

AQTF Audit Report

Initial Registration

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The 3 Amigos Enterprises Pty Ltd t/a Leichardt Education and Training – NTIS #32368

 FM-PMA-34e
 TRIM No: 10/159096
 Version 3 – 2 November 2010
 Training and International Quality

Organisation details			
Principal address	3 Gretel Drive, Mermaid Waters		
Audit venue	Boardroom at Lakelands Gold Course, Gooding Drive, Merrimac		
RTO contact	Mr Ari Koskela	Phone number	(07) 55722069
Proposed operations	<ul style="list-style-type: none"> • Core clients are fee-for-service learners and corporate clients • The applicant does not intend to deliver interstate • The delivery mode for HLT21107 Certificate II in Emergency Medical Service First Response [partial delivery] is face-to-face delivery • The delivery mode for CPC10108 Certificate I in Construction [partial delivery] <i>CPCCOHS1001A Work safely in the construction industry</i> is online delivery • The delivery mode for BSB30407 Certificate III in Business Administration and BSB50407 Diploma of Business Administration is a combination of online learning and participation in work related projects linked to both the learners work environment or simulated environment • The applicant does not intend on utilising a partner organisation in the delivery of the qualifications examined at audit. 		
Audit team			
Lead auditor	Ms Janet Tkachenko	Auditor/s	Not applicable
Phone	(02) 66762171	Adviser/s	Not applicable
E-mail	janet.tkachenko@bigpond.com	Observer/s	Not applicable
Audit details			
Reason/s for audit	INITIAL REGISTRATION		
Audit date/s	20 April 2011	Audit number/s	3236817862A
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, 3.3, 3.4		
Conditions audited	NIL		
Audit outcome on day of audit	Compliant <input type="checkbox"/>	Significant non-compliance <input checked="" type="checkbox"/>	Minor non-compliance <input type="checkbox"/>
		Critical non-compliance <input type="checkbox"/>	
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	<ul style="list-style-type: none"> • The applicant advised the auditor that it intends to apply for CRICOS registration • The applicant advised the auditor that, long term, it intends to deliver in Taiwan 		
Focus of audit			
Code	Qualification / Course / Unit title	Regulated	Delivery venues
CPC10108	Certificate I in Construction [partial delivery] <i>CPCCOHS1001A Work safely in the construction industry</i>	<input type="checkbox"/>	Online delivery



HLT21107	Certificate II in Emergency Medical Service First Response [partial delivery]	<input type="checkbox"/>	Hired training rooms
BSB30407	Certificate III in Business Administration	<input type="checkbox"/>	Online/ workplace
BSB50407	Diploma of Business Administration	<input type="checkbox"/>	Online/ workplace

Interviewee/s (incl. position)

Mr Ari Koskela, Chief Executive Officer
 Mr Tim Quinlivan, Trainer/assessor
 Ms Serena Koskela, Trainer/assessor
 Ms Sharon Quinlivan, Administrator

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Standard 1: The applicant has strategies in place to provide quality training and assessment across all its operations

Elements	Examined
1.1 The applicant has a defined continuous improvement strategy that allows for the collection and analysis of data. The strategy includes implementation of continuous improvement activities for 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 to be used by the applicant are consistent with the requirements of the Training Package or accredited course and the applicant's own training and assessment strategies.	<input checked="" type="checkbox"/>
1.4 The applicant has a defined strategy, procedures and measures to ensure training and assessment services 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, 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. 	<input checked="" type="checkbox"/>
1.5 The applicant has a defined strategy and procedures in place to ensure that assessment, including Recognition of Prior Learning (RPL): <ul style="list-style-type: none"> a) will meet the requirements of the relevant Training Package or accredited course b) will be conducted in accordance with the principles of assessment and the rules of evidence c) will meet workplace and, where relevant, regulatory requirements d) is systematically validated. 	<input checked="" type="checkbox"/>

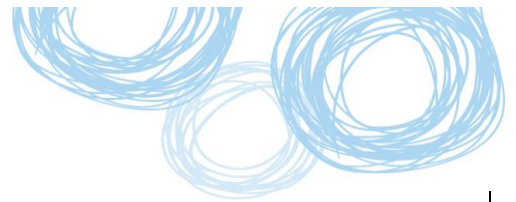
Audit findings**At time of audit:**

- Compliant
 Not Compliant

Following rectification received:

- Compliant
 Not Compliant





Findings:

The applicant has a clear plan to collect data and improve training and assessment in response to the data collected. The applicant presented its 'staff manual 2011 policies and procedures' which included continuous improvement policy and procedures. The system clearly defines the organisations continuous improvement approach for training and assessment; student services; management systems and conditions of registration. Outcomes from the analysis of collected data will be addressed through the applicants internal review processes.

The applicant intends to utilize the following evaluation instruments:

- *Learner questionnaire*
- *Employer questionnaire*
- *Training Evaluation (on-line)*
- *IBSA feedback forms*

Strategies for training and assessment evaluated at the audit site would effectively guide trainers and assessors in the delivery of the programs. The strategies have been developed in consultation with recruitment agencies, small businesses and a gymnastics association.

The resources to be used by the applicant when it gains registration as an RTO across all of its operations are consistent with current industry standards and training package requirements. The applicant has, for example, but was not limited to, purchased IBSA and Aspire learner resources; developed handouts and PowerPoint presentation. The application has a range of learner support resources, for example, but was not limited to, mannequins, first aid booklets, bandages, splints, first aid kits and resuscitation masks.

The applicant has developed 'assessment methods evidence guides' and 'assessment plans'. The plans/guides included elements performance criteria; required skills and knowledge; range statement; critical aspects; evidence guide context of specific resources for assessment and methods of assessment.

The applicant will utilize TMBD student management platform for the management of its online delivery.

The applicant was able to demonstrate that Ms Serena Koskela has vocational and training/assessment qualifications in the business industry area and continues to develop her vocational and training/assessment competencies to support continuous improvements in the delivery of its services.

The applicant has yet to employ a trainer and assessor for the delivery of CPC10108 Certificate I in Construction [partial delivery] *CPCCOHS1001A Work safely in the construction industry*; however, the applicant provided its 'staff manual' which included the recruitment policy and mandatory trainer/assessor requirements. The policy was supported by a professional development policy; induction policy and human resource policy.

Non-compliances:

Trainers/assessors

The applicant did not provide sufficient evidence to demonstrate that Mr Tim Quinlivan, the nominated trainer/assessor for HLT21107 Certificate II in Emergency Medical Service First Response [partial delivery] *HLTFA201A Provide basic emergency* and *HLTFA301B Apply first aid*, has the relevant training and assessment competencies nor the relevant vocational competency at least the level being delivered or assessed.

Assessment

Whilst considerable work has been undertaken in the development of assessment tools, gaps were identified against the units of competency examined at audit. The applicant did not provide sufficient evidence to demonstrate that assessments ensure that only learners who hold the requisite skills and knowledge are certified as competent.

CPC10108 Certificate I in Construction [partial delivery]

CPCCOHS1001A Work safely in the construction industry

- insufficient evidence was presented to demonstrate that the required skills have been addressed. For example, do the fire



safety questions meet legislative requirements? There was an insufficient 'bank' of relevant questions which would provide a range of 'random' questions; particularly when questions are incorrectly answered.

HLT21107 Certificate II in Emergency Medical Service First Response [partial delivery]

HLTFA301B Apply first aid

HLTFA201A Provide basic emergency life support

- insufficient evidence was presented to demonstrate that clear information about assessment requirements is provided to learners.

BSB30407 Certificate III in Business Administration

BSBITU307A Develop keyboarding speed and accuracy

BSBOHS201A Participate in OHS processes

- no evidence was presented to determine if assessment processes, tools and practices are systematically validated.

BSB50407 Diploma of Business Administration

BSBADM506B Manage business document design and development

BSBMGT502B Manage people performance

- no evidence was presented to determine criteria defining acceptable performance are outlined for all instruments
- no evidence was presented to determine if assessment processes, tools and practices are systematically validated.

Rectification required:

The applicant is required to provide evidence that:

- Mr Tim Quinlivan meets national benchmark competency requirements
- assessments, for the units of competency examined at audit, meet the requirements of the Training Package and are conducted in accordance with the principles of assessment and the rules of evidence and are systematically validated as identified within the non-compliances noted above.

Strengths

- Nil identified.

Opportunities for Improvement

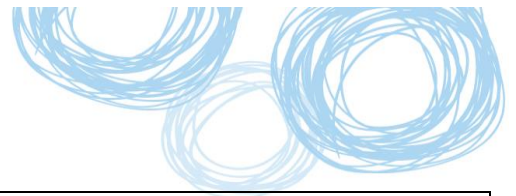
- The applicant is recommended to consider reviewing its continuous improvement policy, strengthening the information on the collection of the mandatory collection of the national quality indicators
- The applicant is recommended to consider developing an evaluation plan and/or evaluation calendar.

Standard 2: The applicant has strategies in place to adhere to the principals of access and equity and to maximise outcomes for its clients

Elements		Examined
2.1	The applicant has a strategy in place detailing how it will establish and meet the needs of clients.	<input checked="" type="checkbox"/>
2.2	The applicant has a strategy in place for the implementation of continuous improvement of client services informed by the analysis of relevant data.	<input checked="" type="checkbox"/>
2.3	The applicant has in place a process and mechanism to provide all clients information about the training, assessment and support services to be provided, and about their rights and obligations, prior to enrolment or entering into an agreement.	<input checked="" type="checkbox"/>
2.4	Where identified in the learning and assessment strategy, the applicant has engaged or has a defined strategy in place to engaged with employers or other parties who contribute to each learner's training and assessment on the development, delivery and monitoring of training and assessment.	<input checked="" type="checkbox"/>
2.5	The applicant has a defined process and mechanism in place to ensure learners receive training, assessment and support services that meet their individual needs.	<input checked="" type="checkbox"/>
2.6	The applicant has a defined process and mechanism in place to ensure learners have timely access to current and accurate records of their participation and progress.	<input checked="" type="checkbox"/>
2.7	The applicant has a defined complaints and appeals process that will ensure learner's complaints and appeals are addressed effectively and efficiently.	<input checked="" type="checkbox"/>

Audit findings

At time of audit:



- Compliant**
 Not compliant

Findings:

On registration, clients' services will meet clients' needs. The applicant's enrolment form provided an opportunity for students to self-identify additional support requirements. The applicant advised that the enrolment procedure included email and phone contact with the client in developing a training program which the organisation refers to a 'training plan'.

The applicant has a clear plan to collect, analyse and act on data and improve client services when it commences operations.

On registration, clients will be provided with accurate and sufficient information to make an informed choice about their enrolment. Adequate information on services to be provided was included in the 'student manual 2011 policies and procedures' and the 'code of practice'.

The applicant has developed 'quick course guides' which provided adequate course information for the qualifications examined at audit. The applicant has developed a website <http://ledt.com.au>.

Whilst students may be employed in the industry employer engagement will not occur. The applicant does not intend to delivery programs under traineeship arrangements.

On registration, learners will have every reasonable opportunity to complete their training program. The 'student manual 2011 policies and procedures' and the 'staff manual 2011 policies and procedures' included information on learner support. The applicant has developed mechanisms to monitor learner progress.

Learners will have access to their records. The 'student manual 2011 policies and procedures' and the 'staff manual 2011 policies and procedures' included information on students' access to their records.

The applicant has developed a process for handling complaints and appeals, ensuring that clients and staff know about and follow the system, taking corrective action to deal with the identified causes of complaints. The 'student manual 2011 policies and procedures' and the 'staff manual 2011 policies and procedures' included information on the complaint and appeals process.

Strengths

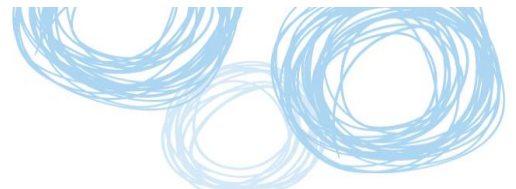
- Nil identified.

Opportunities for Improvement

- The applicant is recommended to consider reviewing sections of its 'student manual 2011 policies and procedures' and 'staff manual 2011 policies and procedures' for example, but were not limited to:
 - charge out rates to reflect unit costs
 - add a list of relevant external providers of student support services
 - separate the complaints and appeals process
 - partnership agreements to include a statement regarding the verification of trainers/assessor qualifications
- The applicant is recommended to consider reviewing its enrolment form to include a section for guardian/parental permission
- The applicant is recommended to consider developing an enrolment checklist.

Standard 3: The applicant has in place management systems that will be responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO will operate

Elements		Examined
3.1	The applicant has a strategy in place detailing how the management of its operations will ensure clients receive the services detailed in their agreement with the applicant.	<input checked="" type="checkbox"/>
3.2	The applicant has a defined strategy for the implementation of a systematic and continuous improvement approach to the management of operations.	<input checked="" type="checkbox"/>



3.3	Where applicable, the applicant has a defined process and mechanism to monitor training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the <i>AQTF Essential Conditions and Standards for Initial Registration</i> .	<input checked="" type="checkbox"/>
3.4	The applicant has a defined strategy and process to manage records to ensure their accuracy and integrity.	<input checked="" type="checkbox"/>

Audit findings

At time of audit:
 Compliant
 Not Compliant

Findings:
Clients' rights as consumers will be protected. The applicant has made a commitment, referenced in its 'staff manual 2011 policies and procedures' and the 'code of practice' to deliver and assess in accordance with the standards. The student and trainer expectations are described in the 'student manual 2011 policies and procedures'.

The applicant demonstrated that there is relevant and sufficient documentation of management systems for the scope and size of its operation. Staffs know and meet their responsibilities for implementing the system and the system will be systematically monitored and improved. The applicants' management structure includes a board of governors.

The applicant presented its 'staff manual 2011 policies and procedures' which included for example, but were not limited to:

- continuous improvement
- complaints
- compliance with legislation
- financial management
- assessment
- administration and records management

The applicant does not intend on utilising partner organisations in the delivery of the examined training package qualifications.

On registration, records maintained by the applicant support the continuous improvement of its operations and provide evidence of compliance with the AQTF Essential Conditions and Standards for Continuing Registration. The applicants' student and staff policies and procedures included 'records management' stating that student results are kept for thirty years.

The applicant will maintain:

- Enterprise Solution Alliance (ESA) student record keeping system and RTO compliance
- TMDB online training information management system
- assessment tools will be maintained electronically
- professional development records will be maintained on ESA

The exemplar statement of attainments and qualifications examined at audit meet the AQF wording requirements.

Strengths

- Nil identified.

Opportunities for improvement

- Nil identified.