

AQTF Audit Report

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MASIMO HOLDINGS PTY LIMITED t/a New Horizons Safety and Training Services –
NTIS # 31372

FM-PMA-34A
TRIM No: 09/182321
Version 5 – 24 February 2010
Training and International Quality

Organisation details			
Registration expiry	21 August 2011		
Principal address	188 East Street, Rockhampton QLD 4700		
RTO contact	Mr Greg McMillan	Phone number	07 4927 0666 0407 79 9552
Operations	<ul style="list-style-type: none"> • Core clients are fee for service individuals or corporate groups. • Delivery is face to face or assessment only. • No partnerships are in place. • No government funding contracts are currently in place. Previously the organisation has been involved in Indigenous funding programmes through Margaret Brown's office. • Clients generally enrol in individual units of competency to meet a mining or civil industry need. The organisation has a lot of repeat business due to mining legislation requiring refresher training every 12 months to two years. 		
Audit team			
Lead auditor	Jane Connellan	Auditor/s	Vera Reuben
Phone	07 3235 4091	Adviser/s	Stephen Day
E-mail	Jane.connellan@deta.qld.gov.au	Observer/s	n/a
Audit details			
Reason/s for audit	Monitoring Audit		
Audit date/s	30-31 March 2010	Audit number/s	3137215723A
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.1, 2.2, 2.3, 2.4, 3.1		
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			
Audit outcome following rectification	Compliant <input type="checkbox"/> Significant non-compliance <input type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance <input type="checkbox"/>		
Other audit notes	<p>On 21 January 2010, the Department received a complaint from a mining organisation that claimed its employee, Ms Joanne Victorsen, although having been issued a statement of attainment for <i>MNCO1014A Conduct Haul Truck Operations</i> from New Horizons Safety and Training Services, had 'never operated Coal Haul Trucks before'. As a result of the complaint, the audit included a review of Ms Victorsen's assessment for <i>MNCO1014A</i>.</p> <p>At the audit the organisation informed the audit team that it would not enrol any new students in BCC30607 Certificate III in Civil Construction Plant Operations. All new students in this vocational area would be enrolled in RII30809 Certificate III in Civil Construction Plant Operations. Therefore, the RII qualification was reviewed.</p>		
Focus of audit			



Code	Qualification / Course / Unit title	Regulated	Delivery venues
30496QLD	Course in Operating Loadshifting Equipment	<input checked="" type="checkbox"/>	Rockhampton office or onsite
30497QLD	Course in Operating Cranes, Rigging and Scaffolding Equipment	<input checked="" type="checkbox"/>	Rockhampton office or onsite
30643QLD	Course in Generic Induction to Coal Mining (Core)	<input checked="" type="checkbox"/>	Rockhampton office or onsite
R1130809	Certificate III in Civil Construction Plant Operations	<input type="checkbox"/>	Rockhampton office or onsite
MNC30104	Certificate III in Surface Coal Mining Operations	<input type="checkbox"/>	Rockhampton office or onsite
MNQ30103	Certificate III in Extractive Industries Operations	<input type="checkbox"/>	Rockhampton office or onsite
CPCCOHS1001	Work safely in the construction industry	<input checked="" type="checkbox"/>	Rockhampton office or onsite
Interviewee/s (incl. position)			
Mr Gregory McMillan (CEO)			
Mrs Dalys Marquis (Business Manager)			
Mr Tony Thomas (Business Development Manager)			
Mr Stephen Lill (Trainer/Assessor)			

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 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:

- Compliant
 Not Compliant

Following rectification received xx/xx/xx:

- Compliant
 Not Compliant

Technical advice has been incorporated into the findings for this standard for the following qualifications:

- 30496QLD Course in Operating Loadshifting Equipment
- 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment.





Findings:

New Horizons Safety and Training Services (NHST) actively collects, analyses and acts on data relating to the continuous improvement of training and assessment. Clients are requested to complete satisfaction surveys at the completion of their course and staff have access to training and assessment improvement forms. A review of training and assessment materials and discussions with one of the trainers demonstrated this system is working effectively.

In the past documented training and assessment strategies had been developed. The organisation was able to clearly communicate its strategies for all qualifications, with the exception of the workplace health and safety accredited courses, without the review of the documented strategies. Evidence of industry consultation was evident. The organisation has decided to continue to use the documented training and assessment strategies to communicate its delivery plan for the accredited courses.

Training and assessment is generally face to face. A range of units that do not require access to mining or civil equipment, for example, induction training, height safety and first aid units are trained and assessed at NHST's premises on East Street. NHST has recently invested in the development of a simulated mine site training centre. The centre is 20 kilometres north east of Rockhampton and is a 160 acre facility that has been purpose built for training people to become operators of mine and civil construction based machinery. The facility has been developed to simulate a mine site/quarry and simulates all the functions and activities of a surface mine site as well as those undertaken by machines operating on civil construction projects. Where clients are undertaking the course in the training centre full training and assessment is conducted.

Often when engaging with mining organisations NHST performs an assessment only service as the mining employees are gaining training and experience on-the-job from their employer.

NHST have developed its own training and assessment resources for the RII, MNC and MNQ units of competency. The training and assessment resources for the mining induction courses have been provided by the Mining Industry Skills Council, the white card resources are from an external source which NHST have mapped against the unit of competency. As required, for the accredited courses the organisation is using the mandated assessment tools provided by Workplace Health and Safety Queensland.

There are seven trainers employed by the organisation. Additionally, the services of five major contractor trainers/assessors are used. The recruitment of new staff includes a review of CV's, industry experience/qualifications and reference checks. The interview process requires the prospective person to deliver a training session while being observed by the interview panel. Additionally, if the prospective person is being considered for a position that requires the operation of machinery the person is required to be observed operating that item of equipment. A staff matrix has been developed to detail which trainer/assessor is allowed to train/assess which unit/course/qualification. A log has been developed to ensure the licences of trainers/assessors remain up-to-date. A PD register is used for recording the vocational activities undertaken. The Business Manager attends a range of AQTF and training/assessment professional development activities and then shares the knowledge with the training and assessment team via in-house updates. Performance reviews are conducted regularly on trainers/assessors.

MNC30104 Certificate III in Surface Coal Mining Operations

MNCO1014A Conduct haul truck operations

30496QLD Course in Operating Loadshifting Equipment

30497QLD Course in Cranes, Riggins and Scaffolding Equipment

CPC10108 Certificate I in Civil Construction

CPCC1001A Work safely in the construction Industry

MNQ30103 Certificate III in Extractive Industries Operations

MNQOPS237A Conduct bulk water truck operations

MNQOPS336A Conduct grader operations

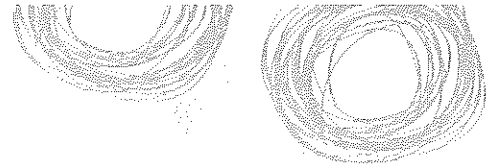
30643QLD Course in Generic Induction to Coal Mining

MISCO01A Prepare to work in a surface coal mining environment

MNCC1006A Conduct local risk assessment

A review of the assessment tools for the above units of competency determined they meet the unit of competency requirements. A review of a range of completed student files determined the assessment tools were being used consistently and in their entirety.





Non-compliances:

The training and assessment strategy provided for 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment did not identify the pre-requisite requirements. Although NHST demonstrated it was aware of the pre-requisite requirement it identified that its process could be tighten to ensure an error would not occur.

The information provided regarding the methods by which plant and equipment is accessed for training and assessing 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment and 30496QLD Course in Operating Loadshifting Equipment is conflicting. The documented strategy provided one method while conversations indicated other methods.

The strategies/processes relating to the accredited courses did not clearly identify/communicate the file maintenance requirements as stated in the Licence agreement.

RII Certificate III in Civil Construction Plant Operation

RIIOHS204A Working at heights

RIIOHS202A Enter and work in confined space

MNC30104 Certificate III in Surface Coal Mining Operations

MNMG237A Work safely at heights

The practical assessment checklists do not contain sufficient/clear instructions (regarding the actions/tasks to be performed) or benchmark criteria (the required outcomes) to ensure validity and reliability of the assessments. Additionally, not all of the items in the checklists were observable tasks. Due to the issues identified with the practical checklists there was insufficient information to ensure students would demonstrate and assessors would make judgements regarding the practical aspects of the units of competency.

Rectification required:

The organisation is required to demonstrate:

- its training and assessment strategy for 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment will ensure the pre-requisite requirements are addressed
- how it will clearly communicate the methods by which plant and equipment is accessed for training and assessing 30497QLD Course in Operating Cranes, Rigging and Scaffolding Equipment and 30496QLD Course in Operating Loadshifting Equipment
- the strategies/processes relating to the accredited courses that clearly identify/communicate the file maintenance requirements as stated in the Licence agreement.

RII Certificate III in Civil Construction Plant Operation

RIIOHS204A Working at heights

RIIOHS202A Enter and work in confined space

MNC30104 Certificate III in Surface Coal Mining Operations

MNMG237A Work safely at heights

For the units listed above, the organisation is required to demonstrate its practical assessment checklists contain sufficient/clear instructions (regarding the actions/tasks to be performed) and benchmark criteria (the required outcomes) to ensure validity and reliability of the assessments. Additionally, the checklists are to contain observable tasks that relate to the practical aspects of the unit of competency requirements and therefore allow the student to demonstrate their skills.

Strengths

- The time, effort and resources the organisation has put forward in the development of the simulated training centre demonstrates the organisation's commitment to quality training and assessment. The centre creates a safe environment for students to develop their skills before seeking employment in the mining or civil industry.

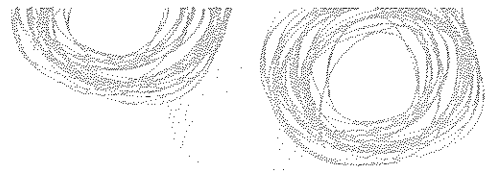
Opportunities for Improvement

- Nil identified.

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

Elements	Examined
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	<input checked="" type="checkbox"/>





provided, and about their rights and obligations.	
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 checked="" type="checkbox"/>
2.4 Learners receive training, assessment and support services that meet their individual needs.	<input checked="" 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: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not compliant	
Findings: <p>The organisation has commenced using the quality indicator learner engagement and employer satisfaction surveys. NHST are also continuing to use its own client feedback form that includes questions regarding client services.</p> <p>A Client's needs are established via the enrolment process. Often employers will notify NHST of any learning difficulties its employees may have. Scribes can be provided and oral assessment has been undertaken previously.</p> <p>When attending mining expos NHST hand out enquiry forms. Pre-enrolment information is available via the website, flyers/brochures, in person or via the phone. A 'student information guide' is available and includes information on the refund policy and how to access support services should they require them.</p> <p>NHST consults with the employer to involve workplace personnel in planning relevant workplace programs. In some cases the employer does the training and NHST conducts the assessment only. The employer's resources/equipment are used during training and assessment. Client progress is monitored via NHST reviewing the client's logbook or training plan.</p>	
Strengths	
<ul style="list-style-type: none"> Where clients are required to attend the training centre NHST collects them from the East Street office and drives them to the training centre in the organisation's mini-bus. 	
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
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 AQTF 2007 Essential Standards for Registration.	<input 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: <p>Staff know and meet their responsibilities for implementing NHST systems due to its induction program, regular staff meetings and annual performance reviews. The organisation's 'Continuous Improvement Policy (v2.2 issued on 13/10/09)' states its continuous improvement process involves: client satisfaction surveys, staff feedback forms, training and assessment improvement forms, internal audits and annual management reviews. Evidence reviewed supported this strategy had been implemented. It was noted that the management review for 2010 had not been completed as yet.</p>		
Strengths		
<ul style="list-style-type: none"> It was noted that the NHST staff work well together as a team. 		
Opportunities for improvement		
<ul style="list-style-type: none"> Ms Dalys Marquis was the main contact for the audit activity. It was clear to the audit team that Ms Marquis has a wealth of 		



knowledge and experience in the VET sector and that she has her own personal checks and balances in place to ensure all team members are following NHST's processes and meeting the AQTF requirements. As a risk management initiative the organisation would benefit from Ms Marquis mentoring someone else to be able to perform her role or documenting the processes she follows so that if she was unable to perform her duties someone else would be able to step in and perform her role with the same level of rigour.