

## AQTF Essential Conditions and Standards for Continuing Registration AUDIT REPORT

**RTO:** Armstrongs Driver Education Pty Ltd

**Audit Date:** 3–4 October 2013

| RTO DETAILS                                 |   |   |  |    |
|---|---|---|--|----|
| RTO Name                                    | Armstrongs Driver Education Pty Ltd   | RTO Number  | 6138   |    |
| Address                                     | 356 Settlement Rd, Thomastown   |   |  |    |
|   | Website   | <a href="http://armstrongsdrivereducation.com.au">http://armstrongsdrivereducation.com.au</a> |  |    |
| Registration Contact                        | Beryl Nicholson   |   |  |    |
| Phone Number                                | 9464 6464   | Email   | <a href="mailto:beryl@armdrive.com.au">beryl@armdrive.com.au</a>               |    |
| Student Numbers                             | 1524  |   |  |    |
| AUDIT TEAM                                  |   |   |  |    |
| Lead Auditor                                | Chloe Dyson   | Auditor/s   |  |    |
| Technical Advisor/s                         |   | Observer/s  |  |    |
| REGISTERING BODY DETAILS                    |   |   |  |    |
| Contact Person                              | Emma Hickingbotham  |   |  |    |
| Phone Number                                | 9032 1562   | Email   | <a href="mailto:vet.audit@edumail.vic.gov.au">vet.audit@edumail.vic.gov.au</a> |    |
| AUDIT DETAILS                               |   |   |  |    |
| Type of Audit                               | Extension to scope and Renewal  |   |  |    |
| Conditions audited                          | 1, 3, 4, 6, 7, 8, 9. <i>(Conditions 2 &amp; 5 are not required to be audited, see page 3 below)</i>   |   |  |    |
| 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, 3.4  |    |
| Audit Date/s                                | 3–4 October 2013  |   |  |    |
| Other audit notes                           | The RTO has been registered since 1998. It is a family business, with three generations involved in the management and the administration of the RTO. The RTO's core business is the licensing programs and it is licensed through VicRoads to conduct assessment for licensing purposes. |   |  |    |
| ACCOMPANYING REPORTS                        |   |   | Yes  | No |
| VRQA Guidelines Audit Report                |   |   | ✓  |    |
| VRQA Guidelines – Re-registration Checklist |   |   | ✓  |    |

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| FOCUS OF AUDIT                                     |  |                                     |
|--|--|-------------------------------------|
| QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE |  |                                     |
| TGA Code   | Qualification/Unit of Competence/Accredited Course (as per TGA)                                | Delivery Site                       |
| Renewal of registration                            |  |                                     |
| TAE40110   | Certificate IV in Training and Assessment  | Thomastown and at clients' premises |
| TLI31210   | Certificate III in Driving Operations  | Thomastown                          |
| TLI31610   | Certificate III in Warehousing Operations  | Thomastown                          |
| TLILIC2015B  | Licence to drive a medium rigid vehicle  | Thomastown                          |
| TLILIC2001A  | Licence to operate a forklift truck  | Thomastown                          |
| Extension to scope                                 |  |                                     |
| TLILIC2002A  | Licence to operate an order picking forklift truck.  | Thomastown                          |
| TLIF2092A  | Demonstrate awareness of chain of responsibility regulations (already on scope, desk reviewed) | Thomastown                          |

| INTERVIEWEE/S: Staff name and position; employer name and position; students by program |                                       |
|---|---------------------------------------|
| Alene McGowan – General Manager   | Barry Nicholson – Director            |
| Adam Judge – Operations Manager and Trainer<br>(Licensing units, Driving)               | Emma Ayton – Compliance Administrator |

| PERMANENT DELIVERY SITES:   |
|---|
| <p>Do the RTO's permanent delivery sites match the information provided by the VRQA?</p> <p><input checked="" type="checkbox"/> Yes, no further information required.</p> <p><input type="checkbox"/> No, please provide amended details below:</p> |

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### AUDIT SUMMARY

| Conditions of Registration |  | Compliant | Non-compliant | Not audited |
|----------------------------|--|-----------|---------------|-------------|
| 1                          | <b>Governance</b><br>1.1 CEO must ensure the RTO complies with relevant conditions, standards and guidelines<br>1.2 Fit & Proper Persons Tests<br>1.3 Input of Trainers and Assessors in senior management decision making |           | ✓             |             |
| 2                          | <b>Interactions with the Registering Body</b>  |           |               | ✓           |
| 3                          | <b>Compliance with Legislation</b>   | ✓         |               |             |
| 4                          | <b>Insurance</b>   | ✓         |               |             |
| 5                          | <b>Financial Management</b>  |           |               | ✓           |
| 6                          | <b>Certification &amp; Issuing of Qualifications &amp; Statements of Attainment</b>  | ✓         |               |             |
| 7                          | <b>Recognition of Qualifications Issued by other RTOs</b>  |           | ✓             |             |
| 8                          | <b>Accuracy and Integrity of Marketing</b>   |           | ✓             |             |
| 9                          | <b>Transition to Training Packages/Expiry of Accredited Courses</b>  |           | ✓             |             |

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### Summary of non-compliances – Conditions of Registration

The RTO was non-compliant with the **Conditions**.  
Conditions 2 and 5 were not audited. The RTO was compliant in Conditions 3, 4 and 6.

#### **Condition 1 Governance**

This audit report illustrates that the RTO does not comply with all aspects of the AQTF, thus governance processes are not effective and the Condition has not been complied with.

#### **Condition 7 Recognition of Qualifications Issued by other RTOs**

The Recognition of AQF Qualifications policy and procedure and Staff Induction Handbook do not provide sufficient guidance on the administration of National Recognition. The flyers and Quick facts sheets, which are brief descriptions of programs for prospective students, raise the issue of National Recognition when describing RPL and RCC (these are assessment, not recognition processes). Students are required to approach their trainers at the beginning of their course for information about RPL/RCC and to approach administration staff to access an application form. This information does not clearly describe National Recognition, which should be applied for before the student commences classes.

#### **Condition 8 Accuracy and Integrity of Marketing**

TAE40110 flyers include the statement that the RTO provides 'upgrades from BSZ/TAA'. This is misleading as the RTO is not permitted to provide upgrades from the BSZ40198 to the TAE40110, given the Training Package requirements.

#### **Condition 9 Transition to Training Packages/Expiry of Accredited Courses**

Strategies for training and assessment describe transition processes. Processes as described are sufficient to allow transition to take place effectively, but the RTO has not transitioned effectively to the current version of TLI31210. The strategy for training and assessment for this Qualification contains superseded units. Refer Element 1.2.

### Recommendations

#### **Condition 1 Governance**

The RTO is required to revise its systems so that the CEO ensures that the RTO is compliant with the AQTF.

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**Condition 7 Recognition of Qualifications Issued by other RTOs**

The RTO is required to revise its processes for National Recognition and the related information provided to staff and students so that processes and responsibilities are clear.

**Condition 8 Accuracy and Integrity of Marketing**

The RTO is required to revise its marketing for the TAE40110 so that the information is accurate and not misleading.

**Condition 9 Transition to Training Packages/Expiry of Accredited Courses**

The RTO is required to implement its processes for the transition from superseded Training Packages.

**Strengths**

**Opportunities for Improvement**

Condition 6: The Student Handbook uses the out-dated term 'Mutual Recognition'. It is suggested this is altered to read, 'National Recognition'.

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### AUDIT REPORT

| <b>Standard 1: The RTO provides quality training and assessment across all of its operations</b>   |               |                                     |
|--|---------------|-------------------------------------|
| Audit conclusion   | Result        |                                     |
| The RTO is non-compliant in this Standard.   | Compliant     | <input type="checkbox"/>            |
| <b><u>Element 1.1 Continuous improvement</u></b>   | Non-compliant | <input checked="" type="checkbox"/> |
| <b>TAE40110</b>  | Not audited   | <input type="checkbox"/>            |
| <p>Feedback from survey participants was generally very positive, but a recurring theme was that the learning materials were poorly written and contained ambiguous questions and that the index and cover pages of the booklets required updating and alignment with the information in other documents (programs evaluated on 17/5/13, 11/5/13). Where there was negative feedback in the driving program this related to the structuring and quality of writing in the text based materials. Given this feedback, it would appear that the quality of written resources is a systemic issue, but the staff meetings for 2013 did not raise and discuss this issue. There were additional management meeting minutes (18/7/13, 17/6/13), which raised the issue of resources and materials relating to the driving programs; however, no action was specified to address this issue.</p> <p>The General Manager, Alene McGowan, stated at audit that she discussed the feedback about the TAE resources with the trainer, David Willis, who commented that, although the comments were justified, he would not take any action as he would refer, during delivery of the program, to the training resources as poor examples of training materials. This is not acceptable as the trainer would be modelling poor practice to the participants in that the poor quality resources were not revised in light of stakeholder feedback. Further, if the resources are poor quality they are not compliant with AQTF Element 1.3.</p> <p><b>Rectification required</b><br/>The RTO is required to adjust its continuous improvement processes so that the quality of training and assessment is continuously improved.</p> |               |                                     |
| <b><u>Element 1.2 Strategies for training and assessment</u></b>   |               |                                     |
| <b>REREGISTRATION</b>  |               |                                     |
| <b>TAE40110 Certificate IV in Training and Assessment:</b>   |               |                                     |
| Strategy states that delivery is conducted over 10 weeks, one day per week. However, the session plan for this Qualification states that delivery is   |               |                                     |

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over 6 weeks, one day per week. The General Manager, Alene McGowan, stated that the program is usually conducted over 10 days (8 days delivery, 1 day allocated to finishing off work and 1 day to presentations, which are assessed). She stated that if the group is small fewer days are allocated. The strategy does not accurately describe assessment methods used.

The strategy does not state that students require a simulated environment for assessment or how this would be managed; it does not state which training and assessment materials are used by the RTO. Much of the information in the strategy is generic.

Session plan:

The session plan for the units *Assess competence* and *Plan, organise and facilitate learning in the workplace*, which are each clustered with another unit, states that each sets of units are 'delivered' in one day. This is not sufficient time to address the skills and knowledge requirements of these units. There is no explanation in any of the documentation provided of how the short amount of time allocated allows the requirements of the units to be addressed in delivery, with sufficient opportunity for practice and consolidation. Neither the session plan nor the strategy explains where, when and how assessment takes place.

### **TLI31210 Certificate III in Driving Operations:**

The most recent strategy in place for the delivery of this Qualification was developed for delivery in 2012. The packaging in this strategy is incorrect as most of the units packaged into the Qualification have been superseded and the strategy has not been updated. The strategy does not accurately describe assessment methods used.

### **TLI31610 Certificate III in Warehousing Operations:**

The RTO had not developed a strategy for this Qualification as it develops strategies before the program is offered and the full Qualification has not been conducted. This document also provides some information, such as a brief description of the training, information about assessment for the licensing units but not for the remaining units, and states that RPL is available. It does not provide information on entry requirements, assessment methods to be used, industry consultation or timeframe for delivery. The strategy does not accurately describe assessment methods used.

### **TLILIC2001A Licence to operate a forklift truck:**

Strategy contains an incorrect code for this unit. Includes an 'AQF Description' relating to someone who gains the Certificate III in Warehousing Operations, not the single unit and to 'this qualification' throughout, so it is not designed specifically for the unit. The RTO website states that this unit is delivered with two other units: *TLIF1001A Follow occupational health and safety procedures* and *TLID2004A Load and unload goods/cargo*, but

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the strategy does not describe this clustered delivery. The resources and infrastructure section refers to forklifts, but also refers to vehicles and trailers, which are not relevant to this unit of competency. Pathways section relates to 'the whole qualification'. The strategy appears to relate primarily to a complete Qualification and contains inaccuracies.

### EXTENSION TO SCOPE

#### **TLILIC2002A Licence to operate an order picking forklift truck:**

Strategy states duration is 30 hours, states sessions are four hours and states RPL is available. It outlines licence requirements. Resources and infrastructure section is primarily related to trucks so the strategy is not specific to the unit, although forklifts are mentioned.

#### **TLIF2092A Demonstrate awareness of chain of responsibility regulations:**

Strategy sighted was for delivery at a client's premises. Duration is over one day (10 am to 4 pm), therefore approximately 5 hours, given breaks. It states that pre-reading (4 hours) is required. The strategy states assessment is demonstration, questioning, case study and written – it does not state if questioning is oral/written (p.1), but the description of assessment on page 3 does not mention case study. The purpose of the program is stated as: 'to provide participants with a sound understanding of responsibilities within transport and logistics industry'. This is not accurate. The strategy states that industry-standard vehicles and trailers are available at the RTO site. However, this is not relevant on two counts: such equipment is not required for the delivery; and, assessment of this unit and the strategy relates to training off-site.

#### **Rectification required**

The RTO is required to ensure that all strategies for training and assessment are accurate. The RTO is also required to revise its strategy for the TAE40110 so that sufficient opportunity is provided to develop competence.

### Element 1.3 Resources

#### **REREGISTRATION**

#### **TAE40110 Certificate IV in Training and Assessment**

Units reviewed

*TAEASS402B Assess competence*

(Note that the superseded unit code is used on the resources provided at audit.)



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The knowledge requirements of this unit include, but are not limited to, the principles and structures underpinning competency-based assessment, including: RPL; a range of relevant policy, legislation, codes of practice and national standards; and, OHS and equity considerations.

The skill requirements include analysis and interpretation skills; observation skills, research and evaluation skills, cognitive skills, decision-making skills, literacy skills, plus communication and interpersonal skills– all applied in preparing for and carrying out assessment.

The session plan for this unit, which is clustered with another unit, does not explain how the resources are used. It states that the two units are 'delivered' in one day. The Learner Guide addresses many aspects of the unit of competency, although only superficially, and is an introduction to the topic. It does not take the learner through the competency-based assessment process adequately and, although it mentions RPL, it does not discuss an RPL assessment process. It does not address a range of relevant policy, legislation, codes of practice and national standard and equity considerations. The guide also models poor assessment practices, for example, recording the outcome of assessment at element level.

The learner guide provides a prompt for group activities. These activities have not been developed. There is a document, 'Classroom activity', that is a collection of questions, but there is no direction on how these questions are to be used. Some of the questions are very superficial, for example, 'Should you collect evidence that reflects what is required to demonstrate competence?'. There is insufficient opportunity for extension, consolidation and practice of skills and knowledge.

### *TAEDEL402A Plan, organise and facilitate learning in the workplace*

The skill requirements of this unit include a range of communication, observation, interpersonal, organisational skills required to facilitate workplace training.

Knowledge requirements include systems, processes and practices within the organisation where work-based learning is taking place, different types of learners and their needs, hazards relating to the workplace and OHS processes, including reporting.

As with the unit *TAEASS402B* these resources are superficial, introduce many of the knowledge and skills requirements of the unit, but do not provide sufficient detail to develop and consolidate the required skills and knowledge. There is a document, 'Classroom activity' that is a collection of questions, but there is no direction on how these questions are to be used. There is insufficient opportunity for extension, consolidation and practice of skills and knowledge.

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### TLI31210 Certificate III in Driving Operations

Units reviewed

*TLIE3004A Complete workplace documentation (superseded by TLIE3004A Prepare workplace documents).*

This unit involves the skills and knowledge required to prepare workplace documents and forms in accordance with workplace requirements and any applicable regulations/, including planning and preparing a simple workplace document such as a letter or report, and gathering relevant information enabling the completion of a workplace form. Licensing, legislative, regulatory or certification requirements are applicable to this unit.

The learning resources address some of the unit requirements, but do not address unit knowledge requirements related to problem solving, workplace procedures, Australian and international codes and regulations relevant to the documents and/or forms being prepared. Unit skills requirements, including but not limited to, working collaboratively, adapting to cultural differences and prioritising work, are not addressed in the learning materials.

*TLIF2006A Apply accident-emergency procedures*

The knowledge requirements of the unit relate to: regulatory and code requirements applicable in accident/emergency situations; OH&S and environmental protection policies and procedures; procedures for accident-emergency responses; workplace emergency, fire and accident procedures; focus of operation of work systems, equipment or management, site and organisational operating and emergency procedures; and, typical problems that can occur during a safety incident, accident or emergency and related action that can be taken.

The skills requirements are extensive and include, but are not limited to, communicating effectively, following instructions, reporting problems, selecting and appropriately applying technology, information systems and policies during a safety incident, accident or emergency and so on.

The learning resources are not contextualised and provide scant information that does not relate to workplace requirements. The focus of the materials seems to be related to road accidents, but this is not explained. The resources are inadequate, do not provide opportunities for practice and consolidation (there are no activities) and do not address the requirements of the unit.

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### **TLI31610 Certificate III in Warehousing Operations**

Units reviewed

*TLIA3016A Use inventory systems to organise stock control* – There are no learning and assessment materials in place for this unit. The RTO purchases materials just before it plans to deliver the unit.

*TLIU3011A Implement and monitor environmentally sustainable work practices* – The RTO purchases materials just before it plans to deliver the unit.

Two alternative units were selected.

#### *TLIL1001A Complete workplace orientation/induction procedures*

This unit involves the skills and knowledge required to complete workplace orientation and induction procedures when commencing a new work role. It includes identifying major areas of the workplace in terms of functions, organisational structures and occupations, and organising and accepting responsibility for own workload. It also includes the application of ethical practices in work activities, receiving and acting constructively on personal feedback, participating in the identification and meeting of one's own learning needs, and planning and organising a personal daily routine. Licensing, legislative, regulatory or certification requirements are applicable to this unit.

The RTO is using Hinson Institute of Training resources. These resources contain general observations of what might take place at a workplace in relation to induction processes and lack sufficient guidance. There are no learning activities provided to assist participants to apply the information to a specific context. The learning materials are very superficial and do not address the unit's requirements.

#### *TLIE3012A Complete manifest documentation*

This unit involves the skills and knowledge required to consolidate manifest documentation, including the identification of the documentation required and the processing of the information in accordance with workplace procedures. Licensing, legislative, regulatory or certification requirements are applicable to this unit.

As with the unit *TLIL1001A Complete workplace orientation/induction procedures* the learning materials have not been contextualised. Further, they are poorly constructed as they do not provide sufficient explanation of the information provided. Students are not required to practice and consolidate any knowledge and skills. The training materials are very superficial and do not address the requirements of the unit of competency.

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### **EXTENSION TO SCOPE**

*TLIF2092A Demonstrate awareness of chain of responsibility regulations*

This unit involves the skills and knowledge required to identify, apply and follow chain of responsibility regulations that are applicable to the individual's job role. Licensing, legislative, regulatory and certification requirements are applicable to this unit. The unit skill requirements include application of strategies to prevent breaches of the chain of responsibility, implementing actions to prevent possible breaches, reviewing updates to the chain of responsibility and utilising communication strategies. Knowledge requirements include, but are not limited to, state and territory legislation, workplace procedures, regulations, reporting procedures and so on.

The lesson plan states that the resources required are a copy of the Reform Bill, case studies, assessment activities and whiteboard. Delivery materials are PowerPoint slides, a copy of the Road Transport Reform (Compliance and Enforcement) Bill – Model provisions and a case study, which is also used for assessment. The PowerPoint slides introduce the training session, but do not provide content. The case study includes information to provide a context for the application of the legislation, but does not assist participants to develop the skills associated with the unit and does not develop the unit knowledge requirements.

Refer also AQTF 1.4 and 1.5

### **Rectification required**

The RTO is required to revise the learning materials for the Qualifications it has on its scope as well as for the unit *TLIF2092A Demonstrate awareness of chain of responsibility regulations*. Refer also Elements 1.4 and 1.5.

### **Element 1.4 Staffing**

Of the files sampled at audit, the following staff files did not include evidence of trainers' vocational competency:

- Adam Judge
- Stewart Stennett
- Christopher (Joe) Borg.

In addition, the poor quality of training and assessment identified at audit indicates that staff members have not continued to develop their training and assessment skills and knowledge as required by AQTF 1.4d.

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### Rectification required

The RTO is required to ensure that there is evidence of vocational competency for all trainers and assessors. In addition, the RTO is required to develop and implement a strategy to ensure that trainers and assessors continue to develop their trainer/assessor competence.

### Element 1.5 Assessment

#### REREGISTRATION – Assessment tools

#### TAE40110 Certificate IV in Training and Assessment

Units reviewed

*TAEDEL402A Plan, organise and facilitate learning in the workplace*

This unit requires evidence to be collected of the ability to:

- Prepare and facilitate work-based learning
- Provide evidence of a minimum of two examples of developing work-based learning pathways, that include:
  - identifying needs for learning
  - analysing work practices, work environment and work activities
  - organising and allocating work in a way that reflects learning needs and provides effective learning opportunities through work processes
- Provide a minimum of two examples of a learning facilitation relationship being conducted:
  - with different individuals
  - demonstrating communication skills and flexibility
  - demonstrating one or more of the processes or techniques identified.

The strategy states assessment is practical demonstration, questioning written assessment and case study.

Assessment is contained in the Learner Workbook. Most of the activities are formative, not summative and candidates are not required to carry out

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training as required by the unit's evidence requirements. Assessment is of a poor quality. There are no assessment tools in place – there is no description of the context and conditions for assessment, no valid tasks, no evidence requirements specified, no record of assessment that would explain how an assessment decision was reached. There is no assessor guide and no mapping of assessment against the unit or other strategy to ensure that sufficient, valid evidence is collected. No reference is made to simulating a workplace environment as required by the unit.

### *TAEASS402A Assess competence*

This unit requires evidence to be collected of the ability to:

- Assess competence of a number of candidates within the vocational education and training context against different units of competency or accredited curricula, following the relevant assessment plan
- Assess at least one candidate for RPL
- Consider reasonable adjustment and the reasons for decisions in at least one assessment
- Cover an entire unit of competency and show:
  - the application of different assessment methods and instruments involving a range of assessment activities and events
  - two-way communication and feedback
  - how judgement was exercised in making the assessment decision
  - how and when assessment outcomes were recorded and reported
  - assessment records and reports completed in accordance with assessment system and organisational, legal and ethical requirements
  - how the assessment process was reviewed.

The strategy states assessment is practical demonstration, questioning written assessment and case study.

The assessment materials are contained in the learner workbook. They comprise a range of group activities and revision activities and therefore are not summative assessment. Candidates are not required to carry out an assessment, which is a critical shortcoming, given the evidence requirements of the unit. Assessment is of a poor quality. There are no assessment tools in place – there is no description of the context and conditions for assessment, no valid tasks, no evidence requirements specified, no record of assessment that would explain how an assessment decision was reached. There is no assessor guide and no mapping of assessment against the unit. No reference is made to simulating a workplace environment.

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### Student files:

- Richard Sanderson – Competent in both units reviewed (assessment record not signed by student). For both units: Declaration about plagiarism not completed by the student. Competency record does not list tasks completed, only that the rules of evidence have been satisfied. This is not the case. Responses accepted by the assessor were incomplete, for example, in response to the requirement to write a half page report the candidate provided two scant dot points. Some major questions were not attempted, but not followed up by the assessor. Based on the evidence provided, this student did not demonstrate competency in the units reviewed.
- Stuart Rider – RTO staff member. ‘Upgrade’ from BSZ40198 to TAE40110. Assessment on 27/6/12. The RTO determined equivalence between BSZ units and TAA units and then determined equivalence with the TAE units. Upgrades from BSZ40198 and TAA40110 could only be carried out in the transition period between these two Qualifications and when the TAA40104 was on the RTO’s scope of registration. The RTO has awarded a Qualification incorrectly. In addition to the ‘credit transfer’ the RTO has applied RPL to TAE units. The evidence noted on the assessment form is ‘Resume’ and ‘Cert I in Road Transport’. The form used to determine assessment is titled, ‘Qualification/Industry experience mapping’ and is headed New qualification: TAA04 Certificate IV in Training and Assessment, although TAE units are listed on the form. There is no evidence that an assessment process was completed for the units awarded RPL and evidence of competency in these units was not determined.
- Michael Coutts – RTO staff member. Awarded AE40110 based on credit transfer. However IBSA state on their website that, while units are equivalent, an RPL process must be carried out to confirm currency. Also, the unit *TAEASS502A Design and develop assessment tools* was awarded through credit transfer based on his completing the unit *TAAASS403A Participate in assessment validation*. There is not a basis for credit transfer between these two units and the unit should not have been awarded.

### TLI31210 Certificate III in Driving Operations

Units reviewed

*TLIE407C Complete workplace documentation* (superseded by *TLIE3004A Prepare workplace documents*, which the RTO has not yet purchased/developed)

This unit requires evidence to be collected of planning and preparing workplace documentation and completing workplace forms. The knowledge and skills requirements (refer Element 1.3) should also be addressed in assessment.

Assessment instructions state that the trainee is required to, ‘demonstrate competence on the job, in practical demonstration, observation, question

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answer and role play situations, incorporating verbal questions and written work, including completing workplace forms', These instructions are nonsensical and do not specify the methods described in the assessment materials. Assessment materials state that assessment takes place on-the-job, but this is not relevant to the RTO as the strategy states training and assessment takes place at the RTO.

Assessment is: four questions to be responded to in writing – no model responses; writing a memo and handing it to the workplace supervisor (not relevant to the unit of competency requirements); six oral questions, four of which are repeats of the written questions; observation checklist, but there is no task described. Assessment does not address the requirements of the unit. Assessment is not valid or reliable.

### *TLIF2006A Apply accident-emergency procedures*

This unit superseded the unit *TLIF607C* and the assessment methods described in the strategy relate to the superseded unit, not the current one; therefore the strategy is not accurate.

This unit requires evidence to be collected of responding to an incident, controlling and assisting at an accident or emergency site and finalising accident-emergency processes and completing records as well as the knowledge and skills requirements of the units as described under element 1.3.

Assessment instructions are as for unit *TLIE407C*.

Assessment is four written questions, repeated again under oral assessment, with the addition of two questions. Also, the candidate is required to describe at least 3 emergency/accident situations and then, 'describe solutions to these problems or how to avoid them happening'. There is no application of skills.

Assessment is very poor quality in that the unit requirements are not met in assessment, the context, conditions and the evidence requirements are not described and there is no process to record task outcomes.

### **TLI31610 Certificate III in Warehousing Operations**

Units reviewed

*TLIA3016A Use inventory systems to organise stock control* and *TLIU3011A Implement and monitor environmentally sustainable work practices*

The RTO purchases materials just before it plans to deliver the unit and the materials for these units had not been purchased.

Two alternative units were selected.



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### *TLIL1001A Complete workplace orientation/induction procedures*

A strategy for training and assessment is not in place for this Qualification. In order to demonstrate competence in this unit candidates are required to identify major areas of the workplace in terms of functions, organisational structures and occupations, organise and accept responsibility for own workload, apply ethical practices, receive and act constructively on personal feedback, participate in identifying and meeting own learning needs and plan and organise a personal daily routine. They need to demonstrate knowledge of a range of workplace processes, structures and requirements and demonstrate a broad range of skills, including but not limited to, completing workplace documentation, monitoring work and safely using a range of equipment.

Assessment is four very simple questions, for example, 'Does your organisation have an organisational chart? Candidates are also required to show the assessor the location of safety equipment, the location of emergency exits and to explain when evacuation would occur and when it is safe to return, as well as any special duties the candidate has in an emergency. The observation checklist does not align with the described tasks, for example, it states: 'Ensure confidentiality is maintained' and 'Ensure clarification of requirements of tasks was sought where appropriate and achievable time and performance measures are agreed', but the task does not require candidates to demonstrate these requirements. Assessment is not valid. As with the other assessment materials reviewed at audit there are no instructions to the assessor about the administration of assessment and context and conditions for assessment. There were no decision-making rules. The competency record lists a range of assessment methods for which there were not assessment tasks in place. There is a mapping document, but it is inaccurate and is against the elements and performance criteria, only.

### *TLIE3012A Complete manifest documentation*

This unit requires evidence to be collected that the candidate can identify and process documentation, including amending files/system, tracking and monitoring of documentation, interpreting instructions and prioritising work. Knowledge must be demonstrated of relevant codes, legislative requirements, environmental procedures and regulations, customer service policies and so on.

Assessment instructions state that the trainee is required to: 'demonstrate competence on the job, in practical demonstration, observation, question answer and role play situations, incorporating verbal questions and written work, including completing workplace forms, either to the RTO trainer or supervisor, under the guidance of the RTO trainer. These instructions are nonsensical and do not specify the methods described in the assessment materials.

Assessment was: completion in writing of four questions; six oral questions, four of which were repeated in the written assessment; and a demonstration checklist with no task described. There were no model responses. Assessment did not meet the requirements of the unit and was neither valid nor reliable.

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### Student files

One student had completed the units reviewed – Thomas Brown.

For unit *TLIE3004A* he responded to four questions. For the question, 'How do you plan a workplace document?' the accepted response was: 'Control document for all gas; bottles sold, customer order form and stock order form'. The candidate did not seem to address the question, but the assessor ticked his response. The oral assessment was a list of questions, with 'Yes' checked by the assessor – no record of responses against a benchmark. A skills observation checklist was also provided, with some 'Yes' boxes ticked and some 'NA' boxes ticked. There was no description of the task completed. The competency record stated that the student completed a workplace project and activities, but there was no evidence of this.

For unit *TLIL1001A*, the questions are in (it is assumed) the assessor's writing, with the notation, 'QA'. Questions have been responded to, but not answered completely. For example, there was no record of the question relating to the candidate's special duties and those of their workmates. The skills observation checklist was completed, including the items that would not be elicited from completing the tasks described in the assessment materials. Assessment record states that a third party report was completed, but there was no evidence of this.

### EXTENSION TO SCOPE

*TLIF2092A Demonstrate awareness of chain of responsibility regulations*

This unit requires evidence to be collected that the candidate can identify features of the chain of responsibility and follow chain of responsibility regulations. This includes applying strategies to prevent breaches of the chain of responsibility, implementing actions to prevent possible breaches, reviewing updates to the chain of responsibility and utilising communication strategies. Knowledge requirements include, but are not limited to, state and territory legislation, workplace procedures, regulations, reporting procedures and so on.

The strategy states assessment is demonstration, questioning, case study and written – does not state if questioning is oral/written.

The session PowerPoint slides state that assessment is responding to questions about scenarios throughout the session. Scenarios are discussed as a group. The trainer, Adam Judge, stated that the one program that has been conducted was for brokers, who would not typically have access to the workplace. The RTO had sourced the TLISC assessment resources for this unit, which were a written assessment and a demonstration. These assessment tasks were not used by the RTO although the written assessment was used as the basis for assessment.

Assessment was answering questions in relation to a case study, which acts as the 'workplace'. The questions state that the candidates are allowed to refer to workplace documentation, policies and procedures, but it would appear that it is referring to the information in the case study – the

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statement lacks clarity. Another question states, 'Explain how the chain of responsibility applies to your job role?' However, participants are not assigned a job role within the case study so this question could not be responded to effectively.

There is no direction to assessors or candidates about the number of questions to be answered correctly to gain a satisfactory result.

Assessment is completed in the classroom. It addresses many of the knowledge requirements of the unit, but does not address the skill requirements of the units and evidence is not collected over a period of time as required by the Training Package.

### Student files:

- Joshua Taylor (C) – all responses ticked, with one exception, where the answer was incorrect. There was no assessment record that summarised assessment outcomes.
- Fraser Macfarlane (C) – all responses ticked. There was no assessment record that summarised assessment outcomes.

### RPL

Refer discussion of TAE40110 student files. RPL decisions are not supported by evidence.

Sighted: – RPL assessment tools for the TAE40110 and TLI31210 (RPL Assist). This assessment tool provides an indication of relevant evidence in an evidence matrix and some questions to ask the candidate (although no indication of desired responses). It does not provide guidance on making an assessment decision. The guide refers to a challenge test and self-assessment forms. The challenge tests were not formulated as complete assessment tasks, for example, 'Conduct two training sessions to different groups of 45 minutes or more'. It was not clear whether this was to be observed by the assessor and if so, what performance indicators had to be met in assessment. Context was not explained.

Assessment tools for the TLI31610 Certificate III in Warehousing Operations and the licensing units were not in place.

### Assessment validation

Assessment validation had been carried out in the programs reviewed for re-registration. However, the only comment made by the validator for the units validated in TAE40110 was that there was insufficient information for the candidate. There was no action assigned to this issue in the validation record. The validator did not identify that the requirements of the specific units of competency were not addressed and this is a critical oversight.

Assessment validation has not been effective because the quality of the assessment tools for the Qualifications delivered is very poor, as discussed in this report.

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### **Rectification required**

The RTO is required to revise its assessment so that complete and valid assessment tools are in place for all units.

The RTO is also required to revise its assessment validation processes so that they are effective.

### **Strengths**

### **Opportunities for Improvement**

TAE40110: The strategy for training and assessment describes entry requirements, but incorrectly states that they are pre-requisites. It is suggested that the strategy is adjusted.

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| <b>Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients</b>  |               |   |
|---|---------------|---|
| <b>Audit conclusion</b>   | <b>Result</b> |   |
| <p>The RTO is non-compliant in this Standard. It was compliant in all Elements except for Element 2.3.</p>  | Compliant     | ✓ |
| <p><b>Element 2.3 Pre-engagement materials</b><br/>           The flyer for the TAE40110 states that it is possible to upgrade from the BSZ40198 to the TAE40110, which is incorrect.<br/>           National Recognition is not described accurately in the course flyers.</p> | Non-compliant | ✓ |
| <p><b>Rectification required</b><br/>           The RTO is required to revise its pre-engagement materials so that they are accurate.</p>   | Not audited   |   |
| <b>Strengths</b>  |               |   |
|   |               |   |
| <b>Opportunities for Improvement</b>  |               |   |
|   |               |   |

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| <b>Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates</b>  |               |   |
|--|---------------|---|
| <b>Audit conclusion</b>  | <b>Result</b> |   |
| The RTO is non-compliant in this Standard. Element 3.3 was not relevant to the RTO’s operations and the RTO was compliant in Element 3.4.  | Compliant     | ✓ |
| <p><b>Element 3.1 Management systems</b></p> <p>The RTO is non-compliant with this element as training and assessment in the Qualifications audited are of a poor quality and the RTO’s continuous improvement and assessment validation systems are not sufficiently robust to identify weaknesses in training and assessment and improve them so that training and assessment meets the requirements of the Training Package. In addition, the RTO has not ensured that there is sufficient evidence of trainer/assessor competency for some programs, indicating that human resource systems are not working effectively.</p> <p><b>Rectification required</b></p> <p>The RTO is required to revise its systems so that the quality of training and assessment and trainers and assessors meets the requirements of the AQTF.</p> | Non-compliant | ✓ |
| <p><b>Element 3.2 Continuous improvement</b></p> <p>Refer 3.1 for a discussion of continuous improvement. The RTO does not effectively act on lessons learnt from continuous improvement data.</p> <p><b>Rectification required</b></p> <p>The RTO is required to revise its processes so that it effectively acts on lessons learnt from continuous improvement data.</p>   | Not audited   |   |
| <b>Strengths</b>   |               |   |
|  |               |   |
| <b>Opportunities for Improvement</b>   |               |   |
|  |               |   |