

# AQTF Audit Report – Continuing Registration

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## Occupational Skills Centre Australia Pty Ltd as trustee for the McCorkle Family Trust t/a Occupational Skills Centre Australia Pty Ltd - 32299

 FM-PMA-34A  
 TRIM No: 09/182321  
 Version 11 – 2 November 2010  
 Training and International Quality

Organisation details			
Registration expiry	29/08/2015		
Principal address	16 Goondoon Street, Gladstone.		
RTO contact	Mrs Veronica Jane McCorkle	Phone number	07 4972 0403
Operations	<p>The organisation's primary business is to provide consultancy services to mining organisations. The organisation provides fee for service training to meet the needs of its corporate client, BMA (Moranbah). The organisation also provides training for clients of Jobs Queensland, a not for profit organisation accessing PPP funding to support residents of local communities in Rockhampton and Mackay. The organisation delivers all its training face to face at client's premises except for <i>CPCCOHS1001A Work safely in the construction industry</i>. The organisation is currently transitioning all its resources for <i>CPCCOHS1001A Work safely in the construction industry</i> on-line. The organisation offers RPL services however no students to date have engaged this method of assessment.</p> <p>The organisation was unable to provide approximate number of completions at qualification level. (See non-compliance in Standard 3.)</p> <p>The organisation's representative advised that there are no current enrolments in any of the qualifications included in the scope of the audit.</p>		
Audit team			
Lead auditor	Ms Kavita Dayal	Auditor/s	Ms Louise Vause Ms Emma Betts (review of clarification evidence)
Phone	07 3237 1922	Adviser/s	Mr Gary Thompson, WHSQ
E-mail	<a href="mailto:Kavita.Dayal@deta.qld.gov.au">Kavita.Dayal@deta.qld.gov.au</a>	Observer/s	Nil.
Audit details			
Reason/s for audit	Post-initial and extension to scope		
Audit date/s	22 and 23 June 2011	Audit number/s	3229917658A and 32299-3A
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.1, 2.2, 2.3, 2.6, 3.2, 3.3 and 3.4.		
Conditions audited	Nil.		
Audit outcome on day of audit	Compliant <input type="checkbox"/> Minor non-compliance <input type="checkbox"/>		Significant non-compliance <input checked="" type="checkbox"/> Critical non-compliance <input type="checkbox"/>
Rectification received	18 August 2011 and 27 February 2012		
Audit outcome following rectification	Compliant <input checked="" type="checkbox"/> Minor non-compliance <input type="checkbox"/>		Significant non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>
Other audit notes	<ul style="list-style-type: none"> <li>The organisation is owned by two partners: Mr Gavin Dicoski and Mr Rohan Dass (silent partner). The organisation's current CEO is Mrs Veronica McCorkle; however, Mr John McCorkle (current Day to Day Contact and Registration Officer) has submitted paperwork to formally advise the Department of his new position as the CEO of the company.</li> </ul>		

	<ul style="list-style-type: none"> <li>• Elements 2.6 and 3.4 were added to the scope of the audit as evidence provided during the audit indicated potential non-compliance in these areas.</li> <li>• At the conclusion of the site audit, the organisation submitted a formal request to the Department to withdraw the following units of competency and qualification from its scope of registration:             <ul style="list-style-type: none"> <li>• MSA20107 Certificate II in Process Manufacturing [partial delivery]               <ul style="list-style-type: none"> <li>○ MSAPMPER200B Work in accordance with an issued permit</li> </ul> </li> <li>• MSA30107 Certificate III in Process Manufacturing [partial delivery]               <ul style="list-style-type: none"> <li>○ MSAPMPER201A Monitor and control work permits</li> </ul> </li> <li>• RII30409 Certificate III in Resource Processing [partial delivery].</li> </ul> <p>Further, the organisation requested to withdraw its extension to scope application for TAE40110 Certificate IV in Training and Assessment.</p> <p>As such, no rectification will be required in relation to these units of competency/qualifications.</p> </li> <li>• The organisation provided rectification evidence on 18 August 2011. The evidence was analysed in December 2011.</li> <li>• Additional clarification was requested from the organisation on 22 February 2012, with the information to be provided by 27 February 2012. The information was duly provided.</li> <li>• With the clarification information, the organisation submitted an RTO2 form to withdraw the following courses from its scope of registration:             <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> </ul> </li> </ul>
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**Focus of audit**

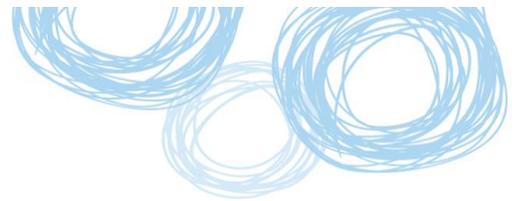
Code	Qualification / Course / Unit title	Regulated	Delivery venues
30496QLD	Course in Operating Loadshifting Equipment [partial delivery]	<input checked="" type="checkbox"/>	Gladstone
30497QLD	Course in Operating Cranes, Rigging and Scaffolding Equipment [partial delivery]	<input checked="" type="checkbox"/>	Gladstone
CPC10108	Certificate I in Construction [partial delivery]	<input checked="" type="checkbox"/>	Gladstone
MSA20107	Certificate II in Process Manufacturing [partial delivery]	<input type="checkbox"/>	Gladstone
MSA30107	Certificate III in Process Manufacturing [partial delivery]	<input type="checkbox"/>	Gladstone
RII20509	Certificate II in Resource Processing	<input type="checkbox"/>	Gladstone
RII20709	Certificate II in Civil Construction	<input type="checkbox"/>	Gladstone
RII30409	Certificate III in Resource Processing [partial delivery]	<input type="checkbox"/>	Gladstone
RII30909	Certificate III in Civil Construction	<input type="checkbox"/>	Gladstone
TAE40110	Certificate IV in Training and Assessment	<input type="checkbox"/>	Gladstone

**Interviewee/s (incl. position)**

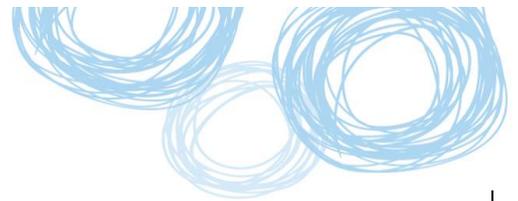
Mr John McCorkle, Manager/ Trainer and Assessor and Gavin Dicoski, Managing Director/ Trainer and Assessor.

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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.	☒	
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.	☒	
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.	☒	
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>	☒	
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>	☒	
Audit findings		
<b>At time of audit:</b> <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant	<b>Following rectification received 18/08/2011:</b> <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant	<b>Following clarification received 27/02/2012:</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> </ul>		
<p><b>Findings:</b>  <u>Facilities, equipment and training materials</u>  <u>Assessment</u>  <b>CPC10108 Certificate I in Construction</b> [partial delivery]  <b>CPCCOHS1001A Work safely in the construction industry</b></p> <p>The organisation provided self developed on-line resources which complied with the CPC08 Construction, Plumbing and Services Integrated Framework. As the program is targeted to school leavers, the training notes and assessment are compartmentalised into five key topic areas for easy use.</p>		
<p><b>Non-compliances:</b>  <u>Continuous improvement of training and assessment</u></p> <p>The organisation provided evidence of 'AQTF Learner Questionnaires' and 'AQTF Employer Questionnaires' to demonstrate it collects, analyses and acts upon relevant data for continuous improvement of training and assessment. The organisation provided evidence to demonstrate administration staff review the completed questionnaires and provide feedback to the Manager. The organisation advised data analysed to date have indicated only positive responses.</p> <p>The organisation did not provide sufficient evidence to demonstrate its continuous improvement approach is systematic as it does not implements processes to systematically validate and improve its training materials or assessment processes, tools and practices. The organisation utilises purchased resources for all its delivery and assessment except for RII09 Resources and Infrastructure Industry Training Package qualifications, which are modified National Safety resources. The organisation does not conduct reviews of the purchased resources prior to its use. It utilises the resources for a trial period and supplements the gaps with self developed resources, as required. The organisation provided evidence of its document register with relevant forms and Standards Operation Procedures which indicate ad hoc amendments made to the training and assessment resources.</p>		
<p><u>Strategies</u>  <b>30496QLD Course in Operating Loadshifting Equipment</b> [partial delivery]  <b>30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment</b> [partial delivery]</p> <p>The organisation provided documented strategies which clearly articulate the training program. The strategies are supported by hire agreements for the use of plant associated with the relevant assessment(s).</p>		



The strategies indicate they were initially developed based on data gained from effective consultation with industry/enterprise; learner and accredited course requirements. However, the organisation did not provide evidence of recent consultation with industry representatives and trainers/assessors to demonstrate strategies are monitored and improved through effective communication.

The strategies do not specify the human resources to be used to meet the requirements of the relevant accredited course.

#### **CPC10108 Certificate I in Construction** [partial delivery]

The organisation provided a documented '*Delivery and Assessment Plan*' which specified the resources, both human and physical, and described a delivery program to meet the requirements of the CPC08 Construction, Plumbing and Services Integrated Framework. The '*Delivery and Assessment Plan*' indicated the program is targeted at school leavers and learners have up to 12 months to complete the program. The organisation advised the on-line system will generate an alert regarding students who have been enrolled for over 30 thirty days and not completed the assessments.

The organisation did not provide sufficient evidence to demonstrate strategies are informed by information collected on industry requirements and learners needs through effective consultation with industry.

#### **MSA20107 Certificate II in Process Manufacturing** [partial delivery]

#### **MSA30107 Certificate III in Process Manufacturing** [partial delivery]

The organisation provided documented strategies for training and assessment which identified its client group as existing workers and indicated training will be delivered in the workplace (Moranbah mine site). The strategies indicated assessment is conducted in a clustered arrangement incorporating all the units of competency in both the qualifications.

The strategies specified the physical resources required however did not specify the human resources to be used to meet the MSA07 Manufacturing Training Package requirements. The organisation did not provide sufficient evidence to demonstrate strategies are informed by data collected on industry requirements and learners needs through effective consultation with industry. Further, the organisation did not provide sufficient evidence to demonstrate strategies are monitored and improved through effective communication.

#### **RII20509 Certificate II in Resource Processing**

The organisation provided a documented strategy for training and assessment which identified its client groups as jobseekers in the Central Queensland regions wishing to have their existing skills recognised. The delivery program however indicated workplace delivery to existing workers in Rockhampton and Gladstone. The organisation advised that industry consultation occurs through validation and moderation activities however did not provide evidence to demonstrate strategies are informed by data collected on industry requirements and learners needs through effective consultation with industry. Further, the organisation did not provide sufficient evidence to demonstrate strategies are monitored and improved through effective communication.

#### **RII20709 Certificate II in Civil Construction**

The organisation provided documented strategies for training and assessment at a unit of competency level which specified the resources, both human and physical, and described a delivery program to meet the requirements of the RII09 Resources and Infrastructure Industry Training Package.

The strategies indicate its client group as job seekers however the '*Assessment workplan*' indicates clients as '*those working in an operational role at worksites within civil construction*' in Rockhampton and Gladstone. The delivery and assessment plan for the different cohorts did not align to the strategies. The organisation did not provide sufficient evidence to demonstrate strategies are informed by data collected on industry requirements and learners needs through effective consultation with industry. Further, the organisation did not provide sufficient evidence to demonstrate strategies are monitored and improved through effective communication.

#### **RII30409 Certificate III in Resource Processing** [partial delivery]

The organisation did not provide documented strategies for training and assessment.

#### **RII30909 Certificate III in Civil Construction**

The organisation provided documented strategies for training and assessment which indicated its client group as job seekers in



the Rockhampton and Gladstone regions. The delivery and assessment plan however indicated the mode of delivery and assessment as RPL and gap training. The organisation did not provide sufficient evidence to demonstrate strategies are informed by data collected on industry requirements and learners needs through effective consultation with industry. Further, the organisation did not provide sufficient evidence to demonstrate strategies are monitored and improved through effective communication.

#### **TAE40110 Certificate IV in Training and Assessment**

The organisation did not provide documented strategies for training and assessment.

#### Facilities, equipment and training materials

##### **30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

##### **30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment** [partial delivery]

The organisation did not provide training materials for these accredited courses. Further, the organisation did not provide sufficient evidence to demonstrate how it ensures training materials used are consistent with its own training and assessment strategies. The organisation provided evidence of its plant hire agreements but did not provide sufficient evidence to demonstrate how it ensures learners have access to safe and appropriate plant and equipment to meet the unit outcomes.

##### **MSA20107 Certificate II in Process Manufacturing** [partial delivery]

##### **MSA30107 Certificate III in Process Manufacturing** [partial delivery]

The organisation did not provide sufficient evidence to demonstrate it systematically reviews the currency, sufficiency and effectiveness of the facilities, equipment and training materials.

The organisation's strategies indicated the physical resources will be provided by the workplace. The organisation did not provide sufficient evidence to demonstrate how it ensures the workplace has access to appropriate resources for the training and assessment of this qualification.

The organisation did not provide training materials for these qualifications.

#### **RII20509 Certificate II in Resource Processing**

The organisation's strategies indicated the training material and physical resources will be developed/identified once the training commences to ensure the requirements of the trainees are met. The organisation did not provide any further evidence to demonstrate that the organisation has access to adequate resources to deliver this qualification.

#### **RII20709 Certificate II in Civil Construction**

Though the organisation's strategies indicate physical resources such as portable industrial ladder; fall restraint and fall arrest equipment, the organisation did not provide sufficient evidence to demonstrate how it will ensure learners, both jobseekers and existing workers, have access to appropriate equipment for training and assessment.

The organisation did not provide training materials for this qualification.

##### **RII30409 Certificate III in Resource Processing** [partial delivery]

The organisation did not provide training materials for this qualification.

##### **RII30909 Certificate III in Civil Construction**

The organisation did not provide sufficient evidence to demonstrate facilities, equipment and training materials used are consistent with the requirements of the RII09 Resources and Infrastructure Industry Training Package and the organisation's own training and assessment strategies.

#### **TAE40110 Certificate IV in Training and Assessment**

The organisation provided purchased training resources which have not been reviewed to determine it meets current industry standards; training package requirements and learner needs. As a documented strategy was not provided, it could not be determined that the resources provided are specified in the strategy and training program. Further, it could not be determined that the resources will be used across all of the organisation's operations by staff and learners.

#### Trainers/Assessors

The organisation advised most of its trainers/assessors are also involved in the consultancy services provided by the



organisation. As such, the organisation determines trainers/assessors have intimate knowledge of the industry. The organisation's recruitment policy indicated trainers/assessors recruited must have at least five years industry experience. Though the organisation provided evidence to demonstrate trainers'/assessors' competence, including vocational currency is established and verified, it did not provide sufficient evidence to demonstrate it monitors trainers'/assessors' competence or trainers'/assessors' competencies are continuously developed.

The organisation provided its '*Mentoring Policy*' and '*Trainer Evaluation Report*' however insufficient evidence was provided to demonstrate direct supervision arrangements for trainers are implemented and managed, as required. The documents indicate Mr Shane Warwick has delivered training and assessment in RII20709 Certificate II in Civil Construction and RII30909 Certificate III in Civil Construction however no observations have been conducted to provide him with evaluation of his performance (refer '*Mentoring Policy*'). The organisation's direct supervision agreement indicates the organisation will assist Mr Warwick in obtaining TAE40110 Certificate IV in Training and Assessment once the organisation has this qualification added to its scope of registration.

**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]

**RII20709 Certificate II in Civil Construction**

**RII30909 Certificate III in Civil Construction**

The organisation did not provide sufficient evidence to demonstrate Mr Ken Bulow has relevant vocational competency at least to the level being delivered or assessed; current industry skills directly relevant to the training/assessment being undertaken and undertaken sufficient development of VET knowledge and skills, industry currency and trainer/assessor competence.

**CPC10108 Certificate I in Construction** [partial delivery]

**RII20709 Certificate II in Civil Construction**

**RII30909 Certificate III in Civil Construction**

The organisation did not provide sufficient evidence to demonstrate Mr Shane Warwick has undertaken sufficient development of VET knowledge and skills and trainer/assessor competence.

**MSA20107 Certificate II in Process Manufacturing** [partial delivery]

**MSA30107 Certificate III in Process Manufacturing** [partial delivery]

**RII20509 Certificate II in Resource Processing**

The organisation did not provide sufficient evidence to demonstrate Mr Gavin Dicoski and Mr John McCorkle have relevant vocational competency at least to the level being delivered or assessed; current industry skills directly relevant to the training/assessment being undertaken and undertaken sufficient development of VET knowledge and skills, industry currency and trainer/assessor competence.

**RII30409 Certificate III in Resource Processing** [partial delivery]

The organisation did not provide evidence in relation to the nominated trainer/assessor for this qualification.

**TAE40110 Certificate IV in Training and Assessment**

The organisation did not provide evidence in relation to the nominated trainer/assessor for this qualification.

#### Assessment

**30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

OHSCER207A Operate a forklift

The organisation provided evidence of the mandated assessment tools. As the organisation has not delivered or assessed in this qualification, no assessment records were reviewed in relation to this qualification.

The organisation did not provide evidence it has licence/authority from the course owner to use the accredited course.

**30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment** [partial delivery]

OHSCER218A Perform dogging operations

OHSCER230A Operate a non-slewing mobile crane (greater than 3 tonne capacity)

OHSCER232A Operate a slewing mobile crane (up to 60 tonnes)

The organisation did not provide sufficient evidence to demonstrate assessment incorporates workplace and



regulatory/licensing requirements. Further, the organisation did not provide evidence to demonstrate it has processes to ensure consistent judgements are made across a range of candidates and assessors. The organisation did not provide sufficient evidence to demonstrate assessment processes, tools and practices are systematically validated and improved.

Assessment records reviewed identified:

- no evidence of a training plan for Mr Bradley Miles
- no evidence Mr Brett Griffiths has undertaken formal training
- no evidence of an enrolment form; training plan or log book (details) for Mr Sean Moffait
- incomplete training plan and assessment for Mr Greg Rose
- Mr Lathanial Shelly's training plan was signed one month after he commenced operations with the plant. Further, records did not include evidence of the formal training undertaken by Mr Shelly. The organisation did not provide a copy of the 'AS1 High Risk Work Licence Application' for Mr Shelly. The records further indicated that the practical assessment was completed prior to the completion of the written assessment.

In summary, the organisation did not provide evidence to demonstrate it complies with the Legislative Requirements such as:

- ensuring all training plans are completed and appropriately signed
- providing evidence of formal assessment undertaken in accordance with WHSQ procedures
- collecting sufficient, valid, authentic, current and mandated evidence to validate and support a RPL assessment
- developing appropriate evidence criteria for the written assessment in accordance with licensing requirements.

The organisation did not provide evidence it has licence/authority from the course owner to use the accredited course.

#### **MSA20107 Certificate II in Process Manufacturing [partial delivery]**

##### MSAPMOHS201A Gas test atmospheres

The organisation provided assessment tools which did not address the entire unit requirements and as such did not comply with the Assessment Guidelines of the MSA07 Manufacturing Training Package or meet workplace requirements. The organisation did not provide sufficient evidence to demonstrate assessment processes, tools and practices are systematically validated and improved.

##### MSAPMPER200C Work in accordance with an issued permit

The organisation did not provide assessment tools as it advised it was intending to withdraw this unit of competency from its scope of registration.

#### **MSA30107 Certificate III in Process Manufacturing [partial delivery]**

##### MSAPMPER300C Issue work permits

The organisation provided assessment tools which did not address the entire unit requirements and as such did not comply with the Assessment Guidelines of the MSA07 Manufacturing Training Package or meet workplace requirements. The assessment tools did not include sufficient instructions to assessors or students regarding the assessment requirements or mechanisms to allow for reasonable adjustment and provide for objective feedback. The organisation did not provide sufficient evidence to demonstrate assessment processes, tools and practices are systematically validated and improved.

The assessment tools provided do not align to the strategies for training and assessment. The strategies indicate assessment is conducted in a clustered arrangement however the assessment tools provided are for individual units of competency.

##### MSAPMPER201A Monitor and control work permits

The organisation did not provide assessment tools as it advised it was intending to withdraw this unit of competency from its scope of registration.

#### **RII20509 Certificate II in Resource Processing**

##### RIIERR302A Respond to local emergencies and incidents

##### RIIPGP203A Operate compressors

The organisation provided assessment tools which did not address the entire unit requirements and as such did not comply with the Assessment Guidelines of the RII09 Resources and Infrastructure Industry Training Package; meet workplace requirements or simulated workplace conditions. The assessment tools did not include sufficient instructions to assessors or students regarding the assessment requirements or mechanisms to allow for reasonable adjustment and provide for objective



feedback. The organisation did not provide sufficient evidence to demonstrate assessment processes, tools and practices are systematically validated and improved.

RIIPGP203A Operate compressors

The organisation did not provide sufficient criteria defining acceptable performance for all instruments to ensure consistency across a range of candidates and assessors.

The organisation provided observation checklists that were a direct copy of the performance criteria. The observation checklists did not include sufficient interpretation of the unit requirements into observable behaviours/tasks. Due to the lack of structure regarding the tasks the student must complete and the level of performance they must achieve, consistency of assessment decisions across a range of candidates and assessors can not be assured.

**RII20709 Certificate II in Civil Construction**

RIIOHS202A Enter & work in confined spaces

RIIOHS204A Work safely at heights

**RII30909 Certificate III in Civil Construction**

RIIOHS204A Work safely at heights

The organisation provided assessment tools which did not address the entire unit requirements and as such did not comply with the Assessment Guidelines of the RII09 Resources and Infrastructure Industry Training Package; meet workplace requirements or simulated workplace conditions. The context and consistency of assessment did not address the appropriate AQF level. The organisation did not provide sufficient criteria defining acceptable performance for all instruments or clear information about assessment requirements for assessors and students to ensure consistency across a range of candidates and assessors. The organisation did not provide sufficient evidence to demonstrate assessment processes, tools and practices are systematically validated and improved.

Assessment records reviewed did not demonstrate assessment is implemented in a consistent manner or sufficient evidence is gathered and retained to inform a decision of competence. It was unclear which version of the assessment instruments were used (and the evidence criteria for marking) for Ms Rebecca Patterson-Kane who undertook assessment just one week ago. The section quiz in the assessment tools was not complete and no further evidence was available to demonstrate how the assessor determined a judgement of competence for this student. Further, the assessment tools utilised for these units of competency indicated assessment was being conducted for RII30909 Certificate III in Civil Construction.

RIIOHS202A Enter & work in confined spaces

The assessment activities require candidates to undertake group tasks to complete a Job Safety Analysis; a confined space entry permit; determine control measures for a task involving hot work within a confined space and determine the level of emergency response required and appropriate actions for stand-by person/s. No further assessment opportunities were available for the candidate to demonstrate competency at an individual level.

RIIOHS204A Work safely at heights

The assessment activities did not align to the evidence criteria. For example, Question 1 in the multiple choice learner assessment did not have the same options as the evidence criteria.

The practical tasks include questions for which learners could provide a verbal or written response. The recording tools do not include sufficient mechanisms or instructions for the assessor to record a candidate's verbal or written responses.

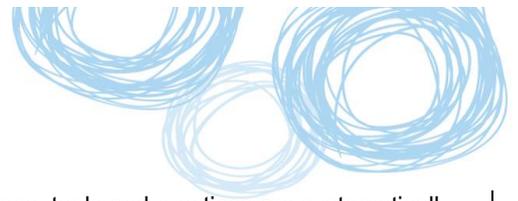
**RII30409 Certificate III in Resource Processing [partial delivery]**

The organisation did not provide assessment tools for this qualification.

**RII30909 Certificate III in Civil Construction**

RIICRC306A Conduct earthworks

The organisation provided assessment tools for a clustered arrangement with *RIICCM205A Carry out manual excavation*, *RIICCM208A Carry out basic levelling* and *RIICCM301A Construct and dismantle fences and gates*. The assessment tools did not address the entire unit requirements and as such did not comply with the Assessment Guidelines of the RII09 Resources and Infrastructure Industry Training Package; meet workplace requirements or simulated workplace conditions. The organisation did not provide sufficient criteria defining acceptable performance for all instruments or clear information about assessment requirements for assessors and students to ensure consistency across a range of candidates and assessors. The



organisation did not provide sufficient evidence to demonstrate assessment processes, tools and practices are systematically validated and improved.

The organisation provided practical assessment recording tools that were a direct copy of the performance criteria. The observation checklists included no interpretation of the unit requirements into observable behaviours/tasks. Due to the lack of structure regarding the tasks the student must complete and the level of performance they must achieve, consistency of assessment decisions across a range of candidates and assessors can not be assured.

**Rectification required:**

Continuous improvement of training and assessment

The organisation is requested to provide evidence to demonstrate its continuous improvement approach is systematic. Further, the organisation is requested to provide evidence of its processes that will ensure strategies, facilities, equipment and training materials and assessment processes, tools, practices and records are systematically monitored, validated and improved through consultation with industry representatives and trainers/assessors.

Strategies

**30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

**30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment** [partial delivery]

The organisation is requested to provide amended strategies which clearly specify the human resources to be used to meet the requirements of the relevant accredited course. Further, the organisation is requested to provide evidence that it has recently consulted industry to validate its strategies for training and assessment.

**CPC10108 Certificate I in Construction** [partial delivery]

The organisation is requested to provide evidence that it has recently consulted industry to validate its strategies for training and assessment.

**MSA20107 Certificate II in Process Manufacturing** [partial delivery]

**MSA30107 Certificate III in Process Manufacturing** [partial delivery]

The organisation is requested to provide amended strategies which clearly specify the human resources to be used to meet the requirements of the MSA07 Manufacturing Training Package. Further, the organisation is requested to provide evidence that it has recently consulted industry to validate its strategies for training and assessment.

**RII20509 Certificate II in Resource Processing**

The organisation is requested to provide amended delivery program(s) which align to the strategies for training and assessment. Should the organisation determine its client groups include jobseekers and existing workers, the organisation is requested to provide amended strategies for training and assessment and delivery programs that meet the needs of the identified client groups. Further, the organisation is requested to provide evidence that it has recently consulted industry to validate its strategies for training and assessment.

**RII20709 Certificate II in Civil Construction**

The organisation is requested to provide amended 'Assessment workplan(s)' which align to the strategies for training and assessment. Should the organisation determine its client groups include jobseekers and existing workers, the organisation is requested to provide amended strategies for training and assessment and 'Assessment workplan(s)' that meet the needs of the identified client groups. Further, the organisation is requested to provide evidence that it has recently consulted industry to validate its strategies for training and assessment.

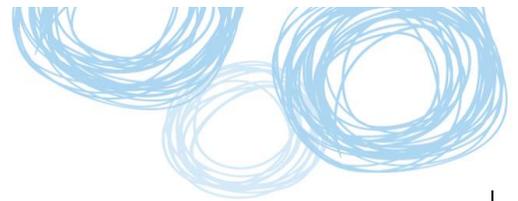
**RII30909 Certificate III in Civil Construction**

The organisation is requested to provide amended delivery and assessment plan(s) which align to the strategies for training and assessment. Should the organisation determine its client groups include jobseekers and existing workers, the organisation is requested to provide amended strategies for training and assessment and delivery programs that meet the needs of the identified client groups. Further, the organisation is requested to provide evidence that it has recently consulted industry to validate its strategies for training and assessment.

Facilities, equipment and training materials

**30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

**30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment** [partial delivery]



**MSA20107 Certificate II in Process Manufacturing** [partial delivery]

**MSA30107 Certificate III in Process Manufacturing** [partial delivery]

**RII20509 Certificate II in Resource Processing**

**RII20709 Certificate II in Civil Construction**

**RII30909 Certificate III in Civil Construction**

The organisation is requested to provide evidence to demonstrate it has access to suitable training materials and equipment consistent with the requirements of the Training Package or accredited course and the organisation's own training and assessment strategies. Where facilities and equipment are provided by a workplace, the organisation is requested to provide evidence to demonstrate how it ensures the workplace facilities and equipment are suitable to adequately support a learner in achieving the required level of competence.

#### Trainers/Assessors

The organisation is requested to provide evidence to demonstrate how it monitors trainers'/assessors' competence and ensures trainers'/assessors' competencies are continuously developed.

The organisation is requested to provide evidence to demonstrate direct supervision arrangements for trainers are implemented and managed, as required.

**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]

**RII20709 Certificate II in Civil Construction**

**RII30909 Certificate III in Civil Construction**

The organisation is requested to provide evidence to demonstrate Mr Ken Bulow has relevant vocational competency at least to the level being delivered or assessed; current industry skills directly relevant to the training/assessment being undertaken and undertaken sufficient development of VET knowledge and skills, industry currency and trainer/assessor competence.

**CPC10108 Certificate I in Construction** [partial delivery]

**RII20709 Certificate II in Civil Construction**

**RII30909 Certificate III in Civil Construction**

The organisation is requested to provide evidence to demonstrate Mr Shane Warwick has undertaken sufficient development of VET knowledge and skills and trainer/assessor competence.

**MSA20107 Certificate II in Process Manufacturing** [partial delivery]

**MSA30107 Certificate III in Process Manufacturing** [partial delivery]

**RII20509 Certificate II in Resource Processing**

The organisation is requested to provide evidence to demonstrate Mr Gavin Dicoski and Mr John McCorkle have relevant vocational competency at least to the level being delivered or assessed; current industry skills directly relevant to the training/assessment being undertaken and undertaken sufficient development of VET knowledge and skills, industry currency and trainer/assessor competence.

If the evidence requested in relation to specific trainers/assessors is unavailable, a 12 month professional development plan is requested to be developed and implemented for each trainer/assessor to maintain currency in training/assessment and industry practices. Copies of plans must be provided in the rectification evidence.

#### Assessment

**30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

OHSCER207A Operate a forklift

The organisation is requested to provide evidence it has licence/authority from the course owner to use the accredited course.

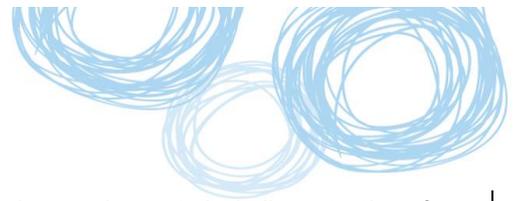
**30497QLD Course in Operating cranes, Rigging and Scaffolding Equipment** [partial delivery]

OHSCER218A Perform dogging operations

OHSCER230A Operate a non-slewing mobile crane (greater than 3 tonne capacity)

OHSCER232A Operate a slewing mobile crane (up to 60 tonnes)

The organisation is requested to provide evidence to demonstrate:



- assessment tools and records incorporates workplace and regulatory/licensing requirements including retention of completed training plans with appropriate verification and evidence of formal assessment undertaken
- sufficient, valid, authentic, current and mandated evidence is collected to validate and support a RPL assessment
- it has processes to ensure consist judgements are made across a range of candidates and assessors including appropriate evidence criteria.

Further, the organisation is requested to provide evidence it has licence/authority from the course owner to use the accredited course.

**MSA20107 Certificate II in Process Manufacturing** [partial delivery]

MSAPMOHS201A Gas test atmospheres

**MSA30107 Certificate III in Process Manufacturing** [partial delivery]

MSAPMPER300C Issue work permits

**RII20509 Certificate II in Resource Processing**

RIIERR302A Respond to local emergencies and incidents

RIIPGP203A Operate compressors

**RII20709 Certificate II in Civil Construction**

RIIOHS202A Enter & work in confined spaces

RIIOHS204A Work safely at heights

**RII30909 Certificate III in Civil Construction**

RIICRC306A Conduct earthworks

RIIOHS204A Work safely at heights

The organisation is requested to provide amended assessment tools that address the entire unit requirements and meet workplace and/or simulated work conditions. The context and consistency of assessment must address the appropriate AQF level. Adequate evidence criteria are to be provided for each assessment activity to ensure consistency of assessment decisions across a range of learners and assessors. Where assessment involves a group activity, the organisation is to demonstrate how it ensures candidates are provided with the opportunity to demonstrate competence at an individual level. Where an observation checklist contributes to assessment of a unit, it must be interpreted into workplace based tasks, in terminology appropriate to the workplace, and in accordance with industry and unit requirements. All the assessment activities must be supported by clear instructions for the candidates and assessors and where relevant, include appropriate recording tools for assessors to capture evidence. Further, the assessment tools are to include mechanisms to allow for reasonable adjustment and provide for objective feedback. The organisation is to ensure all assessment tools provided align to the relevant strategies for training and assessment.

Note: See Standard 3 for further rectification required.

**Rectification evidence received 18 August 2011:**

Continuous improvement of training and assessment

The organisation provided the following evidence:

- Screen shot of its document control register, which indicated dates of review and identified a responsible person for each item.
- 'Assessment Validation Process' included in the 'Delivery & Assessment Strategy', which indicated the internal and external activities the organisation would engage in, to validate its assessment plan and approach. The process further indicated the General Manager, internal and external trainers/assessors, external technical experts, other RTOs, and industry peak bodies would be involved. Evidence provided indicated feedback from clients and students would also inform the validation activities.
- 'Assessment Moderation' process included in the 'Delivery and Assessment Strategy' (note, this is a different document to the Strategy mentioned above), which indicated the organisation would conduct assessment development days to be coordinated by the Training Manager and where moderation of completed assessments would occur. (It is to be noted the moderation process was not included in all the strategies for training and assessment provided in the rectification evidence).

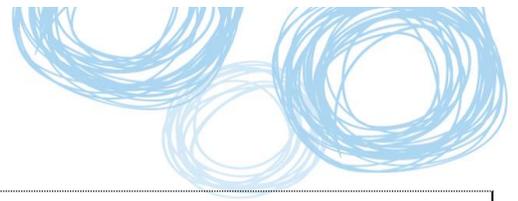
Strategies

**30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

**30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment** [partial delivery]

The organisation provided the following evidence:

- 'Delivery & Assessment Strategy', which clearly indicated the nominated trainer/assessor.



#### **CPC10108 Certificate I in Construction** [partial delivery]

The organisation provided the following evidence:

- 'Assessment Validation' (dated 10/08/2011), which clearly identified the participants involved in the validation meeting, the areas reviewed and validated, and any improvement opportunities identified. Further sufficient evidence was provided to demonstrate the organisation had recently consulted with its industry stakeholders to validate its strategies for training and assessment.

#### **MSA20107 Certificate II in Process Manufacturing** [partial delivery]

#### **MSA30107 Certificate III in Process Manufacturing** [partial delivery]

The organisation provided the following evidence:

- 'Delivery and Assessment Plan' for MSAPMOHS201A Gas test atmospheres (Rev 1.2).
- 'Delivery and Assessment Plan' for MSAPMPER300B Issue work permits (Rev 1.2 Version 1.1 August 2011).
  - Both strategies for training and assessment provided for the above clearly specified the trainers/assessors to be used to meet the requirements of the MSA07 Manufacturing Training Package.
- Assessment Validation for MSAPMOHS201A Gas test atmospheres and MSAPMPER300B Issue work permits (dated 13/07/2011), clearly indicated the participants involved with the validation meeting, the areas reviewed and validated, and any improvement opportunities identified. Further evidence was provided to demonstrate the organisation had recently consulted industry to validate its strategies for training and assessment.

#### **RII20509 Certificate II in Resource Processing**

The organisation provided the following evidence:

- 'Delivery and Assessment Strategy' (2011/12), which sufficiently defined the delivery program that aligned with the identified assessment methods and how the organisation would meet the needs of its identified client groups.
- Assessment Validation (dated 1/8/2011), which clearly identified the participants who were involved with the validation meeting, the areas reviewed and validated, and any improvement opportunities identified. Evidence was provided to demonstrate the organisation had recently consulted industry to validate its strategies for training and assessment.

#### **RII20709 Certificate II in Civil Construction**

The organisation provided the following evidence:

- 'Delivery and Assessment Strategy' 2010/2011 (reviewed Aug 2011), which included a defined delivery program that aligned with the identified assessment methods and how the organisation would meet the needs of its identified client groups.
- Assessment Validation (dated 2/8/2011), which clearly identified the participants in the validation meeting, the areas reviewed and validated, and any improvement opportunities identified. Evidence was provided to demonstrate the organisation recently consulted industry to validate its strategies for training and assessment.

#### **RII30909 Certificate III in Civil Construction**

The organisation provided the following evidence:

- 'Delivery and Assessment Strategy' 2010/2011 (reviewed August 2011), which clearly identified the organisation's target client group as jobseekers and defined assessment methods which aligned to the delivery and assessment methods.
- Assessment Validation (dated 2/8/2011), which clearly identified the participants present at the validation meeting, the areas of assessment that were reviewed and validated, and any improvement opportunities identified. Evidence provided also demonstrated the organisation recently consulted industry to validate its strategies for training and assessment.

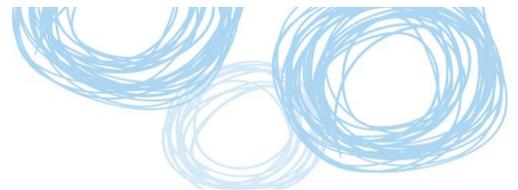
#### Facilities, Equipment and Training Materials

#### **30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

#### **30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment** [partial delivery]

The organisation provided the following evidence:

- 'Delivery and Assessment Strategy', clearly identified the organisation had access to required equipment and facilities that were consistent with the requirements of the accredited course and the organisation's own training and assessment strategies.
  - The strategy included 'Booking Confirmation' forms, conditions and a guideline which clearly indicated how the



organisation would ensure that workplace facilities and equipment would be suitable to adequately support a learner in achieving the required level of competence. The conditions on the 'Booking Confirmation' indicated the client would allow the organisation to 'utilise a training room and all necessary equipment as required by the unit of competency'. It further indicated that 'Prior to course delivery date, an OSCA assessor will visit the client site to ensure equipment adequacy and operational readiness, as well as an inspection of a suitable onsite area to conduct the practical equipment familiarisation portion of the training'.

#### **30496QLD Course in Operating Loadshifting Equipment [partial delivery]**

The organisation provided the following evidence:

- 'Forklift Truck Operations' training notes, which had been identified as a suitable training resource, which was consistent and met the requirements of the accredited course and the organisation's own training and assessment strategies.

#### **MSA20107 Certificate II in Process Manufacturing [partial delivery]**

#### **MSA30107 Certificate III in Process Manufacturing [partial delivery]**

#### **RII20509 Certificate II in Resource Processing**

#### **RII20709 Certificate II in Civil Construction**

#### **RII30909 Certificate III in Civil Construction**

The organisation provided the following evidence:

- 'Delivery and Assessment Plan' (Rev 1.2) for MSAPMPER300B Issue work permits and MSAPMOHS217A Gas test atmospheres.
- 'Delivery and Assessment Strategy' (2011/12) for RII20509 Certificate II in Resource Processing.
- 'Delivery and Assessment Strategy' (2010/11) for RII20709 Certificate II in Civil Construction.
- 'Delivery and Assessment Strategy' (2011/12) for RII30909 Certificate III in Civil Construction.
  - The plan and strategies identified above sufficiently specified the required physical resources to be used for the delivery of the respective units and qualifications listed above. The listed resources were consistent with the requirements of each Training Package and the organisation's own training and assessment strategies.
- 'Booking Confirmation' form, which indicated 'it may be necessary to utilise client training venues and/or equipment'. The document further indicated that the trainer/assessor, prior to the delivery date, would inspect the venue/equipment to determine if the training resources were sufficient and suitable to meet the requirements of the unit of competency and/or qualifications.

#### Trainers/Assessors

The organisation provided the following evidence:

- 'Trainer Evaluation Report' for Mr Gavin Dicoski conducted by Mr John McCorkle, which demonstrated the organisation conducted observation on trainers/assessors to monitor trainers'/assessors' competence.
- 'Professional Development Plan (PDP)' for Mr John McCorkle; Mr Gavin Dicoski and Mr Shane Warwick, which identified the activities the trainers'/assessors', had engaged in to continuously develop their vocational and training and assessment competencies. Evidence provided further demonstrated Mr John McCorkle and Mr Shane Warwick were completing their TAE40110 Certificate IV in Training and Assessment, and that Mr Gavin Dicoski was currently waiting to be issued with his TAE Diploma.
- Mr Shane Warwick's 'Professional Development Plan (PDP)' demonstrated how the organisation would implement and manage the direct supervision arrangements for trainers, as required. The plan indicated Mr Warwick would be monitored during his delivery sessions over the next three months, as per the Mentoring Agreement. The plan further indicated he would not be delivering any training unless under the direct supervision of Mr John McCorkle or Mr Gavin Dicoski.

#### **30496QLD Course in Operating Loadshifting Equipment [partial delivery]**

#### **30497QLD Course in Operating cranes, Rigging and Scaffolding Equipment [partial delivery]**

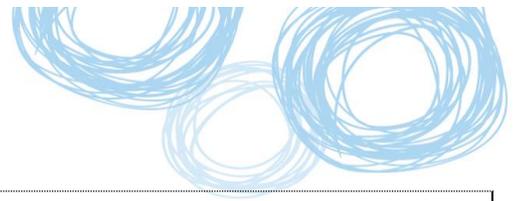
#### **CPC10108 Certificate I in Construction [partial delivery]**

#### **RII20709 Certificate II in Civil Construction**

#### **RII30909 Certificate III in Civil Construction**

The organisation provided the following evidence:

- Advice that Mr Ken Bulow would no longer be engaged with the organisation.
- An advertisement for the recruitment of a suitable trainer/assessor.



**CPC10108 Certificate I in Construction** [partial delivery]

**RII20709 Certificate II in Civil Construction**

**RII30909 Certificate III in Civil Construction**

The organisation provided the following evidence:

- 'Professional Development Plan (PDP)' for Mr Shane Warwick, which indicated that Mr Warwick will obtain his TAE40110 Certificate IV in Training and Assessment by April 2012.

**MSA20107 Certificate II in Process Manufacturing** [partial delivery]

**MSA30107 Certificate III in Process Manufacturing** [partial delivery]

**RII20509 Certificate II in Resource Processing**

The organisation provided the following evidence:

- Resumes for Mr Gavin Dicinoski and Mr John McCorkle.
- 'Professional Development Plan (PDP)' for Mr Gavin Dicinoski and Mr John McCorkle.
  - Mr Gavin Dicinoski's resume indicated he has experience in on-site coaching with regard to safe work practices in plant operations and construction; auditing safety systems; investigating incidents and incident data interrogation. Mr Dicinoski's 'Professional Development Plan (PDP)' indicated he was upgrading his training/assessing competencies to a 'TAE Diploma'. The plan also indicated he was attending training sessions for AVETMISS and certificates in August 2011.
  - Mr John McCorkle's resume indicated he was also currently employed as a consultant to various companies including refineries and mining sites regarding height safety, confined space management, industrial rescue, safety compliance, access solutions, shutdown support, internal audits and traffic management. Mr McCorkle's 'Professional Development Plan (PDP)' indicated he would upgrade his training/assessment competence by obtaining his TAE40110 Certificate IV in Training and Assessment and attending the 'Developing competency based assessment tools: Basic understanding and techniques' workshop in 2012. The plan also indicated he would attend training sessions for AVETMISS and certificates in August 2011.

Assessment

**30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

OHSCER207A Operate a forklift

The organisation provided the following evidence:

- 'Licence Agreement', which indicated the licence expired on 30/03/2010.

**30497QLD Course in Operating cranes, Rigging and Scaffolding Equipment** [partial delivery]

OHSCER218A Perform dogging operations

OHSCER230A Operate a non-slewing mobile crane (greater than 3 tonne capacity)

OHSCER232A Operate a slewing mobile crane (up to 60 tonnes)

The organisation provided the following evidence:

- 'Recognition of Prior Learning' applicant's information pack (Rev 1).
- 'Mutual Recognition & Recognition of Prior Learning' procedure (Rev 1).
  - The RPL documents clearly indicated how candidates and assessors were guided in the submission and collection of sufficient, valid, authentic, current and mandated evidence to validate and support an RPL assessment.
- 'Assessment Validation', which indicated reviews would be conducted by the organisation to determine whether consist judgements were made across a range of candidates and assessors, including appropriate benchmark evidence criteria.
- 'Training & Assessment Guidelines' (Rev 1), which included instructions for maintaining 'records of the assessment procedure, evidence collected and the outcome'.

**MSA20107 Certificate II in Process Manufacturing** [partial delivery]

MSAPMOHS201A Gas test atmospheres

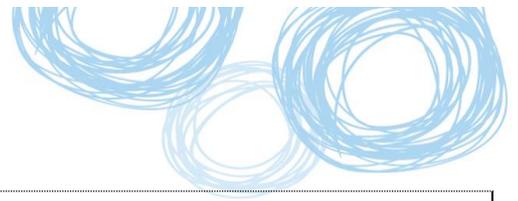
**MSA30107 Certificate III in Process Manufacturing** [partial delivery]

MSAPMPER300C Issue work permits

**RII20509 Certificate II in Resource Processing**

RIIERR302A Respond to local emergencies and incidents

RIIPGP203A Operate compressors

**RII20709 Certificate II in Civil Construction**

RIIOHS202A Enter & work in confined spaces

RIIOHS204A Work safely at heights

**RII30909 Certificate III in Civil Construction**

RIICRC306A Conduct earthworks

RIIOHS204A Work safely at heights

The organisation provided the following evidence:

- 'Record of Assessment Outcome & Feedback'.

**MSA20107 Certificate II in Process Manufacturing [partial delivery]**

MSAPMOHS201A Gas test atmospheres

The organisation provided the following evidence:

- 'Delivery and Assessment Plan' (Revision 1.2).
- 'Written Assessment Booklet – D1' (Ver. 2.0).

**MSA30107 Certificate III in Process Manufacturing [partial delivery]**

MSAPMPER300C Issue work permits

The organisation provided:

- 'Delivery and Assessment Plan' (Revision 1.2).
- 'Written Assessment Booklet – D1' (Ver. 1.1).

**RII20509 Certificate II in Resource Processing**

RIIERR302A Respond to local emergencies and incidents

The organisation provided the following evidence:

- Skills DMC Assessment Tools including Theory Assessment Answers, Practical Assessment and Supporting Evidence (Version No. 1).

RIIPGP203A Operate compressors

The organisation provided the following evidence:

- 'Assessment activities' Marking guide (V1).
- 'Benchmarking' (V1).

**RII20709 Certificate II in Civil Construction**

RIIOHS202A Enter & work in confined spaces

The organisation provided the following evidence:

- 'Delivery and Assessment Strategy' (Revision 1.2).
- Written Assessment Booklet – B1' (Ver. 1.4).

RIIOHS204A Work safely at heights

The organisation provided:

- 'Delivery and Assessment Strategy' (Revision 1.1).
- Written Assessment Booklet – A1' (Ver 5.1).

**RII30909 Certificate III in Civil Construction**

RIICRC306A Conduct earthworks

The organisation provided the following evidence:

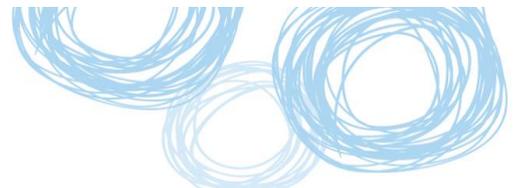
- 'Assessment activities' (V1).
- 'Benchmarking'.

RIIOHS204A Work safely at heights

- See above.

**OVERALL:**

For each of the above listed units of competency, the organisation provided amended assessment tools that sufficiently addressed the entire unit of competency requirements and met workplace and/or simulated work conditions. The context and consistency of assessment was addressed to the appropriate AQF level. Adequate evidence criteria were provided for each assessment activity to ensure consistency of assessment decisions across a range of learners and assessors. Where assessment involved a group activity, the instructions indicated the assessor would observe each participant to ensure



candidates were provided with the opportunity to demonstrate competence at an individual level. The '*Practical Assessment Checklist*' was interpreted into workplace based tasks, in terminology appropriate to the workplace, and in accordance with industry and unit requirements. All assessment activities were supported by clear instructions for the candidates and assessors. Further, the '*Record of Assessment Outcome & Feedback*' provided a mechanism provide for objective feedback.

All assessment tools provided aligned to the relevant strategies for training and assessment.

#### **Outstanding non-compliances:**

##### Continuous improvement of training and assessment

The organisation did not provide evidence to demonstrate how it will ensure its strategies, facilities, equipment and training materials are systematically monitored, validated and improved through consultation with industry representatives and trainers/assessors.

##### Strategies

#### **30496QLD Course in Operating Loadshifting Equipment [partial delivery]**

#### **30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment [partial delivery]**

The organisation did not provide evidence to demonstrate that it has recently consulted with its industry stakeholders to validate its strategies for training and assessment. Furthermore, the organisation provided strategies for training and assessment for *OHSCER208A Operate an order picking forklift truck* and *OHSCER209A Operate a dozer (wheeled and tracked)*; however, it did not provide evidence to demonstrate it has approval to deliver or assess these units of competency on its scope of registration.

##### Facilities, equipment and training materials

#### **30496QLD Course in Operating Loadshifting Equipment [partial delivery]**

#### **30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment [partial delivery]**

The organisation did not provide evidence to demonstrate it has access to suitable training materials consistent with the requirements of the Training Package or accredited course and the organisation's own training and assessment strategies.

##### Trainers/assessors

The organisation did not provide evidence to demonstrate how it monitors trainers'/assessors' vocational competence and ensures trainers'/assessors' vocational competencies are continuously developed.

##### Assessment

#### **30496QLD Course in Operating Loadshifting Equipment [partial delivery]**

##### OHSCER207A Operate a forklift

The organisation did not provide evidence it has a valid licence/authority from the course owner to train/assess the accredited course, as Schedule 1 in the '*Licence Agreement*' indicates an expiry date of 30/03/2010.

#### **30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment [partial delivery]**

##### OHSCER218A Perform dogging operations

##### OHSCER230A Operate a non-slewing mobile crane (greater than 3 tonne capacity)

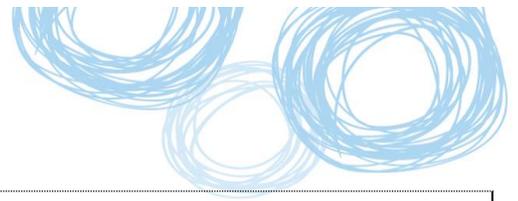
##### OHSCER232A Operate a slewing mobile crane (up to 60 tonnes)

The organisation did not provide evidence to demonstrate its assessment tools incorporate workplace and regulatory/licensing requirements including retention of completed training plans with appropriate verification. Further, the organisation did not provide evidence it has licence/authority from the course owner to train/assess this accredited course, as Schedule 1 in the '*Licence Agreement*' indicates an expiry date of 30/03/2010.

#### **R1120509 Certificate II in Resource Processing**

##### R11ERR302A Respond to local emergencies and incidents

The Skills DMC Assessment Tools Supporting Evidence included a supervisor/third party verification. The verification was a direct copy of the performance criteria. It did not include sufficient interpretation of the unit requirements into observable behaviours/tasks and was not supported by benchmark criteria.



#### **Further clarification required:**

##### Continuous improvement of training and assessment

The organisation is requested to provide evidence of its processes that will ensure strategies, facilities, equipment and training materials are systematically monitored, validated and improved through consultation with industry representatives and trainers/assessors.

##### Strategies

**30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

**30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment** [partial delivery]

The organisation is requested to provide evidence that it has recently consulted industry to validate its strategies for training and assessment.

The organisation is further requested to provide evidence that it has applied to the Department for approval to deliver/assess *OHSCER208A Operate an order picking forklift truck* and *OHSCER209A Operate a dozer (wheeled and tracked)*. Should the organisation not wish to seek approval to train/assess these units of competency, it is requested to provide an undertaking that it is not actively marketing, training or assessing in these units of competency.

##### Facilities, equipment and training materials

**30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

**30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment** [partial delivery]

The organisation is requested to provide evidence to demonstrate it has access to suitable training materials consistent with the requirements of the Training Package or accredited course and the organisation's own training and assessment strategies.

##### Trainers/assessors

The organisation is requested to provide evidence to demonstrate how it monitors trainers'/assessors' vocational competence and ensures trainers'/assessors' vocational competencies are continuously developed.

##### Assessment

**30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

*OHSCER207A Operate a forklift*

The organisation is requested to provide evidence it has a valid licence/authority from the course owner to train/assess this accredited course.

**30497QLD Course in Operating cranes, Rigging and Scaffolding Equipment** [partial delivery]

*OHSCER218A Perform dogging operations*

*OHSCER230A Operate a non-slewing mobile crane (greater than 3 tonne capacity)*

*OHSCER232A Operate a slewing mobile crane (up to 60 tonnes)*

The organisation is requested to provide evidence to demonstrate its assessment tools and records incorporate workplace and regulatory/licensing requirements including retention of completed training plans with appropriate verification. Further, the organisation is requested to provide evidence it has licence/authority from the course owner to train/assess this accredited course.

#### **RII20509 Certificate II in Resource Processing**

*RIIERR302A Respond to local emergencies and incidents*

The organisation is requested to provide an amended supervisor/third party verification which includes sufficient interpretation of the unit requirements into observable behaviours/tasks or sufficient evidence criteria to support the verification.

#### **Further rectification evidence received 27 February 2012:**

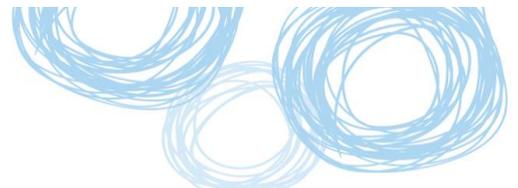
The organisation provided an RTO2 form to remove the following accredited courses from its scope of registration:

- 30496QLD Course in Operating Loadshifting Equipment [partial delivery]
- 30497QLD Course in Operating cranes, Rigging and Scaffolding Equipment [partial delivery]

As such, no further clarification was required in relation to these accredited courses.

##### Continuous improvement of training and assessment

The organisation provided the following evidence:



- Screen shot and explanation of the software used to schedule upcoming validation activities and also to record and archive completed activities. The evidence provided demonstrated the validation process involved trainers/ assessors and industry, including employers and other training organisations.
- *Training and Assessment Guidelines* handbook provided to trainers and assessors. The document included a section on validation and identified that each qualification and unit of competency would be validated annually, and would include a review of the strategy, assessment tools, marketing material, training materials, and any other items required to deliver and assess the unit of competency. The document made reference to the software used to systematically monitor, record and archive validation activities.

#### Trainers/assessors

The organisation provided:

- *Trainer – Competency in Development* policy and procedure and advised it was provided to trainers to “provide guidance as to the expected standard of development, delivery, interaction and assessment to which our Trainers will operate”. The document identified that all trainers/assessors would undergo a performance review process at least annually and that the organisation would ensure trainers/assessors could participate in professional development activities, with particular emphasis on vocational development.
- *Employee Handbook* which included a section on Staff Development that identified skill requirements were reviewed annually. The document further identified “if particular employees require additional skills to satisfactorily meet the requirements of their position, with emphasis placed on vocational development, their Manager makes arrangements for any additional training or experience that is required”.

#### Assessment

##### **RII20509 Certificate II in Resource Processing**

##### RIIERR302A Respond to local emergencies and incidents

The organisation provided an amended supervisor/third party verification which included sufficient interpretation of the unit requirements into observable tasks.

#### **Strengths**

- Nil identified.

#### **Opportunities for Improvement**

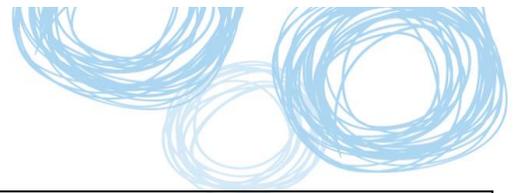
It is strongly recommended the organisation considers:

- reviewing the use of the wording ‘Yet’ in its competency outcome ‘Not Yet Competent’
- removing reference to the practical assessment on page four of the CPC10108 Certificate I in Construction ‘*Course Participant Booklet*’ (v.1 23/11/2009)
- capturing further evidence of a candidate’s skills to ‘ask effective questions’ and knowledge of ‘*applicable Commonwealth, State or Territory OHS legislation, regulations, standards, codes of practice and industry standards/guidance notes relevant to own work, role and responsibilities*’ in *CPCCOHS1001A Work safely in the construction industry*
- a completion timeframe for RII20509 Certificate II in Resource Processing
- removing reference(s) to licensed units of competency in the strategies for training and assessment of RII20509 Certificate II in Resource Processing
- clearly articulating in all its resources for RII20509 Certificate II in Resource Processing whether the required electives are pre-determined or clients have a choice in selecting the electives. If clients can select the electives, it is recommended the organisation considers listing the full range of elective units in its strategies for training and assessment; developing training and assessment resources and arranging physical and human resources to deliver the full range of electives it intends to offer.

#### **Subsequent to the analysis of rectification evidence received 18 August 2011:**

It is strongly recommended the organisation considers:

- documenting the findings of the assessor’s visit to the client site to determine suitability of the venue and equipment
- identifying on its “Booking Confirmation Forms” the actual facilities and equipment necessary for a workplace to provide a suitable environment necessary to adequately support a learner in achieving the required level of competence
- further capturing evidence of a candidate’s knowledge of ‘*common chemical asphyxiants including hydrocarbons,*



carbon dioxide, hydrogen cyanide and hydrogen sulphide; common irritants and corrosives including chlorine, ammonia and acid bases and common flammable gases including ethane and propane' in (MSAPMOHS201A Gas test atmospheres

- updating all its resources to reflect the correct version of the unit of competency MSAPMPER300C Issue work permits
- further capturing evidence of a candidate's skill in 'estimating ventilation required for making vessels safe (eg for confined space entry, hot work) including applying formula for factors such as space turnover rate and number of turnovers'; 'supervision/monitoring of contractors' and knowledge of 'AS4024.1 Safeguarding of machinery – general principles' MSAPMPER300C Issue work permits
- further capturing evidence of a candidate's skill to 'apply legislative...requirements and procedures' and 'report emergencies/incidents' in RIERR302A Respond to local emergencies and incidents
- developing evidence criteria for the verbal questions in the Practical Assessment in RIERR302A Respond to local emergencies and incidents
- removing the reference to 'compressor' in the 'Assessment activities' Marking guide and 'Benchmarking' in RIIPGP203A Operate compressors
- further capturing evidence of a candidate's knowledge of 'equipment types, characteristics, technical capabilities and limitations' in RIIOHS202A Enter & work in confined spaces
- providing instructions/mechanisms/tools for assessors to record the verbal responses given by candidates during the Practical Assessments
- further capturing evidence of a candidate's skill to 'work in varying weather conditions' in RIIOHS202A Enter & work in confined spaces.

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

Elements	Examined
2.1 The RTO establishes the needs of clients, and delivers services to meet these needs.	<input type="checkbox"/>
2.2 The RTO continuously improves client services by collecting, analysing and acting on relevant data.	<input checked="" type="checkbox"/>
2.3 Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.	<input checked="" type="checkbox"/>
2.4 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.	<input type="checkbox"/>
2.5 Learners receive training, assessment and support services that meet their individual needs.	<input type="checkbox"/>
2.6 Learners have timely access to current and accurate records of their participation and progress.	<input checked="" type="checkbox"/>
2.7 The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	<input type="checkbox"/>

### Audit findings

#### At time of audit:

- Compliant  
 Not compliant

#### Following rectification received 18/08/2011:

- Compliant  
 Not compliant

#### Following clarification received 27/02/2012:

- Compliant  
 Not Compliant

#### Findings:

##### Continuous improvement of client services

The organisation provided evidence of 'AQTF Learner Questionnaires' and 'AQTF Employer Questionnaires' to demonstrate it continuously improves client services by collecting, analysing and acting upon relevant data.

##### Pre-enrolment information

##### **MSA20107 Certificate II in Process Manufacturing [partial delivery]**

The organisation provided sufficient evidence to demonstrate before clients enrol or enter into an agreement, the organisation informs them about the training and assessment services to assist clients in making an informed choice.

#### Non-compliances:

##### Pre-enrolment information

The organisation provided evidence of its 'Booking Form' which includes the maximum number of students per intake; confirmation of the ratio of trainer/assessor to learners and personal protective equipment, venue, resource and other special requirements such as access to forklifts.



The organisation provided its student handbook which includes sufficient information regarding the support services to be provided and about client's rights and obligations.

It is to be noted the 'Booking Form' or student handbook did not include any information regarding the training and assessment services for each of the qualifications and accredited courses.

**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]  
**MSA30107 Certificate III in Process Manufacturing** [partial delivery]  
**RII20509 Certificate II in Resource Processing**  
**RII20709 Certificate II in Civil Construction**  
**RII30409 Certificate III in Resource Processing** [partial delivery]  
**RII30909 Certificate III in Civil Construction**  
**TAE40110 Certificate IV in Training and Assessment**

The organisation did not provide information to demonstrate before clients enrol or enter into an agreement, the organisation informs them about the training and assessment services to assist clients in making an informed choice.

#### Learner records

The organisation did not provide sufficient evidence to demonstrate learners have timely access to current and accurate records of their participation and progress. Insufficient evidence was provided to demonstrate records of learners' participation and progress through their training program are systematically collected, recorded and stored and records management practices are monitored.

#### **Rectification required:**

##### Pre-enrolment information

**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]  
**MSA30107 Certificate III in Process Manufacturing** [partial delivery]  
**RII20509 Certificate II in Resource Processing**  
**RII20709 Certificate II in Civil Construction**  
**RII30909 Certificate III in Civil Construction**

The organisation is requested to provide evidence to demonstrate before clients enrol or enter into an agreement, the organisation informs them about the training and assessment services to assist clients in making an informed choice.

#### Learner records

The organisation is requested to provide evidence to demonstrate how it ensures learners have timely access to current and accurate records of their participation and progress. Further, the organisation is requested to provide evidence to demonstrate records of learners' participation and progress through their training program are systematically collected.

Note: See Standard 3 for further rectification required.

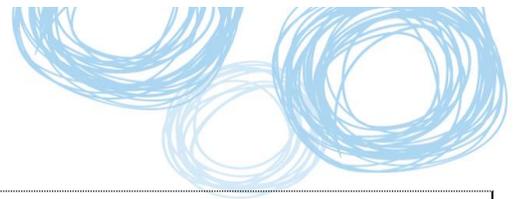
#### **Rectification evidence received 18 August 2011:**

##### Pre-enrolment information

**CPC10108 Certificate I in Construction** [partial delivery]  
**RII20509 Certificate II in Resource Processing**  
**RII20709 Certificate II in Civil Construction**

The organisation provided the following evidence:

- Course brochure for
  - 'Course in Work Safely in the Construction Industry – 'White Card''
  - 'Perform Basic Rigging Operations'
  - 'Enter and Work in Confined Spaces'
  - 'Work Safely at Heights'
  - 'Certificate II in Resource Processing'



- 'Course Participant Booklet'

The evidence provided sufficiently demonstrated that, before clients enrol or enter into an agreement, the organisation informs them about the training and assessment services to assist clients in making an informed choice.

#### Learner records

The organisation provided the following evidence:

- 'Course Participant Booklet', which indicated learner's could gain access to their training records 'generally within 24 hours' by contacting the organisation and providing photo identification for verification purposes.
- Purchase of wise.net. The evidence indicated the organisation would utilise the software to retain records of learners' participation and progress through their training program. In addition, evidence was provided to demonstrate staff would undertake training in the correct use of the software.
- 'Record of Assessment Outcome & Feedback' which indicated the organisation would systematically collect evidence of records of learners' participation and progress through their training program.

#### **Outstanding non-compliances:**

##### Pre-enrolment information

**30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

**30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment** [partial delivery]

**MSA30107 Certificate III in Process Manufacturing** [partial delivery]

**R1130909 Certificate III in Civil Construction**

The organisation did not provide evidence to demonstrate before clients enrol or enter into an agreement; the organisation informs them about the training and assessment services to assist clients in making an informed choice.

##### Learner records

The 'Course Participant Booklet' and 'Booking Confirmation' indicated an employer who had booked (and funded) an employee onto a course as a student could access that employee's course results. The Vocational Education, Training and Employment Act 2000 clearly indicates 'A registered training organisation must issue a qualification or statement of attainment to a student who...'. The Department is of the view this also includes the course results. As such, the organisation would require written consent from the student for their course results to be released to the employer/company/organisation who booked the course.

#### **Further clarification required:**

##### Pre-enrolment information

**30496QLD Course in Operating Loadshifting Equipment** [partial delivery]

**30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment** [partial delivery]

**MSA30107 Certificate III in Process Manufacturing** [partial delivery]

**R1130909 Certificate III in Civil Construction**

The organisation is requested to provide evidence to demonstrate before clients enrol or enter into an agreement, the organisation informs them about the training and assessment services to assist clients in making an informed choice.

##### Learner records

The organisation is requested to provide evidence of its processes to ensure written consent from the student will be obtained prior to course results being released to their employer. Further, the organisation is requested to provide evidence of how it will ensure this information is communicated to learners and the employer prior to the enrolment.

#### **Further rectification evidence received 27 February 2012:**

The organisation provided an RTO2 form to remove the following accredited courses from its scope of registration:

- 30496QLD Course in Operating Loadshifting Equipment [partial delivery]
- 30497QLD Course in Operating cranes, Rigging and Scaffolding Equipment [partial delivery]

As such, no further clarification was required in relation to these accredited courses.

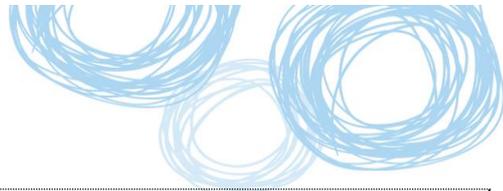
##### Pre-enrolment information

**MSA30107 Certificate III in Process Manufacturing** [partial delivery]

**R1130909 Certificate III in Civil Construction**

The organisation provided the following:

- Course brochure for



- RII30909 Certificate III in Civil Construction
- MSAPMPER300C Issue Work Permits

With the previously provided 'Course Participant Booklet', the evidence provided sufficiently demonstrated that, before clients enrol or enter into an agreement, the organisation informs them about the training and assessment services to assist clients in making an informed choice.

**Learner records**

The organisation provided:

- Amended 'Course Participant Booklet' which demonstrated clients were advised that training records would not be provided to employers or any other third party without express written consent from the student.
- 'Attendance Sheet' which provided clear information to students that, by signing the document of attendance, the student was giving permission for their employer to receive notification of training results.

**Strengths**

- Nil identified.

**Opportunities for Improvement**

It is recommended the organisation considers:

- aligning the information in its 'Booking Form' to the student handbook regarding access to student's assessment outcome/s. The organisation is reminded that it is a breach of privacy regulations to release information to other parties without the express consent of the individual
- including review dates and/or version numbers in its client services material to ensure only current information is disseminated.

**Subsequent to the analysis of rectification evidence received 18 August 2011:**

It is recommended the organisation considers:

- reviewing the condition on its 'Booking confirmation' regarding individual's under the influence of medication.

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

Elements	Examined
3.1 The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.	<input type="checkbox"/>
3.2 The RTO uses a systematic and continuous improvement approach to the management of operations.	<input checked="" type="checkbox"/>
3.3 The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.	<input checked="" type="checkbox"/>
3.4 The RTO manages records to ensure their accuracy and integrity.	<input checked="" type="checkbox"/>

**Audit findings**

**At time of audit:**

- Compliant  
 Not Compliant

**Following rectification received 18/08/2011:**

- Compliant  
 Not Compliant

**Following clarification received 27/02/2012:**

- Compliant  
 Not Compliant

**Findings:**

Partnering agreements

Element 3.3 was included in the audit activity; however, was not applicable as the organisation does not enter into any partnering agreements.

**Non-compliances:**

Continuous improvement of operations

The organisation did not provide sufficient evidence to demonstrate it uses a systematic and continuous improvement approach to the management of operations. The organisation advised that the Manager travels to Gladstone atleast once every month and the Managing Director/Trainer travels to Brisbane on occasions. The organisation provided evidence of email and phone communication exchanged in relation to spontaneous issues.

The organisation did not provide evidence to demonstrate how other staff including trainers/assessors contribute to the



effective operations of the organisation and are involved in the continuous improvement activities. The organisation did not provide evidence to demonstrate management systems are focused on providing quality training, assessment and support services or systematically monitored and improved.

#### Records Management

The organisation provided evidence of its 'Records Management Policy' (AD034 dated 18/01/2010) which indicates records will be reviewed annually however the organisation did not provide evidence to demonstrate it had followed its own policies to ensure the accuracy and integrity of its records. The organisation did not provide evidence to demonstrate:

- records are systematically managed
- records for demonstrating compliance with the *AQTF Essential Conditions and Standards for Continuing Registration* are maintained
- staff meet their obligations for records management
- the effectiveness of records management is monitored and reviewed
- the continuous improvement of record management systems is demonstrated
- qualifications and statements of attainment comply with the requirements of the *AQF Implementation Handbook* and the relevant qualification or course.

After numerous requests, the organisation was still unable to provide the number of completions at a qualification/course level for the qualifications and accredited courses on its scope of registration.

#### **RII20709 Certificate II in Civil Construction**

RIIOHS202A Enter & work in confined spaces

RIIOHS204A Work safely at heights

#### **RII30909 Certificate III in Civil Construction**

RIIOHS204A Work safely at heights

Review of assessment records did not support the organisation's records are managed systematically, including the use of an appropriate version control system, to ensure assessment is implemented in a consistent manner or sufficient evidence is gathered and retained to inform a decision of competence. (See Standard 1 for further details.)

The organisation provided its qualification template which did not include the date issued and the words 'A summary of the employability skills developed through this qualification can be downloaded from <http://employabilityskills.training.com.au>'. The organisation provided its statement of attainment template which did not include the date issued and the words 'A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency from nationally recognised qualification(s)/course(s)'.

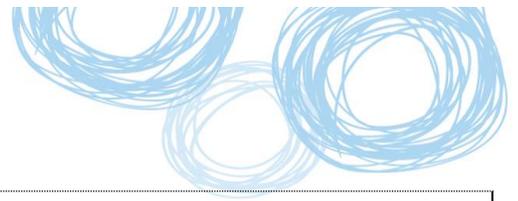
#### **Rectification required:**

##### Continuous improvement of operations

The organisation is requested to provide evidence to demonstrate how it ensures the accuracy and integrity of its records. Specifically, the organisation is requested to provide evidence to demonstrate

- records are systematically managed including the provision of completion numbers in its qualifications/accredited courses and use of appropriate version control mechanisms
- records for demonstrating compliance with the *AQTF Essential Conditions and Standards for Continuing Registration* are maintained including the retention of all required documentation as per the licensing requirements of the accredited courses
- staff meet their obligations for records management including the gathering and retention of sufficient assessment evidence to inform a decision of competence
- the effectiveness of records management is monitored and reviewed
- the continuous improvement of record management systems is demonstrated
- qualifications and statements of attainment comply with the requirements of the *AQF Implementation Handbook* and the relevant qualification or course.

Note: The organisation is requested to ensure rectification evidence in relation to the issuance of a qualification and/or statement of attainment must be in accordance with the *AQF Qualifications Issuance Policy* contained within the revised Australian Qualifications Framework (2011) and the supporting NQC Special Bulletin.



**Rectification evidence received 18 August 2011:**

Continuous improvement of operations

The organisation provided:

- Evidence of its purchase of wise.net, with information that the system would be used to systematically retain and manage student records. In addition, the system had the provision to indicate completion numbers of qualifications/accredited courses. The organisation also provided evidence to demonstrate staff would be trained in the use of the software.
- Advice via email which indicated it intended to introduce 'iMac computers for Brisbane and Gladstone which will enable better control over document versions when the iCloud is available in a couple of months'.
- Extracts from its document control register which demonstrated the organisation had conducted and scheduled reviews for records management.
- A Statement of Attainment for *CPCCOHS1001A Work safely in the construction industry*.

**Outstanding non-compliances:**

Continuous improvement of operations

The organisation did not provide evidence to demonstrate:

- Staff meet their obligations for records management including the gathering and retention of sufficient assessment evidence to inform a decision of competence.
- Qualifications and statements of attainment comply with the requirements of the *AQF Implementation Handbook* and the relevant qualification or course. The organisation did not provide evidence of its testamur or record of result template. The Statement of Attainment did not have the required wording as indicated in the AQF Handbook and NQC Special Bulletin. Further, the document indicated the 'Course Date'. It is unclear whether this is the same as the date issued.

**Further clarification required:**

Continuous improvement of operations

The organisation is requested to provide evidence to demonstrate:

- Staff meet their obligations for records management including the gathering and retention of sufficient assessment evidence to inform a decision of competence.
- Qualifications and statements of attainment comply with the requirements of the *AQF Implementation Handbook* and the relevant qualification or course.

**Further rectification evidence received 27 February 2012:**

Continuous improvement of operations

The organisation provided:

- 'Training and Assessment Guidelines' which provided information to staff regarding recording, reporting and retaining records for records management.
- A qualification and statement of attainment template which demonstrated that each comply with the requirements of the *AQF Implementation Handbook* and the relevant qualification or course.

**Strengths**

- Nil identified.

**Opportunities for improvement**

- Nil identified.