

AQTF Audit Report – Continuing Registration

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FM-PMA-34A

TRIM No: 09/182321

Version 10 – September 2010

Training and International Quality

Security Institute – NTIS # 31962

Organisation details			
Registration expiry	29-04-2014		
Principal address	5/16 Nile Street, Woolloongabba Qld 4102		
RTO contact	Geoff Schurer	Phone number	07 3392 1044
Operations	<ul style="list-style-type: none"> • Core clients are /trainees, international, RPL etc) • Delivery is face to face. • No partnering arrangements are in place • There are no government funding contracts • Approximate number of completions in past year per qualification/course/unit: <ul style="list-style-type: none"> ○ 30655QLD Course in Firearms Safety (approved for firearms licensing in Queensland) 38 ○ CPP30407 Certificate III in Security Operations 60 ○ CPCCOHS1001A Work safely in the construction industry 17 • Approximate number of current enrolments per qualification/course/unit: <ul style="list-style-type: none"> ○ 30655QLD Course in Firearms Safety (approved for firearms licensing in Queensland) 40 ○ CPP30407 Certificate III in Security Operations 60 ○ CPCCOHS1001A Work safely in the construction industry 17 		
Audit team			
Lead auditor	Bill Cadden	Auditor/s	
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Audit details			
Reason/s for audit	Post-Initial		
Audit date/s	30/11/2010	Audit number/s	3196216717A
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.2, 2.3, 3.2, 3.3, 3.4		
Conditions audited	NIL		
Audit outcome on day of audit	Compliant <input type="checkbox"/>	Significant non-compliance <input type="checkbox"/>	
	Minor non-compliance <input checked="" type="checkbox"/>	Critical non-compliance <input type="checkbox"/>	
Rectification received	30/11/2010		
Audit outcome following rectification	Compliant <input checked="" type="checkbox"/>	Significant non-compliance <input type="checkbox"/>	
	Minor non-compliance <input type="checkbox"/>	Critical non-compliance <input type="checkbox"/>	
Other audit notes	<ul style="list-style-type: none"> • The RTO advised in writing that it has not yet commenced delivery in the following qualifications and intends to commence delivery in mid 2011: <ul style="list-style-type: none"> ○ RII32109 Certificate III in Timber Bridge Construction and Maintenance [partial] ○ CPP40707 Certificate IV in Security and Risk Management. ○ CPP50607 Diploma of Security and Risk Management. 		
Focus of audit			



Code	Qualification / Course / Unit title	Regulated	Delivery venues
30655QLD	Course in Firearms Safety	<input checked="" type="checkbox"/>	Brisbane and Gold Coast. Practical at Ipswich Pistol Club
CPP30407	Certificate III in Security Operations	<input checked="" type="checkbox"/>	
CPC10108	Certificate I in Construction	<input checked="" type="checkbox"/>	
Interviewee/s (incl. position)			
Mr Geoff Schurer, CEO Ms Narelle Duncan, Quality Manager Ms Brooke Wagstaff, Client Coordinator			

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Standard 1: The RTO provides quality training and assessment across all of its operations

Elements	Examined
1.1 The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.	<input checked="" type="checkbox"/>
1.2 Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry stakeholders.	<input checked="" type="checkbox"/>
1.3 Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.	<input checked="" type="checkbox"/>
1.4 Training and assessment is delivered by trainers and assessors who: <ul style="list-style-type: none"> a) have the necessary training and assessment competencies as 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) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence. 	<input checked="" type="checkbox"/>
1.5 Assessment, including Recognition of Prior Learning (RPL): <ul style="list-style-type: none"> 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 c) meets workplace and, where relevant, regulatory requirements d) is systematically validated. 	<input checked="" type="checkbox"/>

Audit findings

At time of audit:

- Compliant
 Not Compliant

Following rectification received 30/11/10:

- Compliant
 Not Compliant

Technical advice has been incorporated into the findings for this standard for the following accredited course and qualification:

- 30655QLD Course in Firearms Safety (approved for licensing purposes in Queensland)
- CPP30407 Certificate III in Security Operations

Findings:

The RTO has implemented a systematic improvement approach to its training and assessment activities, strategies for training and assessment, assessment validation meetings, staff (including trainers and assessors), facilities, equipment, training and assessment materials, and assessment tools. This process is informed by; regular information updates and consultations with industry/government organisations and end of program and ongoing stakeholder feedback (students, employers and trainers/assessors), a yearly internal audit process and six monthly management reviews.

The RTO provides regular professional development opportunities to its trainers/assessors and monitors their requirement to



hold the required licensing.

Non-compliances:

The RTO did not identify in its marketing materials and strategy for training and assessment that the first aid unit *HLTFA301B Apply first aid* is delivered and assessed by another RTO (1st Aid Alive) and that a separate statement of attainment will be issued to students by 1st Aid Alive.

Rectification required:

The RTO is to provide an amended strategy for training and assessment and marketing material identifying that students will enrol in *HLTFA301B Apply first aid* with the RTO 1st Aid Alive who will issue the Statement of Attainment for this unit.

Rectification evidence received 30 November 2010:

The RTO provided, at audit, an amended strategy for training and assessment and amended marketing material identifying that students will enrol in *HLTFA301B Apply first aid* with the RTO 1st Aid Alive, who will be responsible for issuing the Statement of Attainment for this unit.

Strengths

- The RTO maintains close contact with the security industry and provides students with an industry relevant simulated training environment.

Opportunities for Improvement

- It is suggested that the RTO broaden its scope of industry consultation relating to the unit of competency *CPCCOHS1001A Work safely in the construction industry*.

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 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

Findings:

The RTO collects feedback from its students and trainers/assessors on at least a monthly basis using the following process; students and trainers/assessors complete a 'Security Institute Critique Sheet – Your opinion is valuable' questionnaire and students also complete a 'Participant Feedback Sheet' at the completion of the program/course. This feedback is then analysed and the findings referred to the Director for appropriate action.

One example was that grammatical errors identified in this feedback relating to the security training workbooks, was corrected.

The RTO has implemented a checklist of questions to ask prospective clients, at first point of contact, to ensure that the qualification/accredited course they are enquiring about are appropriate to their training/licensing needs and expectations.

Applicants who wish to proceed are provided with a comprehensive pre enrolment package that includes a current student handbook and marketing material, prior to enrolment. The RTO also provides access to course enrolment details on its website. The website is currently undergoing an update to improve client service.

Strengths

- The RTO is committed to ensuring that the training it offers is relevant to the clients' needs and expectations.

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'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 30/11/10:

- Compliant
 Not Compliant

Findings:

The RTO recently reviewed its 'Student Handbook'. The handbook is comprehensive and contains a Code of Practice, Admissions/enrolment/course information/fees and charges, refund policy & exemptions, LLN support, student support, records retention information, flexible learning and assessment options, complaints and appeals procedures, disciplinary procedures, access and equity, RPL, human & physical resources, procedure for issuing certificates, and its legislation and privacy policy. The RTO has a 'Continuous Improvement of Client Service Procedure' implemented that incorporates an internal review process to maintain and improve client service standards.

Continuous improvements that are identified are entered into a 'Continuous Improvement Register' that includes headings for: details, risk rating, responsible person, action required, timeframe for completion and date completed and approved.

As the RTO enrolment grows the RTO will include another column in the register to accommodate a system improvement request form.

The next AQTF 'Internal Audit' is scheduled for February 2011.

The RTO has made improvements to its management system and these were sighted i.e. update to electronic filing system, purchase of Wisenet and an update of its website.

Since its initial audit the RTO has appointed a Quality Manager.

Non-compliances:

The RTO could not provide the completed practical observation checklists for Rivermount Community Group students who undertook assessment in the unit of competency; *CPPOHS1001A Work safely in the construction industry* in June 2010, however, the practical assessment and written assessment marking record listing the competencies achieved by these students was available.

Rectification required:

The RTO is required to implement document management processes to ensure that all worked assessment records are returned by the trainer/assessor to the RTO's central office for retention after assessment has taken place.


Rectification evidence received 30 November 2010

The RTO provided evidence at audit that it had implemented an 'end of course checklist of assessment tools' that is to be followed by all trainers/assessors when managing the flow of worked assessment tools and records under their care.

The checklist requires that the 'Attendance Register', 'Scenario Observation Checklist', 'Underpinning knowledge test', and 'Assessment Record' are all accounted for and received by the instructor and that these documents have been lodged at the RTO central office.

Strengths

- Nil identified

Opportunities for improvement

- Nil identified