

# AQTF Audit Report

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## Engineering Training Australia Pty Ltd – NTIS 31820

FM-PMA-34A

TRIM No: 09/182321

Version 5 – 24 February 2010

Training and International Quality

| Organisation details                  |  |                |              |
|---------------------------------------|--|----------------|--------------|
| Registration expiry                   | 23/12/2013   |                |              |
| Principal address                     | Unit 1, 5 Activity Crescent, MOLENDINAR QLD 4214   |                |              |
| RTO contact                           | Kevin Jarick   | Phone number   | 07 5564 7023 |
| Operations                            | <ul style="list-style-type: none"> <li>The core business of the RTO is skills assessment for existing workers in fabrication and mechanical engineering industries. Assessments are undertaken across a range of states and territories in Australia and in a number of overseas locations, including UK, Ireland, South Africa, Philippines, Dubai and New Zealand.</li> <li>All delivery is through a skills assessment process.</li> <li>The RTO does not deliver to apprentices or trainees.</li> <li>There are no partnering arrangements.</li> <li>Government funding contracts to the end of June 2010 for the financial year have been:               <ul style="list-style-type: none"> <li>Skills First full qualification 8 places x \$2750 = \$24000</li> <li>Skilling Solutions (RPL) 25 x 1000 = \$25k.</li> </ul> </li> <li>Approximate number of <u>completions</u> in past year per qualification:               <ul style="list-style-type: none"> <li>MEM30305 Certificate III in Engineering – Fabrication Trade (18)</li> <li>MEM30205 Certificate III in Engineering – Mechanical Trade (12).</li> </ul> </li> <li>Approximate number of <u>current enrolments</u> per qualification:               <ul style="list-style-type: none"> <li>MEM30305 Certificate III in Engineering – Fabrication Trade (36)</li> <li>MEM30205 Certificate III in Engineering – Mechanical Trade (12).</li> </ul> </li> </ul> |                |              |
| Audit team                            |  |                |              |
| Lead auditor                          | Janet Maxwell  | Auditor/s      | Nil          |
| Phone                                 | 0404 847 803   | Adviser/s      | Nil          |
| E-mail                                | <a href="mailto:plp888@bigpond.com">plp888@bigpond.com</a>   | Observer/s     | Nil          |
| Audit details                         |  |                |              |
| Reason/s for audit                    | Post-initial   |                |              |
| Audit date/s                          | 30 April 2010  | Audit number/s | 31820-1A     |
| Standards audited                     | 1.1, 1.2, 1.4, 1.5, 2.1, 3.1   |                |              |
| Conditions audited                    | NIL  |                |              |
| Audit outcome on day of audit         | Compliant <input type="checkbox"/> Significant non-compliance <input type="checkbox"/><br>Minor non-compliance <input checked="" type="checkbox"/> Critical non-compliance* <input type="checkbox"/><br><small>[*Critical non-compliance cannot be determined if no delivery has occurred]</small>   |                |              |
| Rectification received                | 26 May 2010  |                |              |
| Audit outcome following rectification | Compliant <input checked="" type="checkbox"/> Significant non-compliance <input type="checkbox"/><br>Minor non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>  |                |              |
| Other audit notes                     | <ul style="list-style-type: none"> <li>Nil</li> </ul>  |                |              |



| Focus of audit                        |  |  |   |
|---------------------------------------|--|--|---|
| Code                                  | Qualification / Course / Unit title                | Regulated                                    | Delivery venues                                   |
| MEM30305                              | Certificate III in Engineering – Fabrication Trade | <input type="checkbox"/>                     | Domestic and international skills assessment only |
| MEM30205                              | Certificate III in Engineering – Mechanical Trade  | <input type="checkbox"/>                     |   |
| Interviewee/s (incl. position)        |  |  |   |
| Kevin Jarrick, Managing Director      |  | Geoff Wilson, Quality and Compliance Manager |   |
| Peter Ball, Senior Trainer & Assessor |  |  |   |

| Standard 1: The RTO provides quality training and assessment across all of its operations |  | Examined                            |
|---|--|-------------------------------------|
| Elements  |  |                                     |
| 1.1   | The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.  | <input checked="" type="checkbox"/> |
| 1.2   | Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry stakeholders.   | <input checked="" type="checkbox"/> |
| 1.3   | Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.   | <input type="checkbox"/>            |
| 1.4   | Training and assessment are conducted by trainers and assessors who: <ul style="list-style-type: none"> <li>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors</li> <li>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</li> <li>c) continue developing their vocational and training and assessment competencies to support continuous improvements in delivery of the RTO's services.</li> </ul> | <input checked="" type="checkbox"/> |
| 1.5   | Assessment, including Recognition of Prior Learning (RPL): <ul style="list-style-type: none"> <li>a) meets the requirements of the relevant Training Package or accredited course</li> <li>b) is conducted in accordance with the principles of assessment and the rules of evidence</li> <li>c) meets workplace and, where relevant, regulatory requirements.</li> </ul>  | <input checked="" type="checkbox"/> |

| Audit findings  |  |
|---|--|
| <b>At time of audit:</b><br><input type="checkbox"/> Compliant<br><input checked="" type="checkbox"/> Not Compliant   | <b>Following rectification received 26/05/10:</b><br><input checked="" type="checkbox"/> Compliant<br><input type="checkbox"/> Not Compliant |
| <b>Findings:</b><br>The RTO did not demonstrate compliance with all elements audited in standard 1.   |  |
| <p>Whilst there was some evidence of ongoing continuous improvement, the RTO did not demonstrate a consistent approach to the collection and analysis of client feedback. The current systems are ad hoc and do not provide for the effective improvement of training and assessment services based on information and data received from feedback. The RTO has developed a range of survey instruments; however, were only able to locate two learner questionnaires required for quality indicator data. The RTO indicated that significant feedback is received verbally; however, there was no evidence that this feedback was being recorded effectively or was being used to inform continuous improvement.</p> <p>The RTO has outlined an internal self-assessment process that will include a 360 degree feedback process every six months. The self-assessment will include corporate stakeholder validation every three months; training moderation every two months; and analysis and planning meetings on a monthly basis. The RTO has engaged a business planning consultant to work with the RTO to identify strategic directions and undertake business planning.</p> <p>The RTO has developed formal training and assessment strategies for each of the qualifications and these take into account how skills assessment processes will be undertaken. The strategies clearly indicate how RPL is managed; clear description of</p> |  |





the target group for the strategy; provision for client customisation; identification of the physical resources required for the skills assessment process; and trainers/assessors have been identified at the unit competency level for assessment purposes. The RTO has developed foundation information that is used with clients during the initial phase. Specific training and assessment strategies are developed in consultation with corporate clients for specific industry groups, where specific electives are required. These formal documents are signed off by the industry client with the RTO.

The RTO has nominated trainers and assessors who have the necessary training and assessment competencies; the relevant vocational competencies at least to the level being delivered or assessed; and who were able to provide evidence of the continued development of their vocational and training and assessment competencies.

There are opportunities for ongoing professional development in relation to training and assessment.

The RTO conducts skills assessments as part of an RPL process. There is no direct delivery of training. The RTO has developed a range of documents to support the skills assessment and to provide support to students and clients throughout the skills assessment process. The assessment tools are consistently applied; however, there were gaps in the information being collected through the use of 'closed questions' in the employer and client assessment kit.

The following four (4) units of competency were examined at audit:

- *MEM18024B Maintain engine cooling systems*
- *MEM18302B Maintain induction/exhaust systems*
- *MEM05007C Perform manual heating and thermal cutting*
- *MEM05005B Carry out mechanical cutting*

**Non-compliances:**

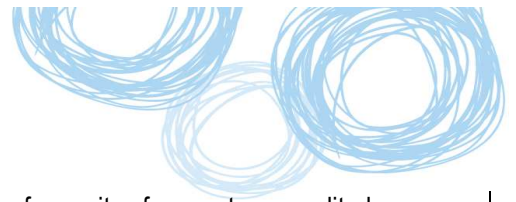
1. The process for capturing client feedback data; the analysis of data; and the review of feedback is not systematic. The RTO was not able to provide evidence that information from feedback was being used to inform continuous improvement.
2. The RTO has an ad hoc process for recording participation in professional development activities for vocational and training/assessment competencies. Although trainers and assessors are required to engage with business, industry and other trainers in the moderation and validation of courses, delivery and assessment; there was little formal evidence provided to demonstrate this engagement.
3. The skills assessment questions used for both qualifications do not provide sufficient evidence upon which a competency judgment can be made consistently across a range of students in relation to required skills.
4. There are no benchmark criteria against which assessment of skills takes place.

**Rectification required:**

1. The RTO is requested to develop a system for the regular collection, review and analysis of feedback from students, clients and stakeholders. This system should indicate when data is being collected; from whom; and how it is intended to be analysed.
2. The RTO is requested to develop and implement a system to record participation in professional development activities for vocational and training/assessment competencies. The process It is recommended should capture information regarding the industry currency and ongoing professional development of trainers and assessors. The information should be captured consistently across the organisation.
3. For each of the four units of competency audited the RTO is requested to develop additional 'open questions' that will enable sufficient evidence of workplace experience and required skills to be collected as part of the suite of RPL evidence.
4. For each of the four units of competency audited the RTO is requested to develop benchmark criteria for the newly developed assessment of required skills.

**Rectification evidence received 26 May 2010:**

1. The RTO provided evidence of a system for the regular collection, review and analysis of feedback from students and clients that indicate the specific data to be collected, and how the RTO intends to analyse and act on the data.
2. The RTO provided evidence that it has now developed an RTO-wide consistent system to record the participation of staff in professional development activities for vocational and training/assessment competencies. The process captures information regarding industry currency and ongoing professional development of trainers and assessors.



3. The organisation has redeveloped its competency questions for each of the four units of competency audited:

- MEM18024B Maintain engine cooling systems
- MEM18302B Maintain induction/exhaust systems
- MEM05007C Perform manual heating and thermal cutting
- MEM05005B Carry out mechanical cutting

The new questioning processes will enable sufficient evidence of workplace experience and required skills to be collected as part of the suite of RPL evidence. For each of the units of competency audited the assessment instruments now appropriately cover all aspects of the required skills and will enable sufficient evidence of workplace experience to be collected.

4. The RTO is provided benchmark criteria for the newly developed assessment of required skills that will ensure consistency of assessor judgment.

The RTO provided evidence of a revised continuous improvement process and register to capture details of continuous improvement activities across the organisation in relation to data collection, review of feedback, management systems and organisational documentation.

#### Strengths

- The RTO has developed a process for moderation or 'MODCOM' meetings that are held within three days of the student concluding the RPL skills assessment, enabling the qualifications to be issued within five working days.
- The RTO has developed a mentoring process that is used by the Senior Trainer with new trainers and assessors. This process involves four assessments. The Senior Trainer, with new trainers and assessors, evaluate how they use the training package to elicit information from the client undertaking RPL. Mentoring covers questioning techniques; ability to communicate with the client and student; and personal attitude on site. The process includes a debrief session in relation to performance and identifies weaknesses (OFI); strengths and time management. This is part of a 12 month peer appraisal process for trainers and assessors.

#### Opportunities for Improvement

- It is recommended that the RTO provides additional information for the continuous improvement and self-assessment processes they have outlined and that this include performance appraisal as identified by the Quality and Compliance Manager.
- It is recommended that the self-assessment questions include specific questions in relation to Australian standards and legislation, especially when overseas assessments are being undertaken.

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

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

#### Audit findings

At time of audit:

- Compliant  
 Not compliant

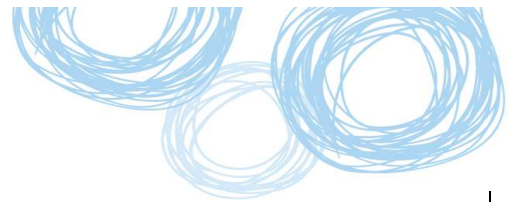
Following rectification received 26/05/10:

- Compliant  
 Not Compliant

#### Findings:

The RTO did not demonstrate compliance with the element audited for Standard 2.

The RTO has ad hoc processes for the collection of data from students and clients (see comments in Standard 1). The RTO was able to demonstrate client satisfaction with the skills assessment processes through discussion of emails, phone conversations and meetings with industry.



The RTO was able to demonstrate that it provides clients with a significant amount of information prior to enrolment. The RTO works closely with industry to identify specific training and skills assessment needs.

**Non-compliances:**

1. The RTO does not have a systematic process for collecting, analysing and acting on relevant data from clients in students (see Standard 1).

**Rectification required:**

1. As part of the rectification required for Standard 1, the RTO is requested to include information on how it will improve client services which is based on information collected and analysed from clients.

**Rectification evidence received 26 May 2010:**

1. The RTO provided evidence of a system for the regular collection, review and analysis of feedback from students and clients that indicate how the data collected from students and clients will be analysed and acted on as part of continuous improvement processes.

**Strengths**

- Nil identified.

**Opportunities for Improvement**

- Nil identified.

**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 uses a systematic and continuous improvement approach to the management of operations.  | <input checked="" type="checkbox"/> |
| 3.2 The RTO monitors training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the <i>AQTF 2007 Essential Standards for Registration</i> . | <input type="checkbox"/>            |
| 3.3 The RTO manages records to ensure their accuracy and integrity.  | <input type="checkbox"/>            |

**Audit findings**

**At time of audit:**

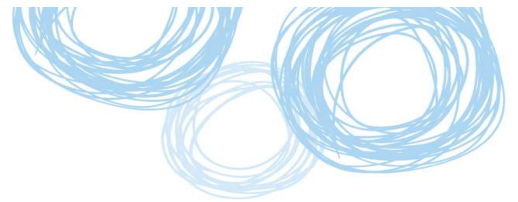
- Compliant**  
 **Not Compliant**

**Findings:**

The RTO management system has been designed to meet the size and scope of the organisation. The RTO has engaged a Quality and Compliance Manager to oversee the management system. Trainers, assessors and administrative staff know and meet their responsibilities for implementing the system. The organisation systematically monitors and improves the operational aspects of the system.

All staff members are involved in continuous improvement activities and the performance of staff will be reviewed as a component of continuous improvement.

The organisation has developed a process for internal auditing and self-assessment to provide a focus for continuous improvement. Risk management forms part of the continuous improvement processes and includes AQTF risks. The RTO reviews documentation that it uses to support the quality management system. Documents provided as evidence included policies, procedures, work instructions, handbooks, manuals and electronic management system data. The organisation has appropriate processes in place to ensure that superseded documents are withdrawn from use.



|   |
|---|
| <b>Strengths</b>  |
| <ul style="list-style-type: none"><li>• Nil identified.</li></ul>   |
| <b>Opportunities for improvement</b>  |
| <ul style="list-style-type: none"><li>• As part of the administration of student records it is recommended that the RTO develops a process to ensure only one student file is kept as a hardcopy.</li></ul> |