10	Audit number/s	714815518A
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.2, 2.3, 2.4, 3.2, 3.3, 3.4		
Conditions audited	NIL		



User Choice schedule number/s and value/s	PS100098 – 2010-15 User Choice UC104393 – 2010/11 User Choice (Continuing) \$342,000.00
User Choice clauses audited	3(h), 6(a), 7(b), 18
Audit outcome on day of audit	Compliant <input type="checkbox"/> <b>Significant non-compliance</b> <input checked="" type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>
Rectification received	
Audit outcome following rectification	Compliant <input 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>• TLI Cert IV in Transport and Logistics (Storage and Warehousing) was taken out of the audit scope on the day of the audit as it was identified that no delivery has occurred since 2008. The organisation confirmed that the completion data provided to the auditor was an error. Although issues were identified the organisation has given its guarantee that it will immediately implement a rectification action plan to ensure the currency of its resources, strategies and assessment tools.</li> </ul>

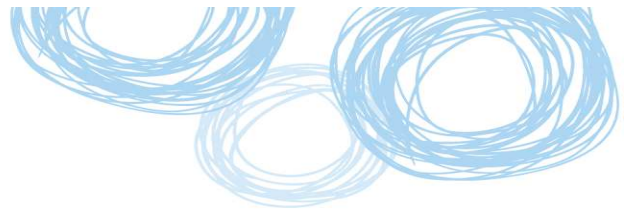
**Focus of Audit**

Code	Qualification / Course / Unit title <small>(List all qualifications in scope of audit; indicate if reviewed for UC in far column)</small>	Regulated	Delivery venues	UC reviewed
30496QLD	Course in Operating Loadshifting Equipment	<input checked="" type="checkbox"/>	QLD	<input type="checkbox"/>
BSB51107	Diploma of Management	<input type="checkbox"/>	NSW, VIC, QLD, SA, WA, TAS, NT, ACT	<input type="checkbox"/>
TLI21209	Certificate II in Driving Operations	<input type="checkbox"/>	NSW, VIC, QLD, SA, WA, TAS, NT, ACT	<input type="checkbox"/>
TLI30207	Certificate III in Transport and Logistics ( Road Transport)	<input type="checkbox"/>	NSW, VIC, QLD, SA, WA, TAS, NT	<input checked="" type="checkbox"/>
TLI31209	Certificate III in Driving Operations	<input type="checkbox"/>	NSW, VIC, QLD, SA, WA, TAS, NT, ACT	<input type="checkbox"/>

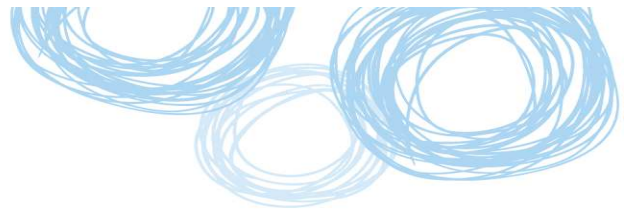
**INTERVIEWEE/S (incl. position)**

Annette Guggemos, Operations Manager
Johnelle Walters, General Manager
Kim Hicks, forklift trainer/assessor
Sharon Harris, business trainer/assessor

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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: <ol style="list-style-type: none"> <li>have the necessary training and assessment competencies as determined by the National Quality Council or its successors</li> <li>have the relevant vocational competencies at least to the level being delivered or assessed, and</li> <li>can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</li> <li>continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</li> </ol>	<input checked="" type="checkbox"/>
1.5	Assessment, including Recognition of Prior Learning (RPL): <ol style="list-style-type: none"> <li>meets the requirements of the relevant Training Package or accredited course</li> <li>is conducted in accordance with the principles of assessment and the rules of evidence</li> <li>meets workplace and, where relevant, regulatory requirements</li> <li>is systematically validated.</li> </ol>	<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:</b> <input type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
Technical advice has been incorporated into the findings for this standard for the following qualifications: <ul style="list-style-type: none"> <li>30496QLD Course in Operating Loadshifting Equipment.</li> </ul>		
<b>Findings:</b> The organisation has a good continuous improvement approach to training and assessment that is systematic and includes the capturing of reliable data from its own survey instruments and the quality indicator surveys on an ongoing basis. Data from its various data collection methods are put into spreadsheets for analysis where improvement opportunities are identified and planned actions undertaken. The organisation liaises regularly with John Gilbert from TLISC who provides advice on the organisation's validation and moderation activities which occurs every three months.  The organisation provided documented training and assessment strategies for each qualification included in the audit. The organisation provided sufficient evidence to demonstrate that its strategies are defined and informed by information collected from its core clients in the public transport industry to ensure its client's needs are met. The organisation provided evidence that its strategies are monitored and improved through effective communication.  The organisation provided sufficient evidence to support that its facilities, equipment, training and assessment materials are systematically reviewed and improvements have been made.  The organisation provided evidence to demonstrate that trainers/assessors' competencies are established, verified and continued to be monitored. Further, the trainer/assessor files viewed demonstrated that trainers/assessors' possess the required training and assessment competencies, have relevant vocational competencies at least to the level being delivered and assessed, demonstrate current industry skills directly relevant to the training and assessment being undertaken, and continue to develop their Vocational Education and Training knowledge and skills as well as their industry currency and trainer/assessor competence.		
Technical advice supports the organisation is delivering 30496QLD Course in Operating Loadshifting Equipment in accordance with regulatory requirements.		
<b>Non-compliances:</b> The training and assessment strategy provided for BSB51107 Diploma of Business listed incorrect unit of competency versions		



from the current Business Services Training Package.

The training and assessment strategies for TLI30207, TLI21209, TLI31209 and BSB51107 specified the human resources that will be used to meet the requirements of the training package qualifications; however, the strategies did not specify the physical resources that are or will be used to meet the requirements of the qualifications. Further, the strategies did not contain information on how RPL will be provided to participants.

As the organisations training and assessment strategies did not specify the physical resources required for the delivery and assessment of the qualifications audited, the auditor was unable to verify that the organisation's resources are used across all of the RTO's operations by staff and learners.

#### ASSESSMENT TOOLS

##### **BSB51107 Diploma of Management**

*BSBHRM503A Manage performance management systems*

*BSBHRM504A Manage workforce planning*

On review of the assessment tools provided for the units of competency above, it was identified that the assessment tools developed by the organisation were a copy of the assessment resources found at the back of the purchased resources (Kris Cole Management) text book. There was no evidence provided to support that the organisation had validated and verified the assessment tools to ensure that training package, qualification and unit of competency requirements had been addressed or whether the assessment tools meet workplace requirements and/or simulated workplace conditions.

The assessment tools reviewed by the auditor did not address all of the units of competency requirements such as the required knowledge, skills and critical aspects of evidence. Further, the various assessment tools were supported by limited or no evidence criteria that defined acceptable performance. The third party evaluation checklist was a re-wording of the unit's performance criteria and did not interpret the practical requirements of the units into observable behaviours or workplace tasks. The assessment tools did not contain supporting information to notify the third party on the purpose of the tool or how to use it. The organisation is reminded that it is not the role of the workplace supervisor to interpret unit of competency requirements.

Additionally, the assessment tools did not provide clear information about assessment requirements for assessors and students. Based on the review of the tools, the auditor determined that insufficient assessment evidence would have been gathered to substantiate a competency judgement and the validity of the assessment evidence may not have a direct relevance to the units' learning outcomes.

##### **TLI21209 Certificate II in Driving Operations**

*TLIB407C Carry out vehicle inspections*

*TLIC1509A License to drive medium rigid vehicle*

##### **TLI31209 Certificate III in Driving Operations**

*TLIJ207C Apply quality systems*

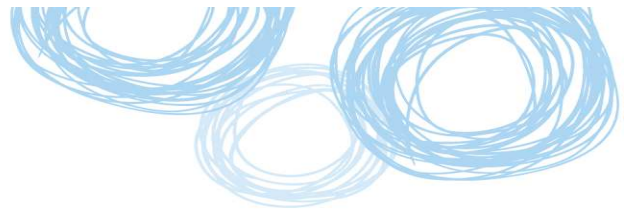
##### **TLI30207 Certificate III in Transport and Logistics (Road Transport)**

*TLIC807C Drive Bus/Coach*

*TLIB407C Carry out vehicle inspections*

There was no evidence provided to support that the organisation had validated and verified the assessment tools to ensure that training package, qualification and unit of competency requirements had been addressed or whether the assessment tools meet workplace requirements and/or simulated workplace conditions.

The assessment tools reviewed by the auditor did not address all of the required knowledge, skills and critical aspects of evidence of the units. Further, the various assessment tools were either supported by little or no evidence criteria that defined acceptable performance particularly for the written, verbal and practical assessments. The observation checklists did interpret the requirements of the units into observable behaviours in a broad sense; however, these could be more defined were



applicable.

The written assessments instructions indicates that students need a pass mark of 70%; however, this is against the principles of competency based training as a student must be deemed competent against all of the unit of competency requirements.

The organisation is systematically validating and improving its assessment process, tools and practices; however, the validation seems to be validating the performance criteria without considering all of the dimensions of competency including assessment guidelines, employability skills or key competencies, and the unit of competency specifics like the elements, performance criteria, range statements and the evidence guide.

The instructions contained in the assessment tools are a copy of the unit of competency, the organisation is reminded that it is not the responsibility of the student to interpret unit of competency requirements. These needs to be simplified to ensure that the assessor and the candidate are provided with clear information about the purpose and context of the assessment including the conditions under which assessment is to be conducted and recorded.

Based on the review of the tools, the auditor determined that insufficient assessment evidence would or may be gathered to substantiate a competency judgement, the validity of the assessment evidence may not have a direct relevance to the units' learning outcomes and competency judgements may be relying on evidence which may not demonstrate current skills and knowledge.

**Implications for training/assessment quality:**

The organisation was identified as having significant non-compliances in relation to not being able to demonstrate access to required physical resources for the purposes of training and assessment; inconsistent assessment processes and assessment tools not addressing all units of competency requirements. The combination of these issues could potentially lead to a significant adverse impact on learners in the training environment or the current workplace.

**Rectification required:**

The organisation is required to provide evidence that its training and assessment strategy for BSB51107 Diploma of Business lists the correct unit of competency versions from the Business Services Training Package.

The organisation is required to provide evidence that its training and assessment strategies for TLI30207, TLI21209, TLI31209 and BSB51107 specify the physical resources that are or will be used to meet the requirements of the qualifications and contain information on how RPL and credit transfer will be provided to participants.

The organisation is required to provide evidence of how it will ensure that the organisation's resources specified in its training and assessment strategies will be or are used across all of the RTO's operations by staff and learners for the delivery of training and assessment of the qualifications audited.

**ASSESSMENT TOOLS**

**BSB51107 Diploma of Management**

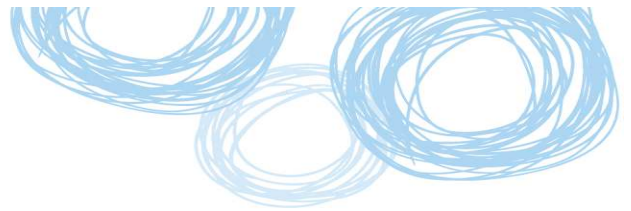
*BSBHRM503A Manage performance management systems*

*BSBHRM504A Manage workforce planning*

The organisation is required to provide evidence to demonstrate that its assessment tools address all of the above listed units of competency requirements such as the required knowledge, skills and critical aspects of evidence. Further, evidence is to be provided to demonstrate that the organisation's assessment tools are supported by sufficient evidence criteria that define acceptable performance.

In addition, the organisation is to provide a revised third party evaluation checklist that interprets the practical requirements of the units into observable behaviours or workplace tasks. Further, the assessment tool is to contain supporting information to notify the third party on the purpose of the tool or how to use it.

The organisation is required to provide evidence to demonstrate that its assessment tools contain clear instructions to ensure



that the assessor and the candidate are provided with clear information about the purpose and context of the assessment including the conditions under which assessment is to be conducted and recorded.

The organisation is required to provide evidence to demonstrate that it has validated and verified its assessment tools to ensure that training package, qualification and unit of competency requirements have been addressed, assessment meets workplace requirements and/or simulated workplace conditions and also provide for sufficient and valid assessment evidence to be gathered to substantiate competency judgements.

**TLI21209 Certificate II in Driving Operations**

*TLIB407C Carry out vehicle inspections*

*TLIC1509A License to drive medium rigid vehicle*

**TLI31209 Certificate III in Driving Operations**

*TLIJ207C Apply quality systems*

**TLI30207 Certificate III in Transport and Logistics (Road Transport)**

*TLIC807C Drive Bus/Coach*

*TLIB407C Carry out vehicle inspections*

The organisation is required to provide evidence to demonstrate that its assessment tools address all of the units of competency requirements such as the required knowledge, skills and critical aspects of evidence. Further, the various assessment tools are to be supported by evidence criteria that define acceptable performance particularly for the written, verbal and practical assessments.

Further the organisation is required to demonstrate that its written assessments comply with the principles of competency based training.

The organisation is required to provide evidence to demonstrate that its assessment tools contain clear instructions to ensure that the assessor and the candidate are provided with clear information about the purpose and context of the assessment including the conditions under which assessment is to be conducted and recorded.

The organisation is required to provide evidence to demonstrate that it has validated and verified its assessment tools to ensure that training package, qualification and unit of competency requirements have been addressed, assessment meets workplace requirements and/or simulated workplace conditions and also provide for sufficient and valid assessment evidence to be gathered to substantiate competency judgements.

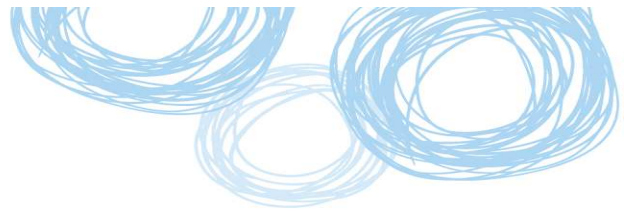
**Rectification evidence received:**

**Strengths**

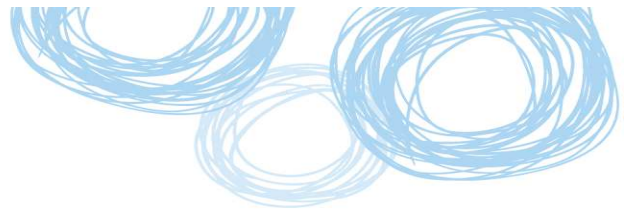
- The organisation was well prepared for the audit; the organisation completed a self assessment audit prior to the audit and identified opportunity for improvements.

**Opportunities for Improvement**

- RTO should implement a monitoring program to check assessments of competent participants have been marked in accordance with the instructions supplied with the mandated assessment instruments for 30496QLD Course in Operating Loadshifting Equipment.
- Licence Compliance Services (WHSQ) should be notified by the RTO when WHSQ approved Trainer/Assessors are no longer training or assessing the accredited course by forwarding the appropriate forms to ensure the RTO matrix held by WHSQ remains current.



<b>Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients</b>	
<b>Elements</b>	<b>Examined</b>
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 checked="" 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"/>
<b>Audit findings</b>	
<p><b>At time of audit:</b>  <input checked="" type="checkbox"/> <b>Compliant</b>  <input type="checkbox"/> <b>Not Compliant</b></p> <p><b>Findings:</b>            The organisation demonstrated that it has a good approach to the continuous improvement of its client's services. The organisation had developed various survey instruments to capture data on the services provided by the organisation and the quality of training and assessment provided. Further, the Operations Manager, regularly phones its clients to gauge the level of support given by the organisation's staff.</p> <p>The organisation provided sufficient evidence to support that it provides information to clients prior to enrolment that is clear and accurate and informs them of the training, assessment and support services to be provided, and about their rights and obligations.</p> <p>The organisation's client information for its apprentices and trainees accurately contains information regarding User Choice student contribution rates, how fees are calculated, partial or full fee exemption categories and references the refund requirements.</p> <p>The organisation demonstrated that employers and other parties who contribute to learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.</p>	
<b>Strengths</b>	
<ul style="list-style-type: none"> <li>The organisation has strong links with their client group that allows it to incorporate various workplace requirements into its training and assessment delivery and to maintain its strong relationships with those clients.</li> </ul>	
<b>Opportunities for Improvement</b>	
<ul style="list-style-type: none"> <li>Nil identified</li> </ul>	



<b>Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates</b>	
<b>Elements</b>	<b>Examined</b>
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"/>
<b>Audit findings</b>	
<b>At time of audit:</b> <input checked="" type="checkbox"/> <b>Compliant</b> <input type="checkbox"/> <b>Not Compliant</b>	
<b>Findings:</b> The organisation provided evidence to demonstrate that it has an effective continuous improvement approach to the management of the RTO to ensure it is responsive to the needs of its clients, staff and stakeholders. The organisation has an annual internal audit program to ensure it is maintaining compliance with the AQTF and funding contract requirements.  The organisation ensures that operational procedures and policies are being enforced and followed by all staff by including those in its review processes. Further the organisation conducts monthly staff meetings where operational requirements are discussed and minuted.	
<b>Strengths</b>	
<ul style="list-style-type: none"> <li>• Nil identified</li> </ul>	
<b>Opportunities for Improvement</b>	
<ul style="list-style-type: none"> <li>• Nil identified</li> </ul>	

<b>User Choice Contract</b>	
<b>Clause</b>	<b>Examined</b>
3h The supplier must comply with the User Choice fees and charges requirements set out in Appendix 3.	<input checked="" type="checkbox"/>
6a The Supplier must fully and correctly provide to the Department the reports set out in Item 1 of Appendix 5 in accordance with the timeframes set out in Item 2 of Appendix 5.	<input checked="" type="checkbox"/>
7b Unless otherwise specified or approved in writing by the Department, the Department will not pay, without limitation, the Supplier for the provision of the Services set out in Item 5 of Appendix 6.	<input checked="" type="checkbox"/>
18 The Supplier must collect and retain documents, records and information in accordance with Item 3 of Appendix 2.	<input checked="" type="checkbox"/>
<b>Audit findings</b>	
<b>At time of audit:</b> <input checked="" type="checkbox"/> <b>Compliant</b> <input type="checkbox"/> <b>Not Compliant</b>	
<b>Findings:</b> The organisation was identified has complaint with the requirements of the User Choice Continuing Student Contract.  The organisation has calculated and charged student contribution fees at the correct rates based on the number of nominal hours. Evidence was identified on students files that appropriate refunds are give to those who have withdrawn from their traineeships.  On review of the student files, evidence supports the accurate reporting of its AVETMISS data and records retention to support the outcome judgements made by its trainers/assessors. Further, evidence also demonstrated that the organisation had a process in place to capture the employer's verification regarding the on-the-job component and that the on-the-job component had been achieved for each unit of competency prior to the submission of claims for payment.	
<b>Opportunities for improvement</b>	
<ul style="list-style-type: none"> <li>• Nil identified</li> </ul>	