



Audit report – VET Quality Framework

Continuing registration as a national VET regulator (NVR) registered training organisation

ORGANISATION DETAILS

| | |
|---------------------------|-------------------------------|
| Organisation's legal name | Jarra Creek Marketing Pty Ltd |
| Trading name/s | Civil Safety |
| RTO number | 32381 |
| CRICOS number | n/a |

AUDIT TEAM

| | |
|---------------------|---------------|
| Lead auditor | Jen Adlington |
| Auditor/s | n/a |
| Technical adviser/s | n/a |

AUDIT DETAILS

| | | |
|----------------------------------|---|-------------------------------|
| Application number/s | 1045501 | |
| Audit number/s | 1004074 | |
| Audit reason 1 | Application - change | |
| Audit reason 2 | n/a | |
| Audit reason 3 | n/a | |
| Activity type | Site visit | |
| Address of site/s visited | Cnr Bacon St. and Belyando Ave. Moranbah, Qld 4744 | |
| Date/s of audit | 19 & 20 September 2013 | |
| Organisation's contact for audit | Robert Kerridge robert@civilsafety.com.au | Chief Executive 0419443090 |
| NVR standards audited | Selected Standards for Continuing Registration: 15.2, 15.3, 15.4, 15.5, 16.3, 16.4, 17.1, 18.1, 23.1 | |

BACKGROUND

Robert Kerridge holds the position of director and chief executive with his wife Nola Waddell as the HR / contracts manager. Ms Kerryn Lingard's role as owner/accountant includes the accounts management. There is also a training manager & compliance officer, business manager and RTO consultant. The organisation also provides a consultancy service and offers non-accredited training including short courses in safety and soft skills for the internet and computer use.

Jarra Creek Marketing Pty Ltd trading as Civil Safety current principal place of business is located in Moranbah and the RTO is intending to make application to include a new delivery location in Yatala, Brisbane. Training also occurs at the clients' sites in Brisbane, Gladstone, Rockhampton, Townsville, Tully



and Mackay with subcontractor agreements in place. Other MOU / agreements include:

- Service Agreement provision of training (used with third party) on site for facilitation of onsite delivery eg log book
- Training agreements for coordination of training in large mine sites.
- Business agreement that includes an 'authority to train'.
- Request for training on site that details of resources required on site

Core clientele is the mining and civil construction industry eg Redpath, Hutchison Builders, Mainteck and Lindores Earthmoving.

Revenue is generated by fee for service and funded training from construction skills training for civil construction training individuals.

Total number of current enrolments in RTO as at audit date:

- 19

| AUDIT SAMPLE | | | |
|---------------------|--|---------------------------------------|---|
| Code | Qualification/Course/Unit name | Mode/s of delivery/assessment* | Current enrolments (If not yet on scope, record N/A) |
| TAE50211 | Diploma of Training Design and Development | RPL | N/A |
| TAE50111 | Diploma of Vocational Education and Training | RPL | N/A |
| BSB51312 | Diploma of Work Health and Safety | F2F, Onsite | N/A |
| RIIOHS601A | Establish and maintain the OHS management system | RPL | N/A |
| PUASAR022A | Participate in a rescue operation | F2F, Onsite | N/A |
| PUASAR032A | Undertake vertical rescue | F2F, Onsite | N/A |

*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

| INTERVIEWEES | | |
|---------------------|--------------------|---|
| Name | Position | Qualification/Course/Unit code/s |
| Robert Kerridge | CEO | All |
| Brianna Burrett | Compliance Officer | All |

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 20/9/2013: Minor non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 04/12/2013: Compliant



| AUDIT FINDING BY STANDARD | | |
|----------------------------------|-------------------------|--|
| Standard | Original finding | Finding following rectification |
| SNR 15 | Not compliant | Compliant |
| SNR 16 | Compliant | n/a |
| SNR 17 | Compliant | n/a |
| SNR 18 | Not compliant | Compliant |
| SNR 19 | Not audited | n/a |
| SNR 20 | Not audited | n/a |
| SNR 21 | Not audited | n/a |
| SNR 22 | Not audited | n/a |
| SNR 23/AQF | Compliant | n/a |
| SNR 24 | Not audited | n/a |
| SNR 25 | Not audited | n/a |



| | |
|---------------|---|
| SNR 15 | The NVR registered training organisation provides quality training and assessment across all of its operations, as follows: |
| 15.1 | The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment. |
| | Original finding: Not audited Following rectification: n/a |
| 15.2 | Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry. |
| | Original finding: Compliant Following rectification: n/a |
| 15.3 | Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry. |
| | Original finding: Not compliant Following rectification: Compliant |
| | Reasons for finding of non-compliance: PUASAR022A Participate in a rescue operation PUASAR032A Undertake vertical rescue BSBWHS503A Contribute to the systematic management of WHS risk BSBWHS505A Investigate WHS incidents <ul style="list-style-type: none">The RTO did not provide evidence to demonstrate the methods of assessment described in the training and assessment strategies were consistent with the assessment resources provided. In order to become compliant, the organisation is required to: <ul style="list-style-type: none">Provide amended training and assessment strategies that include methods of assessment that are consistent with the actual assessment resources used. |
| | Analysis of rectification evidence: PUASAR022A Participate in a rescue operation PUASAR032A Undertake vertical rescue BSBWHS503A Contribute to the systematic management of WHS risk BSBWHS505A Investigate WHS incidents <ul style="list-style-type: none">The RTO has provided updated training and assessment strategy documents that include methods of assessment which are consistent with the actual assessment resources used. Reasons for outstanding non-compliance: <ul style="list-style-type: none">Not applicable at this time |
| 15.4 | Training and assessment is delivered by trainers and assessors who: (a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and |



- (b) have the relevant vocational competencies at least to the level being delivered or assessed; and
- (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
- (d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

**TAE50111 Diploma of Vocational Education and Training
TAE50211 Diploma of Training Design and Development**

Insufficient evidence was provided to demonstrate how the organisation has verified the nominated trainer and assessor for the above qualification Wendy Cato, has the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors.

In order to become compliant, the organisation is required to:

- Provide evidence that demonstrates the nominated trainer and assessor Wendy Cato has the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors.

Analysis of rectification evidence:

**TAE50111 Diploma of Vocational Education and Training
TAE50211 Diploma of Training Design and Development**

- The RTO has provided evidence that demonstrates the nominated trainer and assessor Wendy Cato has the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors.

Reasons for outstanding non-compliance:

- Not applicable at this time

15.5 Assessment including Recognition of Prior Learning (RPL):

- (a) meets the requirements of the relevant Training Package or VET accredited course; and
- (b) is conducted in accordance with the principles of assessment and the rules of evidence; and
- (c) meets workplace and, where relevant, regulatory requirements; and
- (d) is systematically validated.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

RIIOHS601A Establish and maintain the OHS management system

The assessment tools provided did not fully address the requirements of the RII09 Resources and Infrastructure Industry Training Package.

Review of the assessment tools found they did not contain clearly defined mechanisms for gathering evidence of assessment against all of the unit's required skills and knowledge (for example but not limited to; take a leading role in initiating action and making decisions, emergency procedures and strategic planning procedures. Consequently, it could not be confirmed that the assessment tools fully address all required knowledge and skills.

**BSBWHS503A Contribute to the systematic management of WHS risk
BSBWHS505A Investigate WHS incidents**



The assessment tools provided did not fully address the requirements of the BSB07 Business Services Training Package.

The assessment tools examined for the above units of competency did not address all the elements/performance criteria, required skills, knowledge and critical aspects for assessment of each unit.

Consequently, it could not be confirmed that the assessment instruments would gather valid and sufficient evidence on which to base a judgement of competence.

Insufficient evidence was provided to demonstrate the RTO has developed assessment criteria that define the acceptable level of performance required for all assessment tools to ensure consistency in the judgments being made by its assessor/s. For example but not limited to; the skills and knowledge and major activities did not include benchmark answers.

In addition, there was no rigour around the assessment process and the reliability and sufficiency of the assessment tools, specifically which assessment outcomes (both formative and summative) would contribute to the final outcome and be used to make a final judgement of competency and how these assessment outcomes would be captured to ensure evidence gathered during assessment is consistently interpreted and results in consistent assessment outcomes.

Furthermore, the organisation could not provide evidence to demonstrate clear and accurate information/instructions were available to both assessors and students about assessment requirements. For example but not limited to; the practical checklist is used after the 5 day face to face however no clear instructions as to how this will occur.

TAEASS502B Design and develop assessment tools

The assessment tools provided did not fully address the requirements of the TAE10 Training and Education Training Package.

The assessment tools examined for the above unit of competency did not address all the required knowledge in its assessment tools. For example but not limited to; components of competency and dimensions of competency and principles of reasonable adjustment. Consequently, it could not be confirmed that the assessment tools would gather sufficient evidence on which to base a judgement of competence.

Furthermore, insufficient evidence was provided to demonstrate the RTO has developed assessment criteria that define the acceptable level of performance required for all the required knowledge to ensure consistency in the judgments being made by its assessor/s.

TAETAS501B Undertake organisational training needs analysis

The assessment tools provided did not fully address the requirements of the TAE10 Training and Education Training Package.

The assessment tools examined for the above unit of competency did not address all the required knowledge in its assessment tools. Consequently, it could not be confirmed that the assessment tools would gather sufficient evidence on which to base a judgement of competence.

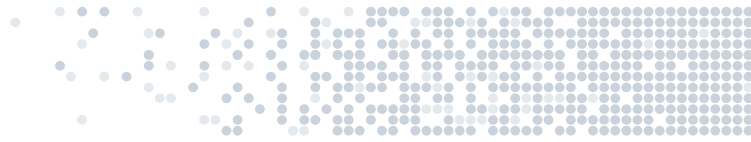
TAELLN401A Address adult language, literacy and numeracy skills

The assessment tools provided did not fully address the requirements of the TAE10 Training and Education Training Package. The assessment tools examined for the above unit of competency did not address all the required skills and knowledge in its assessment tools. Consequently, it could not be confirmed that the assessment tools would gather sufficient evidence on which to base a judgement of competence.

In order to become compliant, the organisation is required to:

RIIOHS601A Establish and maintain the OHS management system

- Provide amended assessment tools which fully address the entire unit of competency as specified in the RII09 Resources and Infrastructure Industry Training Package, including all the required skills and knowledge.



BSBWHS503A Contribute to the systematic management of WHS risk

BSBWHS505A Investigate WHS incidents

- Provide a full suite of assessment tools/tasks which address each unit of competency including all the elements/performance criteria, required skills and knowledge and critical aspects for assessment.
- The assessment tools/tasks are to be accompanied by clear information about assessment requirements for learners and assessors, including details of the assessment evidence to be collected and criteria defining the level of performance required to be demonstrated to support judgements about candidate competency.

TAEASS502B Design and develop assessment tools

- Provide amended assessment tools which fully address the unit of competency as specified in the TAE10 Training and Education Training Package, including all knowledge and evidence to demonstrate the RTO has developed assessment criteria that define the acceptable level of performance required for all assessment tools to ensure consistency in the judgments being made by its assessor/s.

TAETAS501B Undertake organisational training needs analysis

- Provide amended assessment tools which fully address the unit of competency as specified in the TAE10 Training and Education Training Package, including all knowledge.

TAELLN401A Address adult language, literacy and numeracy skills

- Provide amended assessment tools which fully address the unit of competency as specified in the TAE10 Training and Education Training Package, including all skills and knowledge.

Analysis of rectification evidence:

RIIOHS601A Establish and maintain the OHS management system

- The RTO has provided updated assessment tools which fully address the entire unit of competency as specified in the RII09 Resources and Infrastructure Industry Training Package, including all the required skills and knowledge.

BSBWHS503A Contribute to the systematic management of WHS risk

BSBWHS505A Investigate WHS incidents

- Provide a full suite of assessment tools/tasks which address each unit of competency including all the elements/performance criteria, required skills and knowledge and critical aspects for assessment.
- The assessment tools/tasks are to be accompanied by clear information about assessment requirements for learners and assessors, including details of the assessment evidence to be collected and criteria defining the level of performance required to be demonstrated to support judgements about candidate competency.

TAEASS502B Design and develop assessment tools

- The RTO has provided assessment tools that would gather sufficient evidence on which to base a judgement of competence and fully address the requirements of the TAE10 Training and Education Training Package.
- Additionally sufficient evidence has been provided that demonstrates the RTO has developed assessment criteria that define the acceptable level of performance required for all the required knowledge to ensure consistency in the judgments being made by its assessor/s.

TAETAS501B Undertake organisational training needs analysis

TAELLN401A Address adult language, literacy and numeracy skills

- The RTO has provided amended assessment tools which fully address the above units of competency as specified in the TAE10 Training and Education Training Package, including all skills and knowledge.

BSBWHS503A Contribute to the systematic management of WHS risk

BSBWHS505A Investigate WHS incidents

- The RTO has provided a full suite of assessment tools/tasks that address both units of



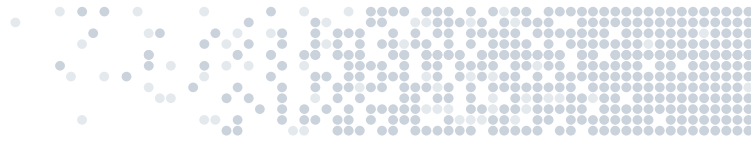
competency including all the elements/performance criteria, required skills and knowledge and critical aspects for assessment.

- Additionally, the assessment tools/tasks are accompanied by clear information about assessment requirements for learners and assessors, including details of the assessment evidence to be collected and criteria defining the level of performance required to be demonstrated to support judgements about candidate competency.

Reasons for outstanding non-compliance:

- Not applicable at this time

| | |
|---------------------------------|---|
| SNR 16 | The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows: |
| 16.1 | The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs. |
| Original finding: | Not audited |
| Following rectification: | n/a |
| 16.2 | The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data. |
| Original finding: | Not audited |
| Following rectification: | n/a |
| 16.3 | Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations. |
| Original finding: | Compliant |
| Following rectification: | n/a |
| 16.4 | 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. |
| Original finding: | Compliant |
| Following rectification: | n/a |
| 16.5 | Learners receive training, assessment and support services that meet their individual needs. |
| Original finding: | Not audited |
| Following rectification: | n/a |
| 16.6 | Learners have timely access to current and accurate records of their participation and progress. |
| Original finding: | Not audited |
| Following rectification: | n/a |
| 16.7 | The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. |
| Original finding: | Not audited |
| Following rectification: | n/a |



SNR 17 Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:

17.1 The NVR registered training organisation’s management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.

Original finding: Not audited

Following rectification: n/a

17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.

Original finding: Not audited

Following rectification: n/a

17.3 The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

Original finding: Compliant

Following rectification: n/a

17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.

Original finding: Not audited

Following rectification: n/a

SNR 18 The NVR registered training organisation has governance arrangements in place as follows:

18.1 The NVR registered training organisation’s Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation’s scope of registration, as listed on the National Register.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The non-compliances identified at audit demonstrate the organisation’s chief executive has not ensured the NVR registered training organisation has complied with the VET Quality Framework across its operations and entire scope of registration.

In order to become compliant, the organisation is required to:

- Rectifying all the non-compliances identified at audit will address the non-compliances identified. No further evidence is required.

Analysis of rectification evidence:

- The organisation has provided sufficient evidence that demonstrates all non-compliances identified at audit have been rectified.

Reasons for outstanding non-compliance:

- Not applicable at this time



18.2 The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.

Original finding: Not audited

Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

19.1 The NVR registered training organisation must co-operate with the National VET Regulator:
(a) in the conduct of audits and the monitoring of its operations;
(b) by providing accurate and timely data relevant to measures of its performance;
(c) by providing information about significant changes by its operations;
(d) by providing information about significant changes to its ownership; and
(e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.

Original finding: Not audited

Following rectification: n/a

SNR 20 Compliance with legislation

20.1 The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.

Original finding: Not audited

Following rectification: n/a

20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Original finding: Not audited

Following rectification: n/a

SNR 21 Insurance

21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.

Original finding: Not audited

Following rectification: n/a

SNR 22 Financial management

22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.

Original finding: Not audited

Following rectification: n/a



- 22.2** The NVR registered training organisation must provide the following fee information to each client:
- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;
 - (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
 - (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;
 - (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and
 - (e) the organisation's refund policy.

Original finding: Not audited

Following rectification: n/a

- 22.3** Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:
- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;
 - (b) ~~(Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme; [option 2 not currently available]~~
 - (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;
 - (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or
 - (e) ~~(Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator. [option 5 not currently available]~~

Original finding: Not audited

Following rectification: n/a

SNR 23 Certification, issuing and recognition of qualifications & statements of attainment

- 23.1** The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:
- (a) meets the Australian Qualifications Framework (AQF) requirements;
 - (b) identifies the NVR registered training organisation by its national provider number from the National Register and
 - (c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Compliant

Following rectification: n/a



23.2 The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.

Original finding: Not audited

Following rectification: n/a

23.3 The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.

Original finding: Not audited

Following rectification: n/a

23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]

This element was not audited.

23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]

This element was not audited.

SNR 24 Accuracy and integrity of marketing

24.1 The NVR registered training organisation must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.

Original finding: Not audited

Following rectification: n/a

24.2 The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.

Original finding: Not audited

Following rectification: n/a

SNR 25 Transition to Training Packages/expiry of VET accredited courses

25.1 The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.

Original finding: Not audited

Following rectification: n/a

25.2 The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.

Original finding: Not audited

Following rectification: n/a