

# AQTF Audit Report – Continuing Registration

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 FM-PMA-34A  
 TRIM No: 09/182321  
 Version 11 – 2 November 2010  
 Training and International Quality

## Christopher Thiesfield & Associates Pty Ltd – NTIS #32069

Organisation details			
Registration expiry	14/01/2010		
Principal address	9 Ada Street, Margate 4019		
RTO contact	Mr Christopher Thiesfield	Phone numbers	3284 0671 & 0410 54 9603
Operations	<ul style="list-style-type: none"> <li>Core clients are unemployed and disadvantaged people with low literacy and numeracy living in rural and remote parts of Queensland, Northern Territory and Western Australia. Clients are referred to the RTO through the Indigenous Employment Program (IEP) funded by DEEWR on a fee for service basis.</li> <li>Delivery is face to face with numbers ranging from 14 to 22 at interstate venues which have been at arranged mining sites at Mt Newman in Western Australia and Augurugu in the Northern Territory. Delivery at Queensland sites is planned for mid March 2011. The <i>CPCCOHS1001A Work safely in the construction industry</i> [White Card] training is delivered over 6 hours and the RTE10103 Certificate I in Rural Operations is delivered over 8 to 10 days.</li> <li>The RTO does not have any partnering arrangements</li> <li>Approximate number of completions in past year per <i>CPCCOHS1001A Work safely in the construction industry</i> unit is 34</li> <li>Approximate number of completions in past year per RTE10103 Certificate I in Rural Operations qualification is 36</li> <li>Approximate number of current enrolments per <i>CPCCOHS1001A</i> is nil</li> <li>Approximate number of current enrolments per RTE10103 is nil</li> </ul>		
Audit team			
Lead auditor	Mr Bill Cadden	Auditor/s	Ms Cassandra Frentiu
Phone	07 3235 4016	Adviser/s	
E-mail	Bill.cadden@deta.qld.gov.au	Observer/s	
Audit details			
Reason/s for audit	Monitoring		
Audit date/s	28 February 2011	Audit number/s	3206916930A
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.2, 2.3, 3.2 & 3.3		
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	11 March 2011		
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"> <li>The RTO added PRM10104 Certificate I in Asset Maintenance (Cleaning Operations) to its scope of registration, under delegation arrangements, 2 months prior to this audit.</li> <li>The RTO advised the department in writing prior to audit that it had only delivered the</li> </ul>		



RTE10103 Certificate I in Rural Operations and the <i>CPCCOHS1001A Work safely in the construction industry</i> [White Card] unit from the CPC10108 Certificate I in Construction. <ul style="list-style-type: none"> <li>The RTO delivers in Western Australia and the Northern Territory and has provided a RTO 3 to the department advising it of these arrangements.</li> <li>Delivery in Queensland is planned for mid March 2011</li> </ul>			
Focus of audit			
Code	Qualification / Course / Unit title	Regulated	Delivery venues
RTE10103 <i>CPCCOHS1001A</i>	Certificate I in Rural Operations <i>Work safely in the construction industry</i>	<input type="checkbox"/>	Queensland, Northern Territory and Western Australia
CPC10108	Certificate I in Construction	<input type="checkbox"/>	Queensland, Northern Territory and Western Australia
Interviewee/s (incl. position)			
Mr Chris Thiesfield, Director Mr Bruce Gleeson, Director Mrs Helen Matthews, Consultant to the RTO			

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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: <ol style="list-style-type: none"> <li>have the necessary training and assessment competencies as determined by the National Quality Council or its successors</li> <li>have the relevant vocational competencies at least to the level being delivered or assessed, and</li> <li>can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</li> <li>continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</li> </ol>	<input checked="" type="checkbox"/>
1.5 Assessment, including Recognition of Prior Learning (RPL): <ol style="list-style-type: none"> <li>meets the requirements of the relevant Training Package or accredited course</li> <li>is conducted in accordance with the principles of assessment and the rules of evidence</li> <li>meets workplace and, where relevant, regulatory requirements</li> <li>is systematically validated.</li> </ol>	<input checked="" type="checkbox"/>

### Audit findings

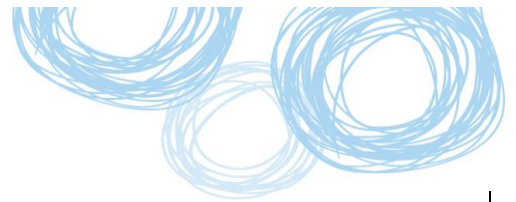
At time of audit:

- Compliant  
 Not Compliant

Following rectification received 11/03/11:

- Compliant  
 Not Compliant



**Findings:**

The RTO has developed a number of mechanisms for ensuring the systematic continuous improvement of training and assessment. Evidence provided supports a strong client service focus with a culture of continuous review and improvement of its training and assessment through the collection and analysis of relevant data. Examples sighted were an improved enrolment form to make it more user-friendly and the introduction of more visual aids into the Rural Operations training materials as a result of student feedback. These improvements were recorded in the RTO's 'Continuous Improvement Register' which has documented adjustments made to the RTO's training and assessment strategies, delivery and assessment processes.

Strategies for training and assessment are well developed and contain current information.

The resources used by the organisation across all of its operations are consistent with current industry standards and training package requirements. The resources specified in each strategy for training and assessment is consistently used across all of the organisations operations by staff and learners. The organisation has a process in place where training and assessment is conducted on the premises of mining companies e.g. Rio Tinto. An agreement between the RTO and the mining company is put in place prior to commencement of training and assessment to establish access to and use of facilities and what resources will be supplied by the company and what the RTO will supply.

Trainer/assessor records reviewed indicate that Mr Thiesfield and Mr Smart possess the necessary training and assessment competencies as required by the National Quality Council and current industry skills relevant to their training/assessment they undertake, however the RTO has not demonstrated that Mr Smart has developed his Vocational Education and Training (VET) knowledge and skills.

The RTO provided assessment tools for *CPCCOHS1001A Work safely in the construction industry* that addresses the required knowledge, skills, and critical aspects of evidence and range statement for this unit.

**Non-compliances:**Cameron Smart

The RTO engages suitably qualified trainers/assessors who hold the relevant vocation, training and assessment competency, and demonstrate current industry skills. However, insufficient evidence was provided in relation to the development of Vocational Education and Training (VET) knowledge and skills for Cameron Smart.

RTE10103 Certificate I in Rural Operations*RTC1301A Operate basic machinery and equipment**RTC1302A Assist with routine maintenance of machinery and equipment*

Evidence provided by the organisation indicates that assessment tools for the above units of competency did not comply with the Assessment Guidelines of the training package. The assessment tools for the two above units of competency sufficiently address all required skills, knowledge, critical aspects and range statement, however when reviewing completed student assessments, it was evident that the assessor did not follow instructions specified in the assessment tool in that there was no recording of the oral questioning answers given by the student even though an answer space was provided on the RTO's assessment tool.

**Rectification required:**Cameron Smart

The RTO is required to provide evidence of how it will ensure that Cameron Smart develops his VET knowledge and skills and that it is held by the RTO.

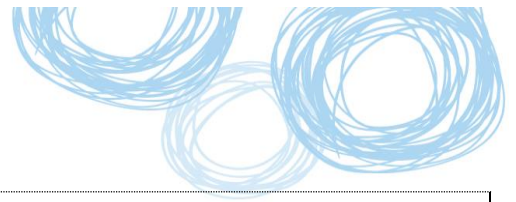
RTE10103 Certificate I in Rural Operations*RTC1301A Operate basic machinery and equipment**RTC1302A Assist with routine maintenance of machinery and equipment*

The RTO is to provide evidence of how it will ensure that oral answers are recorded by the assessor when oral assessment is used.

**Rectification evidence received 11 March 2011:**Cameron Smart

The RTO provided a signed statement that it had withdrawn Mr Smart from its list of trainers/assessors.

Mr RTO's Mr Thiesfield holds the required competencies, industry currency and VET industry currency to deliver and assess in



this industry area at the AQF level required.

**RTE10103 Certificate I in Rural Operations**

*RTC1301A Operate basic machinery and equipment*

*RTC1302A Assist with routine maintenance of machinery and equipment*

The RTO provided evidence it has included clear instructions to the assessor, and the student, that when the oral questioning option is used the assessor will record the student's answers in writing on the assessment tool, in the space provided.

**Strengths**

- The trainer/assessor has regular contact with students during the duration of the program and closely monitors their progress

**Opportunities for Improvement**

- It is suggested that the RTO include in the CPC10108 Certificate I in Construction strategy for training and assessment the issue of White card arrangements for Western Australia and the Northern Territory.
- It is suggested that the RTO include the position/organisation the 'Industry Endorsement' person holds/represents in 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 organisation provided evidence of systems and processes to continuously improve client services by collecting, analysing and acting on relevant data. Improvements actioned were noted in the RTO's continuous improvement register. Feedback is collected from students using Quality Indicator questionnaires and RTO developed feedback forms. Verbal feedback given to the trainer during the programs delivery is also noted by the trainer and is used to inform discussions and actions.

Meetings are held between the two directors on at least a monthly basis, however issues raised are also discussed and responded to as they arise and are not necessarily held over to the monthly meetings.

A Continuous Improvement Register is used to record issues raised through feedback, the action taken and monitoring the effect of changes made. The RTO demonstrated that it has improved the student enrolment form to more effectively capture all required information and that it has been well received by students.

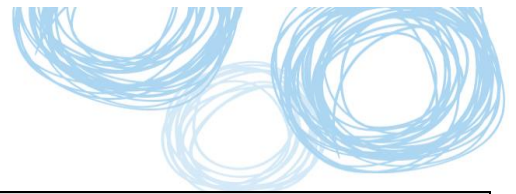
The RTO demonstrated that it continues to adequately inform clients, before they enrol, about the training, assessment and support services to be provided, and about their rights and obligations.

**Strengths**

- Nil identified

**Opportunities for Improvement**

- It is suggested that the RTO implement a continuous improvement notice/form or similar document to better record and monitor continuous improvement especially as the RTO's student enrolment numbers increase.



<b>Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates</b>	
<b>Elements</b>	<b>Examined</b>
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 type="checkbox"/>
<b>Audit findings</b>	
<p><b>At time of audit:</b>  <input checked="" type="checkbox"/> <b>Compliant</b>  <input type="checkbox"/> <b>Not Compliant</b></p> <p><b>Findings:</b>            The RTO's management systems and related documentation is appropriate for the size and scope of the RTO's operations. It has a current 'Policies and Procedures Manual' that incorporates information on; complaint/grievance/appeals register, continuous improvement register, EEO, legislation and regulation requirements, marketing processes and issuing of qualifications, trainer/assessor professional development and industry currency requirements, record management, retention of student assessment records, student induction process, training and assessment validation, and verification of trainer CV/qualification/competencies.</p> <p>Discussions held at audit with the Directors and feedback reviewed demonstrates that the RTO is focused on providing quality training, assessment and support services tailored to its clients.</p> <p>The RTO holds training resources centrally electronically, under the control of an RTO Director, so that it can consistently implement them across all of the RTO's operations.</p> <p>The RTO monitors its operations on an ongoing basis at monthly meetings however discussions at audit indicated that although the current processes are sufficient the RTO would benefit from it conducting an internal audit every 6 months to monitor its internal operations against set parameters and its compliance with the AQTF standards.</p>	
<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>• It is suggested that the RTO implement an internal audit /review system to be conducted on a 6 monthly basis, as discussed at audit.</li> </ul>	