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RTO DETAILS				
NTIS number	31520	Registration expiry	29 August 2012	
Principal Address	806 Talafa Road, Emerald QLD			
RTO contact	Lindsay Dillon	Phone number	(07) 4987 5648	
Operations	<ul style="list-style-type: none"> The RTO currently has clients from the Emerald Council, Barcaldine Shire Council, Dyno Noble who are completing units from 30496QLD Course in Operating Loadshifting Equipment and 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment. In the case of RII20209 Certificate II in Surface Extraction Operations and RII30109 Certificate III in Surface Extraction Operations core clients will be Dyno Noble, Enshan Resources, Curragh Mine, Graham Plant Hire etc. Delivery will be face to face either at the client premises; or in a simulated work site. No partnering arrangements are in place No current contracts are in place Anticipated number enrolments per qualification is 300 in 2010 			
AUDIT TEAM				
Lead Auditor	Leslie Mackee	Auditor/s		
Phone	(07) 3871 2539	Adviser/s		
E-mail	atecs@bigpond.net.au	Observer/s		
AUDIT DETAILS				
Reason/s for audit	Extension			
Audit date/s	3 February, 2009	Audit number/s	31520 – 3A	
Standards audited	1.2, 1.3, 1.4, 1.5, 2.2, 2.3, 3.2			
Audit outcome on day of audit	Compliant <input type="checkbox"/> Minor non-compliance <input type="checkbox"/>		Significant 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	2 and 16 February, 2010			
Audit outcome following rectification	Compliant <input checked="" type="checkbox"/> Minor non-compliance <input type="checkbox"/>		Significant non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>	
Other audit notes				
FOCUS OF AUDIT				
Code	Qualification/Course/Unit title	Regulated outcome	Delivery venues (list specific sites)	Govt funding (eg UC, PPP)
RII20209	Certificate II in Surface Extraction Operations	<input type="checkbox"/>		
RII30109	Certificate III in Surface Extraction Operations	<input type="checkbox"/>		
INTERVIEWEE/S – Staff (and position); Employers; Students				
Lindsay Dillon, 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 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 are conducted by trainers and assessors who: 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): 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:

- Compliant
 Not Compliant

Following rectification received 16/02/10:

- Compliant
 Not Compliant

Findings:

The RTO presented strategies for training and assessment for the qualifications being audited.

The RTO owns a range of equipment. The RTO also has letters from potential clients giving permission to access machinery and equipment at the mine sites when needed for training purposes. The RTO has developed a range of resources to support delivery of the RII20209 Certificate II in Surface Extraction Operations and RII30109 Certificate III in Surface Extraction Operations.

The RTO has trainers and assessors that have the necessary training and assessment competencies, the relevant vocational competencies and they continue to develop their skills and knowledge through a range of professional development activities.

The RTO presented assessment tools for each unit audited. The assessment tasks that were supported by benchmark criteria for acceptable performance.

Non-compliances:

The strategy for RII30109 Certificate III in Surface Extraction Operations did not include the core competencies.

The strategies for RII20209 Certificate II in Surface Extraction Operations and RII30109 Certificate III in Surface Extraction Operations included a number of possible electives that learners/employers could choose from. However, the documents did not provide clear information on the number of units required to complete each qualification.

The RTO presented a range of assessment tasks. However, the tasks did not include clear instructions for the assessor or instructions for the candidate. In all practical assessments the learner receives a copy of the assessor's checklist. This is given to the learner when the practical assessment starts. However, there are no instructions for the learner to support the practical assessment tasks.

In all cases the assessment tasks failed to address the unit requirement, specifically:

- Elements and performance criteria
- Required knowledge
- Required skills
- Critical aspects of evidence

The benchmark criteria presented for the practical assessment of unit *RIIRIS201A Conduct local risk control* was a list of performance criteria. Assessment of skills should reflect the 'tasks' carried out in the workplace and not simply be a list of PCs.

Implications for training/assessment quality:

If the assessment tools and methods do not address the required scope of knowledge, skills and critical aspects of assessment evidence as defined by the unit of competency, the quality of training and assessment outcomes will be affected. Tools that are not sufficiently focused on the unit of competency requirements will fail to determine whether the student has gained the required competency.

Rectification required:

In relation to assessment, the RTO is required to provide evidence that it has appropriate assessment tools and processes for the following units:

RII20209 Certificate II in Surface Extraction Operations

- *RIIRIS201A Conduct local risk control*
- *RIIMPO205A Operate roller/compactor*

RII30109 Certificate III in Surface Extraction Operations

- *RIISAM301A Test operational function of vehicles and equipment*
- *RIIMPO310A Conduct grader operations*

Specifically:

The assessment tools must meet the requirement of the unit including:

- Elements and performance criteria
- Required knowledge
- Required skills
- Critical aspects of evidence

The assessment process must be supported by:

- Consistent benchmark criteria for acceptable performance
- Clear information for assessors about assessment requirements
- Clear information for students about assessment requirements

Rectification evidence received 2 & 16 February, 2010:

The RTO provided revised strategies for training and assessment at audit. The strategies reflect the packaging rules and provide clear information on the structure of the qualifications.

In relation to assessment of RII20209 Certificate II in Surface Extraction Operations and RII30109 Certificate III in Surface Extraction Operations, the RTO provided amended assessment tools and processes for the following units:

- *RIIRIS201A Conduct local risk control*
- *RIIMPO205A Operate roller/compactor*
- *RIISAM301A Test operational function of vehicles and equipment*
- *RIIMPO310A Conduct grader operations*

The amended assessment tools meet the requirement of the units including:

- Elements and performance criteria
- Required knowledge
- Required skills
- Critical aspects of evidence

The RTO provided evidence that assessment process is supported by providing evidence of:

- Consistent benchmark criteria for acceptable performance
- Clear information for assessors about assessment requirements
- Clear information for students about assessment requirements

Strengths
<ul style="list-style-type: none"> The RTO has established relationships with the mining industry.
Opportunities for Improvement
<ul style="list-style-type: none"> Nil identified

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 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 checked="" 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:	Following rectification received 16/02/10:
<input type="checkbox"/> Compliant	<input checked="" type="checkbox"/> Compliant
<input checked="" type="checkbox"/> Not Compliant	<input type="checkbox"/> Not Compliant
<p>Findings: At the time of audit the RTO had not prepared any specific information for RII20209 Certificate II in Surface Extraction Operations and RII30109 Certificate III in Surface Extraction Operations to give to learners prior to enrolment. The RTO has a comprehensive student handbook that provides learners with information about their rights and obligations.</p> <p>While training and assessment may take place in the workplace employers do not contribute to the learner's training and assessment.</p> <p>Non-compliances: Recognising that the majority of clients will be employers, it is still important to be able to provide learners/employers with details of the courses/units they are enrolling in. This includes how the course will be delivered (duration, delivery method and location etc) and assessed (assessment methods and location). A potential learner/employer would not be able to make an informed choice about enrolling with LD Training if they were to compare course details between RTOs.</p> <p>Rectification required: The RTO is required to provide evidence that it has appropriate course information which can be distributed to learners, prior to enrolment.</p> <p>Rectification evidence received: The RTO provided a 'course brochure' for RII20209 Certificate II in Surface Extraction Operations containing relevant course information. The brochure can be distributed to learners, prior to enrolment.</p>	
Strengths	
<ul style="list-style-type: none"> Nil identified 	
Opportunities for Improvement	
<ul style="list-style-type: none"> 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 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: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant	
Findings: The RTO does not have any partnering agreements in place.	
Strengths	
<ul style="list-style-type: none"> The RTO has a comprehensive management system in place. 	
Opportunities for Improvement	
<ul style="list-style-type: none"> Nil identified 	