

AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 19/20 November 2015

Applicant: 6037 Additional Pty Ltd

Applicant Details			
Applicant Name	6037 Additional Pty Ltd T/A Latrobe Valley Training and Assessment Centre	TOID	6037
Address	7 Rocla Road, Traralgon VIC 3844		
	Website	www.ivtac.com.au	
Registration Contact	Ms Heather May, Director		
Phone Number	03 5176 6484	Email	lvtac@bigpond.com
Audit Team			
Audit Firm	ShineWing Australia	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Heather May, Director Lorraine Tullett, Compliance, Student Administration, Financial Management
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9032 1562	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	1, 2, 3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.4
VRQA Guidelines Audited	1.3, 1.5, 2.1, 2.2, 2.3, 3.4, 4.1, 4.2, 4.4, 5.1		
Audit Date/s	19/20 November 2015		
RTO Background			
<p>Additional Pty Ltd T/A Latrobe Valley Training and Assessment Centre (LVTAC) is a family run business specialising in skills training for the forest and construction industries and offers training and assessment across Victoria with a range of training options. LVTAC was registered as an RTO in 2006 and has for the past 20 years provided clients with skills recognition opportunities through maintaining a learning environment that is conducive to people employed in the La Trobe Valley to develop work skills and achieve relevant qualifications through worksite training. It also caters for young people looking for employment in the agriculture and forest growing and harvesting industries.</p> <p>Approximately 250 students enrol each year to complete qualifications and up to 500 students enrol to complete individual units. Training is funding through fee for service activities, with employers paying for their employees to develop specific skills through unit training. Many students enrolled in qualifications are eligible for Victorian Training Guarantee funding.</p> <p>Clients include existing workers employed in the agriculture and forest growing industries and unemployed young people seeking employment in the industries, who are mainly referred through job service agencies. Rigorous pre-enrolment interview processes are conducted for all students to ensure that learners are suitable for the</p>			

AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 19/20 November 2015

Applicant: 6037 Additional Pty Ltd

courses in which they wish to enrol and to ensure that learners have appropriate attitude and aptitude for the job roles and to complete their course.

LVTAC is governed by the two company directors who are also trainers. A small administration team maintain compliance and business operations and also have a key role in the provision of student support services. Three full time trainers are employed and are supported by the specialist skills of four sessional trainers, in the areas of first aid, resources units, chemical and agriculture.

LVTAC operates from purpose build facilities which have been developed with the culture of the related industries in mind to provide an environment reflective of the industries and the culture within the industries. Staff have skilled management, compliance, administrative, training and assessment and industry skills.

Interviews with trainers/assessors confirmed the organisation's commitment to quality training and assessment, conducive to its clients and industry identified needs.

LVTAC has developed and maintained a sound Quality Management System, meticulously maintained by the Compliance and Administration Manager, to support an industry skilled team of trainers who continue to work in the agriculture, forest growing and harvesting industries and whose focus is on industry specific skills.

The RTO works to its capacity with most learners referred through local job services agencies and local employers. Marketing is largely through word of mouth and reputation.

Unit currency with Qualification Packaging Rules

It was noted that units such as RIIMPO315A Conduct tractor operations and HLTAID003 Provide first aid were current versions of units, however the packaging rules of qualifications on scope identified superseded versions of the units. LVTAC has delivered the current versions of units and provided recognition of these due to current version of units being included on the HESG unit funding list.

The RTO is required to identify the superseded units on certificates for the related qualifications and a Statement of Attainment for the current unit.

AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 19/20 November 2015

Applicant: 6037 Additional Pty Ltd

Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
AHC20110	Certificate II in Agriculture	7 Rocla Road, Traralgon Selected farm sites
FPI30111	Certificate III in Forest Growing and Management	7 Rocla Road, Traralgon Selected farm sites
FPI30211	Certificate III in Harvesting and Haulage	7 Rocla Road, Traralgon Selected farm sites
HLTAID003	Provide First Aid	7 Rocla Road, Traralgon Selected farm sites
RIIMPO315A	Conduct tractor operations	7 Rocla Road, Traralgon Selected farm sites

Interviewee(s) – Staff name and position; employer name and position	
Sandra Ashford	Provide First Aid
Adam Henke	Certificate III in Forest Growing and Management
Brendan Clegg	Certificate III in Harvesting and Haulage
Class of 9 students	First Aid Unit - Certificate II in Agriculture
Class of 8 students	Chainsaw unit - Certificate III in Harvesting and Haulage

Permanent Delivery Sites – Do the RTO's permanent delivery sites match the information provided by the VRQA?	Yes	No
		X
If 'No', please provided amended details below:		
Occupancy Certificate – Latrobe City Council Certificate Class BCA 5 – 1/8/2007		

¹ Samples have been selected in accordance with the *VRQA VET Audit Sampling Methodology*

AQTF Essential Conditions and Standards for Initial Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 19/20 November 2015

Applicant: 6037 Additional Pty Ltd

Audit Summary - AQTF Conditions of Registration

AQTF Conditions		Compliant	Non - Compliant	Not audited
1	Governance	X		
2	Interactions with the Registering Body	X		
3	Compliance with Legislation	X		
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	X		
7	Recognition of Qualifications Issued by other RTOs	X		
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses	X		

Audit Date: 19/20 November 2015

Applicant: 6037 Additional Pty Ltd

Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1	X		
1.1 – Continuous Improvement Strategy		X	
1.2 – Training and Assessment Strategies		X	
1.3 – Training and Assessment Resources	X		
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies	X		
Standard 2	X		
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services		X	
2.3 – Provision of Information to Clients	X		
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy	X		
Standard 3	X		
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations	X		
3.3 – Third-Party Training and/or Assessment Services			X
3.4 – Records Management	X		
Summary of Non-Compliance			
<p>SF.1.1.1 LVTAC collected, analysed and acted on relevant data for continuous improvement of training and assessment. A range of activities were implemented and evidence of implementation provided. However:</p> <ul style="list-style-type: none"> • A Corrective Actions Register was not maintained. • Annual schedule of proposed activities was not available. • A strategy for the periodic review of the effectiveness of actions implemented was not identified. <p>SF.1.2.1 LVTAC had strategies for training and assessment in place that did not meet the requirements of the relevant Training Package.</p> <p>SF.2.2.1 LVTAC had not identified or implemented a strategy for the continuous improvement of client services by collecting, analysing and acting upon relevant data.</p>			

AQTF Essential Conditions and Standards for Initial Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 19/20 November 2015

Applicant: 6037 Additional Pty Ltd

VRQA Guidelines	Compliant	Non - Compliant	Not audited
1. Governance, Probity and Compliance	X		
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems	X		
1.4 – Organisational Governance			X
1.5 – Academic/Educational Governance	X		
1.6 – Change Reporting			X
2. Quality Assurance, Review and Evaluation Processes	X		
2.1 – Course Quality	X		
2.2 – Cheating and Plagiarism	X		
2.3 – Quality Education and Training	X		
3. Student Enrolment Records and Certification	X		
3.4 – Provision of Courses to Domestic Students	X		
4. Student Learning Outcomes and Welfare Services	X		
4.1 – Maximum Daily Hours of Attendance	X		
4.2 – Out of Hours Attendance	X		
4.4 – Student Safety	X		
5. Teaching, Learning and Assessment		X	
5.1 – Capacity to Deliver Scope of Registration		X	

Summary of Non-Compliance

GF.5.1.1

LVTAC had demonstrated that they had the capacity to deliver and assess ALL the courses requested/on the scope of registration, however assessment records did not include a completed overall assessment record sheet for each unit to show achievement of the candidate against each specified assessment task, signed by both the assessor and student

AQTF Essential Conditions and Standards for Initial Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 19/20 November 2015

Applicant: 6037 Additional Pty Ltd

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.			Non-Compliant
SF.1.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>LVTAC collected, analysed and acted on relevant data for continuous improvement of training and assessment. A range of activities were implemented and evidence of implementation provided. However:</p> <ul style="list-style-type: none"> ● A Corrective Actions Register was not maintained. ● Annual schedule of proposed activities was not available. ● A strategy for the periodic review of the effectiveness of actions implemented was not identified. 	<ul style="list-style-type: none"> ● Continuous Improvement Policy ● Client feedback form ● SMART tool used to collate and analyse information ● National support network of forestry industries - trainers and assessors ● Moderation workshop notes ● Annual national conference program ● Sample of Quarterly newsletters ● Sample of Trainer/assessor reviews following completion of course ● Corrective Actions Register – template, no entries ● Management Review Report Jun-Sep 2015 ● Quality indicators – analysis of survey data for 2014 ● Competency completion report 2014 ● Student course feedback – mid course evaluation form ● Trainer feedback/survey form ● Quality Indicators – analysis ● RTO Performance Indicator Report 2014. 'For your feedback - compared to other RTOs'. (HESG) 	<p>LVTAC is required to:</p> <ul style="list-style-type: none"> ● Maintain the Corrective Actions Register as identified in the procedures <p style="color: red;">Rectification actions:</p> <ul style="list-style-type: none"> ● LVTAC as stipulated in our procedures will maintain a Corrective Actions Register <ul style="list-style-type: none"> • Corrective Active Register attached ● Prepare an annual schedule of proposed activities to confirm that they will be systematically implemented. <p style="color: red;">Rectification actions:</p> <ul style="list-style-type: none"> ● LVTAC had an annual schedule of proposed activities as per our Quality Assurance and Continuous Improvement Plan Attached V1.4 ● LVTAC Quality Assurance and Continuous Improvement Plan Attached V1.5 has now been revised to include a systematic approach of proposed activities ● Implement a strategy for the specific periodic review of the effectiveness of improvement actions taken: <p style="color: red;">Rectification actions</p> <ul style="list-style-type: none"> ● LVTAC Quality Assurance and Continuous Improvement Plan Attached V1.5 has now been revised to include a periodic review of the effectiveness of improvement of action.
ELEMENT 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.			Non-Compliant
SF.1.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)

AQTF Essential Conditions and Standards for Initial Registration & VRQA Guidelines for VET Providers - Audit Report

<p>Audit Date: 19/20 November 2015</p> <p>LVTAC had strategies for training and assessment in place that did not meet the requirements of the relevant Training Package.</p> <p>Training and assessment Strategies did not identify:</p> <ul style="list-style-type: none"> • How the needs of individuals may be supported. • The specific client groups, who the training strategies has been developed for. <p>Training and Assessment Strategies identify formative and summative assessments. Formative assessments were not conducted. What were identified as formative assessment were progressive learning activities.</p> <p>Units packaged into qualifications: RIIMPO315A Conduct tractor operations and HLT AID 003 Provide first aid were current versions of units, however the packaging rules of qualifications on scope identified superseded versions of the units. LVTAC had delivered the current versions of units and provided recognition of these, due to current version of units being included on the HESG unit funding list.</p>	<p>Applicant: 6037 Additional Pty Ltd</p> <p>Learning and assessment arrangements for:</p> <ul style="list-style-type: none"> • AHC20110 Certificate II in Agriculture • FPI30111 Certificate III in Forest Growing and Management • FPI30211 Certificate III in Harvesting and Haulage • HLT AID 003 Provide First Aid • RIIMPO315A Conduct tractor operations 	<p>LVTAC is required to:</p> <ul style="list-style-type: none"> • Identify the superseded units on certificates for the related qualifications and a Statement of Attainment for the current unit where packaging rules of qualifications on scope identify superseded versions of the units and LVTAC has delivered the current versions of units and provided recognition of these due to current version of units being included on the HESG unit funding list. <p>Rectification actions</p> <ul style="list-style-type: none"> • LVTAC has now included RIIMPO315D as an imported elective unit on the Certificate III in Forest Growing and Management. Training & Assessment Strategy • LVTAC is applying to extend its Scope of Registration for unit HLT AID 003 Provide First Aid. This will enable LVTAC to issue both a qualification with the superseded core unit under as per the FPI Training packaging rules and simultaneously issue a Statement of Attainment with the current version as a stand-alone unit. <p>Attached Extension to Scope</p> <ul style="list-style-type: none"> ◦ HLT AID 003 Provide first aid <ul style="list-style-type: none"> • Identify in Training and Assessment Strategies how the needs of individuals may be supported. <p>Rectification actions</p> <ul style="list-style-type: none"> • LVTAC Training & Assessment Strategies have now been updated as to how individuals may be supported • Attached revised Training Assessment Strategy that has now been implemented to all LVTAC Training & Assessment Strategy (TAS) <p>Attached TAS</p> <ul style="list-style-type: none"> ◦ FPI30111 Certificate III in Forest Growing and Management – employed target group ◦ FPI30111 Certificate III in Forest Growing and Management – unemployed target group <ul style="list-style-type: none"> • Identify the specific client groups, who the training strategies have been developed for, in Training and Assessment Strategies. <p>Rectification actions</p> <ul style="list-style-type: none"> • LVTAC Training & Assessment Strategies have now been updated to include specific client groups • Attached revised Training Assessment Strategy that has now been implemented to all LVTAC Training & Assessment Strategy (TAS) <p>Attached TAS</p> <ul style="list-style-type: none"> ◦ FPI30111 Certificate III in Forest Growing and Management – employed target group ◦ FPI30111 Certificate III in Forest Growing and Management – unemployed target group <p>Review Training and Assessment Strategies for all qualifications and modify to accurately identify summative assessments, rather than formative assessments</p> <p>Rectification actions</p> <ul style="list-style-type: none"> • LVTAC has now removed the Third Party Report from the Assessment Record and made it a separate document Attached Third Party Report <ul style="list-style-type: none"> ◦ FPICOT3261 Transport forestry logs using trucks • LVTAC has now updated Training and Assessments strategies as follows: <ul style="list-style-type: none"> ◦ Questions included within the assessment instrument ◦ Demonstration / observation to determine competence against critical and specific aspects, elements and underpinning skills as listed ◦ Use of additional evidence such as third party reports, diaries, log books and work records
--	---	--



AQTF Essential Conditions and Standards for Initial Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 19/20 November 2015

Applicant: 6037 Additional Pty Ltd