

AQTF 2007 AUDIT REPORT

RTO DETAILS			
RTO Name	Asset Training	NTIS Number	60083
Address	5/31 Cambridge Road, Bellerive		
		Website	
Registration Contact	Mr Russell Allie – General Manager		
Phone Number	03 6244 6642	E-mail	rallie@asset-training.com
Student Numbers	240		
AUDIT TEAM			
Lead Auditor	Estelle Clerk	Auditor/s	Sonia Cook
Technical Advisor/s		Observer/s	
REGISTERING BODY DETAILS			
Contact Person	Estelle Clerk		
Phone Number	03 6216 4246	E-mail	Estelle.clerk@tqa.tas.gov.au
AUDIT DETAILS			
Type of Audit	Renewal		
Standards audited	All		
Conditions audited			
Audit Date/s	10 September 2009		
Audit outcome	<input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Significant Non-compliance <input type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical Non-compliance		
Other audit notes			
FOCUS OF AUDIT			
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE			
NTIS Code	Qualification/Unit of Competence/Accredited Course (as per NTIS)		Delivery Site
THHBFB09B	Provide Responsible Service of Alcohol		
PRM30104	Certificate III in Asset Maintenance (Cleaning Operations)		
HLT32807	Certificate III in Health Support Services		
INTERVIEWEE/S (Staff -name and position; employer name and position ; students (by program, do not list by name)			
Mr Russell Allie	General Manager		
Ms Elizabeth Andrews	Senior Administrator		

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

Audit conclusion	Result	✓
<p>Asset Training is compliant with Standard 2.</p> <p>Asset Training collects information about whether the RTOs services meet the needs of clients by gathering feedback about the quality of service, frequency of visits, thoroughness of the training and quality of the training and assessment process from learners and employers. The RTO maintains relationships with local employers in the industry areas they offer qualifications in and the RTO Manager visits employers and informally discusses the RTOs services to ensure employers needs and industry expectations are met. The RTO provided examples of updates to meet client needs including consulting with employers about the resources used and reviewing documentation and processes.</p> <p>The RTO ensure clients are adequately informed about the qualifications, learning, assessment and support services and their rights and obligations prior to entering a contract or enrolling with the RTO. The RTO provides learners with information about their services during the induction / sign up process. Learners receive information in an enrolment kit which is explained to them by the trainer/assessor. This kit includes information about the qualification, the RTOs guidelines for unit selection, the training plan, the industry learning kit, program delivery strategy, delivery guidelines and the RTOs code of practice.</p> <p>Employers are informed about the RTOs services using a marketing kit which includes information about traineeships, client service standards, industry specific information relating to the qualifications the RTO offers, and the RTOs fee schedule.</p> <p>The RTO negotiates the training plan with the learner and the employer and during the sign up process. The responsibilities of each of the parties are clarified including the employer providing support, training and time for assessments in the workplace. The RTO has negotiated with individual employers how they wish to monitor the learning and assessment. Some employers are informed of progress during site visits from the trainer/assessor and others are informed when the trainer/assessor or RTO manager contacts the employer.</p> <p>Asset Training try to identify learners needs during the induction process and ask learners to self disclose any barriers to competing their training program. The enrolment form asks a series of questions about literacy skills, past education and training and any disability or impairments. The RTO also asks learners to complete a client needs learning survey. Examples of a range of support arrangements the RTO has used were described in the program delivery strategies. Support options included reasonable adjustment, supporting disadvantages learners particularly participants in Productivity Places programs.</p> <p>Learners are informed they have a right to access current and accurate records of their participation and progress during the sign up process. Information about gaining access to records and the RTO's privacy policy were sighted during the audit. The RTO has processes for maintaining accurate and up-to-date hard-copy files and VETtrack records.</p> <p>Asset Training has not received any formal complaints or appeals. There have been occasions where there have been constructive comments or negative feedback which the RTO has managed through feedback and continuous improvement processes. The formal processes for managing complaints and appeals are outlined in the RTO's code of practice and supporting policies and procedures.</p>	Compliant	✓
	Non-compliant	
	Not audited	
Strengths		

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

Audit conclusion	Result	✓
<p>Asset Training is non compliant with Standard 3. The RTO is compliant with Standard 3.3. The RTO is non compliant with Standard 3.1. See specific element report for details on non compliance. Standard 3.2 is not applicable to the RTOs operations and was not audited.</p> <p>Asset Training was non-compliant with element 3.1 as the management system did not reflect current practice and was very comprehensive given the size of the organisation.</p> <p>Asset provided evidence at audit of how records are managed effectively. The RTO utilises several policies and procedures for records management, these included a Records Register, Records Keeping Policy, Version Control Policy/Procedure and Request to Change/Create Category A Documents. These procedures provide staff with information relating to hard copy and electronic record retention, storage, backup, archival and retrieval. There was evidence that records are systematically managed and records management procedures reflected current practice.</p>	Compliant	
	Non-compliant	✓
	Not audited	

Strengths

The RTO General Manager and Senior Administrator work cohesively to identify and action administrative and continuous improvement activities.

Opportunities for Improvement

The Mutual Recognition and Credit Transfer Policy refers to incorrect terminology. The correct terminology is now 'National Recognition'.

- 1.4 Training and assessment is delivered by trainers and assessors who:**
- a) have the training and assessment competencies determined by the National Quality Council or its successors
 - b) have the relevant vocational competencies at least to the level being delivered or assessed, and
 - c) 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.

Evidence	Result	
<p>Asset Training currently utilises 7 trainers/assessors. Staff files which included copies of qualifications relating to training and assessment and vocational competence were sighted. The RTOs 'AQTF 2007 Requirement Report' states that copies of all trainer/assessor qualifications will be kept on file. There was one file unavailable at the time of audit for Carol Faulkner, therefore auditors were unable to confirm that all of the RTOs trainers and assessors meet the requirements for Standard 1.4.</p>	Compliant	✓
	Non-compliant	✓
	Not audited	
	Not applicable	

Procedures sighted at audit stated that all trainers/assessors would complete a professional development log which would include formal and informal PD activity, records of consultation with industry and attendance at seminars and workshops. Procedures stated that trainers/assessors must achieve a minimum of 30 hours PD each year and submit PD logs to the Manager every three months. This procedure did not reflect the RTOs current practice. Professional development records were sighted in some staff files and not in others.

There were also inconsistencies noticed in the staff files, for example some included PD activity, others did not. Some qualification certificates on file were signed and dated as having been sighted against the original copy, others were just copies without any information regarding verification of the authenticity against the original certificate.

The RTOs policies and procedures referred to a register of all trainers/assessors, but when auditors requested to see this register they were advised that it was not up to date. Policies and procedures including documents and registers used by the RTO should reflect current practice.

Findings

There was insufficient evidence at audit that all of the RTOs trainers and assessors have the required training and assessment and vocational competencies.

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

3.1 A systematic and continuous improvement approach to the management of operations is used.

Intent The management system ensures that the RTO meets:

- the *AQTF 2007 Essential Standards for Registration*
- legislation and regulations under which it is registered.

Evidence

The General Manager is responsible for the management of the operations of the RTO and uses planning tools, management meetings, internal audits, informal reviews and management system documentation to manage operations. The management system consists of a range of documented processes in place to manage the operations of the RTO. During the audit a range of documentation including policies, procedures, forms, reports and templates were sighted.

Team meetings have been held regularly in the past. In recent months there have been some staff changes and meetings have not occurred as regularly. The RTO has recently restructured and intends to recommence regular meetings. Management review meetings are held on a biannual basis.

The RTO does have a very comprehensive management system which includes detailed documentation. The auditors questioned whether the RTO requires the level of documentation given its size and scope. Given the requirements to systematically continuously improve to ensure the RTO has a system that articulates its current practice and ensures control over operations
The RTO manager advised his preference was to maintain the current system.

Some policies and procedures sampled during the audit did not match the RTOs current practice. For example the continuous improvement policy included a range of actions. In practice the RTO manager and senior administrator informally discuss feedback, practices or information and make a decision to improve processes or documentation. Continuous improvement of the management system has occurred, but it is not consistent with the RTOs policy and was not done on a systematic basis. Similarly, Asset Training has procedures regarding the professional development and competencies of trainers and assessors which require the completion of a professional development log but this was not consistently implemented.

Result	✓
Compliant	
Non-compliant	✓
Not audited	
Not applicable	

Findings

Asset Training's management system does not reflect the RTOs current practice.