

AQTF Audit Report

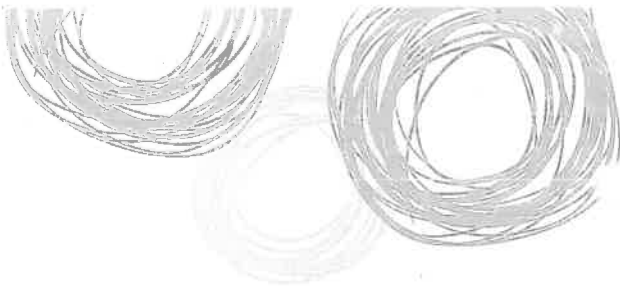
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**ALPHA TO OMEGA PTY LTD trading as
Choice Training – 30122**

FM-PMA-34A
TRIM No: 09/182321
Version 1 - 9 October 2009
Training and International Quality

RTO details			
Registration expiry	20/03/2010		
Principal address	11 Ingham Road, WEST END, QLD, 4810		
RTO contact	Kathryn Chapman	Phone number	07 4772 3530
Operations	<ul style="list-style-type: none"> Core clients are fee for service large corporate organisations such as local councils and Ergon Energy. The organisation is in receipt of WELL Program funding which is administered by DEEWR to assist organisations to train workers in English language. Training is delivered face to face in small groups at the organisation's or employer's premises. The organisation also provides non-accredited training. A partnering arrangement for BSB10107 Certificate I in Business is due to be finalised in the coming months. The organisation's main focus is the delivery of TAA40104 Certificate IV in Training and Assessment. Across the organisation's entire scope approximately 120 students have completed qualifications in the last twelve months. The organisation has approximately 20 current enrolments. 		
Audit team			
Lead auditor	Pauline Bowtell	Auditor/s	N/A
Phone	07 4760 7610	Adviser/s	Narelle Duncan
E-mail	pauline.bowtell@deta.qld.gov.au	Observer/s	N/A
Audit details			
Reason/s for audit	Renewal and Strategic Industry (TAA40104 Certificate IV in Training and Assessment)		
Audit date/s	23 February 2010	Audit number/s	30122-9A
Standards audited	1.1, 1.2, 1.4, 1.5, 2.1, 3.1, 3.2		
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"/> <small>[*Critical non-compliance cannot be determined if no delivery has occurred]</small>		
Rectification received	26 March 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 has received PPP funding under brokerage arrangements from several industry bodies for the delivery of TAA40104 Certificate IV Training and Assessment. During the audit the organisation provided an RTO2 withdrawing SIR30307 Certificate III in Wholesale from the scope of registration. 		





Focus of audit				
Code	Qualification/Course/Unit title	Regulated outcome	Delivery venues (list specific sites)	Govt funding (eg UC, PPP)
39163QLD	Course in Vocational Numeracy 3	<input type="checkbox"/>	Townsville and clients' premises	N/A
39213QLD	Course in Volunteer Tutoring	<input type="checkbox"/>		
BSB10107	Certificate I in Business	<input type="checkbox"/>		
BSB40807	Certificate IV in Frontline Management	<input type="checkbox"/>		
TAA40104	Certificate IV in Training and Assessment	<input type="checkbox"/>		
Interviewee/s – Staff (and position); Employers; Students				
Kathryn Chapman – Managing Director				





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

Elements	Examined at audit
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"> 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) continue developing their vocational and training and assessment competencies to support continuous improvements in delivery of the RTO's services. 	<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. 	<input checked="" type="checkbox"/>

Audit findings

At time of audit: <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant	Following rectification received 26/03/2010: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
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Technical advice has been incorporated into the findings for this standard for the following qualifications:
 • TAA40104 Certificate IV in Training and Assessment.
 Element 1.3 was not examined.

Findings:
 Improvements to training and assessment have been based on the collection of data from:

- trainers and assessors – post course
- clients – pre and post delivery
- students – post course.

Staff meetings held on a monthly basis address opportunities for improvement with all staff. As TAA40104 Certificate IV in Training and Assessment is the organisation's main focus recent continuous improvement activities have been in preparation for transition to the TED10 (nb. now TAE10) Training and Education Training Package, once endorsed.

Training and assessment strategies reviewed meet the requirements of the training package. The strategies guide trainers and assessors by providing accurate and sufficient information regarding training and assessment methods. The organisation delivers primarily to corporate clients; as a result client specific proposals are developed to meet their specific needs.

Trainers and assessors hold competencies as determined by the National Quality Council. Professional development activities relating to the vocational area and VET have occurred. A weekly staff newsletter distributed to staff includes a calendar of events noting possible professional development activities. Staff meeting minutes sighted included professional development and the AQTF as standing agenda items.

39163QLD Course in Vocational Numeracy
39213QLD Course in Volunteer Tutoring
BSB10107 Certificate I in Business
 Assessment tools comprise of in-house developed and purchased materials. The tools are supported by sufficient benchmark



criteria. Completed student work for BSB10107 Certificate I in Business has been conducted and assessed against the benchmark criteria. Purchased materials have been reviewed and the organisation has determined that the tools address all requirements of the unit.

Non-compliances:

BSB40807 Certificate IV in Frontline Management

BSBMGT401A Show leadership in the workplace

BSBWOR402A Promote team effectiveness

Assessment tools for units from BSB40807 Certificate IV in Frontline Management have been mapped to the performance criteria and critical aspects. The tools do not collect sufficient evidence to determine competence as they do not sufficiently address the following –

- required skills
- required knowledge
- critical aspects.

TAA40104 Certificate IV in Training and Assessment

TAADES401B Use Training Packages to meet client needs

TAAASS403B Develop assessment tools

Benchmark criteria were evident for the written assessment however the organisation has not documented the benchmark criteria for the project work. Without the benchmark criteria for the project work it is unclear if the assessment sufficiently addresses the knowledge and skill requirements of the unit. The instructions included in the project are unclear and do not specify the evidence requirements.

Rectification required:

The organisation is required to provide:

BSB40807 Certificate IV in Frontline Management

BSBMGT401A Show leadership in the workplace

BSBWOR402A Promote team effectiveness

- assessment tools which collect sufficient evidence to address all requirements of the unit competency (see non-compliances for specific details)
- benchmark criteria for the amended assessment tools.

TAA40104 Certificate IV in Training and Assessment

TAADES401B Use Training Packages to meet client needs

TAAASS403B Develop assessment tools

- evidence that the required knowledge and skills are being addressed
- benchmark criteria for the project work
- reviewed instructions for students and assessors regarding the project.

Rectification evidence received 26 March 2010:

The organisation provided:

BSB40807 Certificate IV in Frontline Management

BSBMGT401A Show leadership in the workplace

BSBWOR402A Promote team effectiveness

- assessment tools and sufficient benchmark criteria to allow for the collection of sufficient evidence to address all requirements of the unit competency.





TAA40104 Certificate IV in Training and Assessment

TAADES401B Use Training Packages to meet client needs

TAAASS403B Develop assessment tools

- assessment tool which address the required knowledge and skills
- sufficient benchmark criteria for the project work
- amended instructions for students and assessors regarding the project.

Strengths

- Client specific training and assessment proposals.

Opportunities for Improvement

- Trainer and assessor files could be divided by qualifications, resume, professional development, contracts etc.
- *TAADES401B Use Training Packages to meet client needs* - The RTO should consider reviewing the instructions and benchmarks for clarity.
- *TAAASS403B Develop assessment tools* - The RTO should ensure that the checklists are completed by assessors (not just the students) to inform their competency decisions and provision is made for the inclusion of feedback to the learners.

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

Elements	Examined at audit
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

Elements 2.2, 2.3, 2.4, 2.5 & 2.6 were not examined.

Findings:

Individual proposals are prepared after a briefing meeting with the clients regarding their training and assessment needs. The organisation has most recently engaged a part-time Client Manager who has developed a client contact database to streamline and collate client proposals and record industry engagement. Feedback has been collected and collated from clients and individual students and analysed by the Director. Where appropriate an opportunity for improvement form is completed and closed out as identified in the action register. The organisation's commitment to improving client services is supported by the return of and increased business from large corporate clients.

The RTO has collected and reported quality indicator data relating to competency completion.

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 at audit
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 checked="" 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

Element 3.3 was not examined.

Findings:

The organisation has a sufficient management system for the scope and scale of its operations. Staff are well informed of their responsibilities for implementing the system via staff meetings and weekly newsletters. The management system is systematically monitored and subsequently a range of improvements have been made. The organisation provided several 'opportunity for improvement' forms and discussed the impact of the improvements. The organisation demonstrated very good control over its operations and a strong culture of continuous improvement. An internal audit has been conducted against AQTF 2010 highlighting potential gaps. The Director is aware that the standards have not been endorsed and that an implementation notice will follow.

The organisation has a partnership with a community organisation for the delivery of BSB10107 Certificate I in Business. The agreement is in its final months. A review of the partner organisation occurred in April 2009. A memorandum of understanding details the responsibilities of both parties.

Strengths

- Nil identified.

Opportunities for improvement

- Nil identified.

