AQTF 2007 AUDIT REPORT

RTO DETAILS				
RTO Name	HRD Integrated Services Pty. Ltd. as Trustee for the Nankervis Family Trust trading as HRD Integrated Services	NTIS Number		22116
Address	Unit 2 14 Akuna Dr, Williamstown			
		Website		www.hrdi.com.au
Registration Contact	Phil Nankervis			
Phone Number	0419889189	E-mail		Phil.nankervis@hrdi.com.au
Student Numbers	30			
AUDIT TEAM				
Lead Auditor	Cheryl Richards	Auditor/s		
Technical Advisor/s		Observer/s		
REGISTERING BODY DETAILS				
Contact Person	Jerzy Gill			
Phone Number	9651 3226	E-mail		gill.jerzy.j.edumail.vic.gov.au
AUDIT DETAILS				
Type of Audit	AQTF 2007 12 Month			
Standards audited	AQTF 2007 Essential Standards 1, 2 and 3			
Conditions audited	Condition 6			
Audit Date/s	3rd February 2010			
Other audit notes	HRD is an RTO specialising in providing Rail Signalling training for the Victorian Rail companies. HRD has fostered close links with industry and participates in projects with the Department of Transport. HRD uses training facilities in Newport set up for the rail industry by the Victorian Government. They provide training for apprenticeships and adult traineeships. HRD is governed by a set of policies and procedures; the owner is also the training manager and trainer. An additional full time trainer is employed and the office has several part time administration staff. HRD has 2 Victorian courses and units of competency from the UEE07 training package on scope. As the courses expire they will be replaced by qualifications from the training package. The numbers of students enrolled in each item on scope are in brackets in the table below. HRD was compliant in most areas with the non-compliances easily rectified at the audit.			
FOCUS OF AUDIT				
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE				
NTIS Code	Qualification/Unit of Competence/Accredited Course (as per NTIS)			Delivery Site

21730VIC	Certificate IV in Rail and Tram Signal Systems (9)	Newport
21834VIC	Diploma of Rail Signalling Systems	Newport
UEENEED002B	Assemble, set up and test personal computers	Newport
UEENEED043B	Install and configure a computer operating system and software	Newport
UEENEED046B	Set up and configure basic local area network	Newport
UEENEEE014B	Supervise and coordinate work activities	Newport
UEENEEG017B	Install electrical power and control equipment for rail network signalling (7)	Newport
UEENEEG034B	Perform high voltage field switching to a given schedule	Newport
UEENEEN001B	Service mechanical signalling equipment and infrastructure	Newport
UEENEEN002B	Assemble and wire internal electrical signalling equipment (7)	Newport
UEENEEN003B	Install and maintain track circuit leads and bonds (7)	Newport
UEENEEN004B	Perform cable tests	Newport
UEENEEN005B	Install and maintain signalling power supplies	Newport
UEENEEN006B	Maintain remote control and non-vital interlocking control systems	Newport
UEENEEN007B	Maintain power signalling and protected level crossing equipment	Newport
UEENEEN008B	Maintain on site power operated point-activating devices	Newport
UEENEEN009B	Maintain track circuit equipment	Newport
UEENEEN010B	Maintain electronic signalling and communication equipment	Newport
UEENEEN011B	Install and maintain power operated signalling equipment	Newport
UEENEEN012B	Maintain power signalling and protective relay interlocking systems	Newport
UEENEEN013B	Install and test computer based interlocking equipment	Newport
UEENEEN014B	Maintain computer based and solid state interlocking systems	Newport
UEENEEN015B	Conduct routine inspecting and testing of new signal cables and lines	Newport
UEENEEN016B	Maintain electronic switched and microprocessor-based remote control systems	Newport
UEENEEN017B	Install and maintain transmission interface equipment	Newport
UEENEEN018B	Find and repair wiring system faults	Newport
UEENEEN019B	Test equipment and isolate faults	Newport
UEENEEN020B	Install electrical power and control equipment for rail networks	Newport
UEENEEN025B	Coordinate and manage track protection	Newport
UEENEEN026B	Develop rail signalling maintenance programs	Newport
UEENEEN027B	Decommission electrical and electro-mechanical signalling from service	Newport
UEENEEN028B	Test and commission power signalling equipment	Newport

INTERVIEWEE/S (Staff -name and position; employer name and position ; students (by program, do not list by name)		
Phillip Jarvis	Trainer	This trainer also participated in the audit

STANDARDS

Standard 1: The RTO provides quality training and assessment across all of its operations		
Audit conclusion	**Result**	✔
1.1 Findings *HRD is compliant with Standard 1.1*	Compliant	✔
1.2 Findings *HRD is compliant with Standard 1.2*	Non-compliant	
1.3 Findings *HRD is compliant with Standard 1.3*	Not audited	
1.4 Findings *HRD is compliant with Standard 1.4*		
1.5 Findings HRD did not have adequate documented assessment criterion for judging RPL. The Director and Trainer verbally explained the requirements that included industry specific requirements however these were not documented. Recommendations: It is recommended that HRD formalise the criteria for ensuring an adequate RPL assessment judgement. This must be completed for all items on scope. Rectification evidence sighted at audit Sighted a revised RPL application process and evidence collection document that contains the criteria. This criterion is applicable to all units on scope. *The RTO is now compliant with Standard 1.5*		
Strengths		
Opportunities for Improvement		
1.1 Improvement Opportunity: Even though the continuous improvement items are checked through the sign off on the form and at staff meetings, HRD could improve their CI process by adding a column in the register to indicate that the evaluation was completed. This was incorporated during the audit.		

1.2 Improvement Opportunities:

1.2.1 HRD would benefit from referencing the use of the Assessment Validation Report Form in the Assessment Validation Procedure to ensure all the procedures flow systematically.

1.2.2 HRD would benefit from updating the Learning and Assessment template to include a clear description of how HRD addresses specific licensing and legislative requirements. This could also include references to the OH&S requirements. The LAS template could also provide more specific detail on resources, equipment and facilities used in the training.

1.4 Improvement Opportunities:

1.4.1 HRD would benefit from documenting the use of the Direct Supervision record into the policies and procedures to ensure these records are systematically gathered and the evidence retained for compliance.

1.4.2 While all trainers had working with children checks the requirement was not documented in the procedures. HRD would benefit from including procedures for working with children into the Staff Recruitment, Induction and Professional development policies and procedures.

1.4.3 HRD would benefit from adopting best practice for resumes and ensure that staff supply signed and date resumes indicating the information in them is true and correct.

1.4.4 Current rail medicals are required for any person requiring access to rail signalling workplaces, including trainers. Both HRD trainers had evidence of these medical certificates; however the requirement for them was not documented in the Staff Recruitment, Induction and Professional development.

Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients		
Audit conclusion	Result	✔
2.1 Findings *HRD is compliant with Standard 2.1*	Compliant	✔
2.2 Findings HRD had a process in place to ensure it systematically provided adequate information to students prior to enrolment however this was not accurately reflected in the Trainee Selection Enrolment and Induction/Orientation policy and procedure.	Non-compliant	
Recommendations: It is recommended that HRD review the Induction and enrolment process in the Trainee Selection Enrolment and Induction/Orientation policy and procedure to reflect accurately the process and documents used to ensure students and employers are fully informed prior to enrolment.	Not audited	
Rectification evidence sighted at audit Sighted a revised Trainee Selection Enrolment and Induction/Orientation policy and procedure that accurately describe the information to employers and students, induction and enrolment processes conducted by the RTO. *The RTO is now compliant with Standard 2.2* **2.3 Findings** *HRD is compliant with Standard 2.3* **2.4 Findings**		

HRD is compliant with Standard 2.4

2.5 Findings
HRD is compliant with Standard 2.5

2.6 Findings
HRD had a Complaints and Appeals policy and procedure. This was a very detailed procedure which had several inadequacies; some of the definitions and terminology had been confused, this form is also used for "Incidents" but these were not mentioned or defined in the procedure, contained a resolution timeframe for complaints from the VRQA not for other complaints or appeals.

Recommendations:
It is recommended that HRD review the Complaints and Appeals policy and procedure, clarify the definitions of complaints, appeals and incidents and ensure both the formal and informal processes for resolving these are documented accurately and that terminology is consistent. This includes references to forms used.

Rectification evidence sighted at audit
Sighted a revised Complaints and Appeals policy and procedure that contained correct and consistent terminology and a clear process for resolving complaints and appeals.

HRD is now compliant with Standard 2.6

Strengths

Opportunities for Improvement

2.1 Improvement Opportunities:
2.1.1 HRD would benefit from ensuring they gather more explicit feedback on its client services, for example the website. It would also benefit from including more specific questions on the feedback questionnaire about the additional client services and student support services they provide.

2.2 Improvement opportunities
2.2.1 HRD would benefit from having students sign the enrolment form to state that they have been inducted into the Rail Skills Centre and thus understand the requirements at this facility.

2.2.2 HRD would benefit from having a question on the enrolment form to gather feedback on the Induction and Enrolment process

2.5 Improvement Opportunity
2.5.1 HRD would benefit from adding a checklist item to the Staff Induction checklist to state that record keeping responsibilities have been explained to staff.

2.6 Improvement Opportunity:
2.6.1 To ensure complaints and appeals are treated as opportunities for improvement, HRD would benefit augmenting its into its Complaints and Appeals policy and procedure, documenting how the information from the Complaints or Appeals Form is recorded on the Continuous Improvement Form and then follows the continuous improvement path to the continuous improvement register. This is not clearly spelt out in either the Complaints and Appeals or the CI policies and procedures.

Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates		
Audit conclusion	**Result**	**✓**
3.1 Findings	Compliant	✓
HRD is compliant with Standard 3.1	Non-compliant	
3.3 Findings	Not audited	
HRD had adequate systems and procedures for Records Management however it did not have Statement of Attainment that met the requirements of AQF. Recommendations: It is recommended that HRD review the Statement of Attainment to ensure it has the descriptor at the top. Rectification evidence sighted at audit Sighted a revised Statement of Attainment containing the descriptor. *The RTO is now compliant with Standard 3.3*		
Strengths		
Opportunities for Improvement		
3.3 Improvement opportunities 3.3.1 HRD would benefit from ensuring it updates the records management and administration procedure to reflect new back up procedures after the new server is installed. 3.3.2 HRD would benefit from referring to the actual Excel file rather than the generic "trainee records system" in the records management and administration procedure		

CONDITION 6 – CERTIFICATION AND ISSUING OF QUALIFICATIONS AND STATEMENTS OF ATTAINMENT		
Evidence	**Result**	**✓**
Sighted Statement of Attainment template that does not contain the descriptor All credentials with correct use of logos	Compliant	✓
	Non-compliant	
	Not audited	
	Not applicable	
Findings		
C6: HRD does not have statements of attainment that comply with the requirements of the AQF Implementation Handbook as the Statement of Attainment template does not contain the new descriptor		

sentence.

Recommendations:
It is recommended that HRD review the Statement of Attainment to ensure it has the descriptor at the top.

Rectification evidence sighted at audit
Sighted a revised Statement of Attainment containing the descriptor.

The RTO is now compliant with Condition 6