

## AQTF AUDIT REPORT

AUDIT NUMBER/S

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### RTO DETAILS

RTO Legal Name **Jenagar Pty Ltd**

NTIS Number **31963**

RTO Trading Name

**'As Above'**

Address **73 Racecourse Road Charters Towers, Qld 4820**

Website **www.?.com.au**

Phone Number **07 47871487**

Email **?@?.com.au**

### AUDIT DETAILS

Site Address **'As Above'**

Postal Address **PO Box 1905 Charters Towers Qld 4820**

Contact Person/s Details

Phone Number **07 47871487**

E-mail **?@?.com.au**

### AUDIT TEAM

Lead Auditor

**Stephen Day**

Technical Advisor/s Observer/s

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☐ Technical Adviser declaration/s has/have been provided to Lead Auditor ☒ N/A

### AUDIT DETAILS

Type of Audit

☐ Initial

☐ Post-initial

☒ Extension to scope

☐ Renewal

☐ Monitoring

☐ Complaint/Strategic

Standards audited

☒ 1.2

☒ 1.3

☒ 1.4

☒ 1.5

Conditions audited

Audit Date/s **17<sup>th</sup> of April 2011**

Audit outcome

☐ Compliant

☒ Minor non-compliance

☐ Significant non-compliance

☐ Critical Non-compliance

Date rectification evidence reviewed

Registration supported: ☐ Y ☐ N

Other audit notes

RTO initially applied for extension for DG, CV and CP however later withdrew from CV and CP. This was verified with a letter of withdrawal for CV and CP on the day of audit

INTERVIEWEE/S (Staff-name and position; employer name and position; students (by program, do not list by name)

**Garth Beauchamp**

**Manager**

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**Paul Ambrose**

**Trainer / assessor**

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NTIS Code	Qualification/Unit of Competence/Accredited Course (as per NTIS) (Delete those units not audited)	Unit Supported	
		YES	NO
<b>30497QLD</b>	<b>Course in Operating Cranes, Rigging and Scaffolding Equipment</b>		
OHSCER218A (DG)	Perform dogging operations	<input type="checkbox"/>	<input checked="" type="checkbox"/>

## 1.2 Strategies for training and assessment meet the requirements of the Training Package or accredited course and are developed in consultation with industry stakeholders

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

Audit conclusion (Refer Sample Strategy)

A description of the evidence reviewed against the Essential Element

Y	N	N/A	If the RTO does not have a documented strategy, it must provide sufficient information to address each of the criteria below.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Clear articulation of strategies</b> For each full course or unit (partial) provides sufficient information to guide trainers and assessors
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Basing strategies on data gained from effective consultation</b> Regulations or Laws governing the Industry and/or standard operating procedures, equipment and machinery used (license agreement, training plan/record (logbooks), age eligibility for assessment - minimum 18 years of age) Information about the work environment (shifts or seasonal changes to schedules) that may affect delivery and assessment Preferences about the way in which the qualification is delivered Target group characteristics
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Meeting industry/enterprise requirements</b> List of names (feedback, consultation, correspondence, etc., from various organisations/industry or licensing bodies/unions/councils/specific clients/other registered training organisations)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Meeting learners needs (Policies and Procedures)</b> Relevant prior training and/or employment (mandatory challenge test requirement for RPL process) Learning styles Physical or intellectual ability Language, literacy and numeracy Location Cultural or ethnic background Socio-economic factors
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>The training program</b> How units are packaged to meet qualification requirements How pre-requisites and co-requisites are included The mode of delivery to be used (on-line/classroom/on-the-job) Learning approaches or styles that will be used to suit the needs of learners How the needs of groups or individual learners will be met (reasonable adjustment) A recognition of prior learning strategy, where units may be packaged for assessing learners with prior experience How assessments will be conducted Mandated assessments, prerequisites, advice to assessors about how assessments will be conducted)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Specify human and physical resources to be used in the strategies</b> Training and assessment materials that will be used Trainer and assessor competencies required Facilities and equipment that will need to be available or accessed, including industry placement arrangements Simulated work environment to be used Support staff or resources that may be required to meet the needs of learners Agreements for the use of resources and facilities

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Meeting the requirements of the Training Package or accredited course</b> Specific entry requirements, where these are noted in the training package or accredited course Assessment guidelines and qualification packaging rules (course cannot be customised) Required trainer and assessor competencies Assessment evidence requirements specified in the units of competency or modules
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<b>Monitoring and improvements</b> Revised training and assessment strategies and training programs Data on consultations with trainers and assessors, learners, enterprise clients, industry organisations and where relevant, licensing bodies; and the actions taken in response to such consultations Records of staff meetings about training and assessment strategies and training programs, and the agreed actions

### Findings

☐ Compliant
 ☒ Not compliant
 ☐ Not audited
 ☐ Not applicable

#### Evidence sighted:

Learning and assessment strategy provided for OHSCER218A (DG) Perform dogging operations within the strategy for all 30497QLD course units of competency. Specific information was provided for OHSCER218A (DG) within this document.

Do you support that the organisation's strategies for training and assessment contain sufficient accurate and relevant detail about its (proposed) operations? ☐ Yes ☒ No [Must identify reason/s below]

#### Reason/s not supported:

- RTO has not provided sufficient information within the Training and assessment strategy including the following
  - Information explaining the licence application process including provision of relevant documentation.
  - More specific information relating to the human resources i.e. specific codes that each trainer is authorised to Train and assess in.
  - More detail in relation to the training timeframes and what each component represents
  - A statement identifying that course cannot be customised.
  - Specific titles of units within the course 30497QLD at the front of the document

#### Additional and/or amended evidence required for support:

- RTO must provided the following information within the Training and assessment strategy:
  - Information explaining the licence application process including provision of relevant documentation.
  - More specific information relating to the human resources i.e. specific codes that each trainer is authorised to Train and assess in.
  - More detail in relation to the training timeframes and what each component represents
  - A statement identifying that course cannot be customised.
  - Specific titles of units within the course 30497QLD at the front of the document

## RECTIFICATION EVIDENCE:

Analysis of additional/amended evidence provided on 7<sup>th</sup> of April 2011:

1. The RTO provided the following additions to the Learning and assessment Strategy:
  - Specific Information explaining the licence application process including provision of relevant documentation.
  - Specific information relating to the human resources in the form of specific codes that each trainer is authorised to Train and assess in.
  - Detailed information relating to the training timeframes and what each component of training represents
  - A statement identifying that course cannot be customised.
  - Individual units names provided on front page relating to the course 30497QLD at the front of the document

Do you support that the organisation's strategies for training and assessment contain sufficient accurate and relevant detail about its (proposed) operations? ☒ Yes ☐ No

**1.3 Staff facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's training and assessment strategies**

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

Audit conclusion

A description of the evidence reviewed against the Essential Element

Y	N	N/A	Evidence includes:
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<b>Specifying resources in each training and assessment strategy and training program</b> Check that the required resources are in place and are being used across the entire program of the organisation and processes and systems to ensure compliance are implemented
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<b>Ensuring that resources are current, sufficient and effective</b> Development date Applicable to industry Identified in training package are safe, available and operational Meet the training package requirements Enables the student to perform appropriately Use of assessment instruments either mandated or not Consider if there have been changes to the Training Package content, training & assessment activities RTO personnel, equipment & processes used by industry Operating procedures Legislation & regulations Learner's needs Delivery location and delivery mode
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Systematically reviewing and making improvements</b> Continuous improvement Consultation with Industry (feedback) Analysing review data confirming good practice and identifying where improvements need to be made
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<b>Evidence of improvement</b> Updated staff qualifications and experience Adjusted or rewritten training and assessment resources Access to new/different equipment or training/assessment materials gained Redesigned simulated work environments Training and assessment facilities changed to better meet the requirements of learners Changes to resources are consistently applied and staff know when changes have been made to resources, gain access to current resources and are using updated resources



## Findings

☐ Compliant ☒ Not compliant ☐ Not audited ☐ Not applicable

### Evidence sighted:

Training resources provided on the day of audit includes the following

1. easy guide learning support material for unit of Competency OHSCER218-Perform Dogging
2. Training plan adaptable to company/ individual requirements
3. Learners Guide for OHSCER218- Perform Dogging
4. Dogger Guide
5. Training Logbook
6. All dogging learning material relating to CPCCLDG3001A – as reference material only until they apply for this course.
7. Learning and Assessment Strategy information stating that equipment will be provided by organisation
8. Pro-former access to training location and training resource agreement
9. Letter from coates hire service indicating access to their resources
10. Continuous improvement form
11. Course evaluation form
12. Employer feedback/satisfaction form

Do you support that the organisation's strategies for training and assessment contain sufficient accurate and relevant detail about its (proposed) operations? ☐ Yes ☒ No [Must identify reason/s below]

### Reason/s not supported:

1. RTO while providing an example Access to Training location and training Resource agreement does not provided detailed information regarding plant and material access for the purpose of training and assessing for OHSCER218-Perform Dogging

### Additional and/or amended evidence required for support:

1. RTO must provide details of method of ensuring access to plant and equipment specifically for OHSCER218-Perform Dogging.

## RECTIFICATION EVIDENCE:

Analysis of additional/amended evidence provided on xx Month 20xx:

Do you support that the organisation's facilities and equipment, training materials, assessment processes and tools are relevant and adequate for its (proposed) operations? ☐ Yes ☐ No [Must identify reason/s below]

**1.4 Training and assessment is delivered by trainers and assessors who:**

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

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

Audit conclusion

A description of the evidence reviewed against the Essential Element

Y	N	N/A	Evidence includes:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Establishing and verifying that trainers and assessors are competent</b> Hold Certificate IV in Training and Assessment (TAA40104) from the Training Assessment Training Package or Demonstrate equivalent competencies or Certificate IV in Assessment and Workplace Training (BSZ98) and Demonstrate vocational competencies at least to a level of those being delivered Meet any additional competency requirements detailed in the Training Package or determined by the regulatory or licensing body (Appropriate License; Form A&C submitted).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Working together to conduct assessment</b> Where an <b>assessor</b> does not have the appropriate assessor competencies.
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<b>Direct supervision</b> Where a <b>trainer</b> does not have the appropriate training competencies.
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<b>Continuously developing competencies of trainer/assessor</b> Professional development plan, diaries, seminars, workshops, release to industry, evidence to indicate that the RTO monitors and reviews trainer/assessor performance, participation in networks or other stakeholder groups.

**Findings**

☒ Compliant
 ☐ Not compliant
 ☐ Not audited
 ☐ Not applicable

**Evidence sighted:**

Paul Ambrose:

- Paul Ambrose has authorisation to Train and assess for OHSCER218-Perform Dogging
- RTO provided an A form for Paul Ambrose for OHSCER218-Perform Dogging
- RTO has provided an Example Professional Development Log
- RTO has provided C form

Do you support that the organisation's strategies for training and assessment contain sufficient accurate and relevant detail about its (proposed) operations? ☒ Yes ☐ No [Must identify reason/s below]



### 1.5 Assessment including Recognition of Prior Learning (RPL):

- a) meets the requirements of the relevant Training Package or accredited course
- b) is conducted in accordance with the principles of assessment and the rules of evidence, and
- c) meets workplace and, where relevant, regulatory requirements

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

Audit conclusion

A description of the evidence reviewed against the Essential Element

Y	N	N/A	Evidence includes:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Meeting the requirements</b> Training Package has been fully unpacked including the evidence guide, assessment guidelines, units of competency, elements, performance criteria and range statements RTO uses mandated assessment instruments. Components of the Training Package or accredited course for non- licensed units to be taken into account when designing assessment, i.e. White Card, include the evidence guide, assessment guidelines, units of competency, elements, performance criteria and range statements.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Ensuring consistency with the training and assessment strategy</b> Assessor's are provided with an accurate guide to the way in which the assessment is structured, strategy should explain the assessment tools to use and the characteristics specific to the workplace or candidate, that need to be accommodated in assessment)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Meeting the principals of assessment</b> <b>Validity</b> The process is sound and assesses what it claims to. <b>Reliability</b> Evidence presented is consistently interpreted and results in consistent assessment outcomes. <b>Flexibility</b> Reflecting the candidate's needs and recognises candidate's competencies. <b>and</b> <b>Fairness</b> Takes into account any reasonable adjustments in assessment that need to be applied.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Documenting the standard of performance required</b> Competency standards and assessment guidelines or assessment requirements in accredited courses provides advice on the application of knowledge and skills to the standard of performance required. The whole unit of competency is assessed. Reference to the key competencies/employability skills, the range statement and the evidence guide – including the context of assessment and the critical aspects of evidence – guides the development of appropriate assessment tools.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Ensuring that evidence is Sufficient, Valid, Authentic and Current</b> Provision of comprehensive instruments and clear information to the assessor and the candidate about the conditions under which the assessment is conducted and recorded, assessment moderation activities <b>Sufficient</b> Relates to the quality and quantity of evidenced assessed. Requires the collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that the competency can be demonstrated repeatedly. <b>Valid</b> Assessment against the units of competency must cover the broad range of skills and knowledge that are essential to competent performance. Assessment of knowledge and skills must be integrated with their practical application. Judgement of competence must be based on sufficient evidence (that is, evidence

			gathered on a number of occasions and in a range of contexts using different assessment methods). Refer the specific evidence requirements of each unit of competency for advice on sufficiency. <b>Authentic</b> An assessor must be assured that the evidence presented for assessment is the candidate's own work. <b>Current</b> The age of the evidence presented by the candidate demonstrates that they are still competent. Competency requires demonstration of current performance, so the evidence collected must be from either the present or the very recent past.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Incorporating workplace and regulatory/licensing requirements</b> Assessment conducted by an approved assessor (if required by regulator) Assessment is only conducted using approved materials (if required by regulator) RTO has licence/authority from course owner to use an accredited course Condition 3 requirements of the AQTF Standard are met. Regulatory bodies consulted, WH&S Regulation, License Agreement conditions met, minimum age requirements, formal training and informal learning, training plan, training record (logbook), mandated challenge tests for RPL, Statement of Attainment, Assessment Summary (AS1 or AS2), Application process.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Making consistent judgements</b> Compare and refine assessment tools, validate assessment processes and outcomes against the same unit of competency
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<b>Improving systems, processes, tools and practices</b> Actions taken in response to data from stakeholders, revised assessment tools etc., professional development of assessors, assessment records kept for appropriate period (WHSQ 5 years), benchmarking.

#### Student records reviewed

Evidence was reviewed pertaining to the following students:

☒ N/A - Assessment has not been conducted

Student Name	Qual/Course/Unit	Result issued	Comments

#### Findings

☒ Compliant      ☐ Not compliant      ☐ Not audited      ☐ Not applicable

#### Evidence sighted:

Assessment purchased and maintained by the RTO. This is maintained in a separate booklet with information sheet attached which provides outcomes regarding each assessment.

Do you support that the organisation's strategies for training and assessment contain sufficient accurate and relevant detail about its (proposed) operations?      ☒ Yes      ☐ No      [Must identify reason/s below]