

Audit report – VET Quality Framework

Standards for Registered Training Organisations 2015

ORGANISATION DETAILS

Organisation's legal name:	Transport Driver Training Pty Ltd As Trustee For Roberts Family Trust
Trading name/s:	Transport Driver Training Pty Ltd; TDT Training Australia Pty Ltd
RTO number:	6855
CRICOS number:	N/A

AUDIT TEAM

Lead auditor:	Robert East
Assistant/s:	N/A
Technical advisor/s:	N/A

AUDIT DETAILS

Application number/s:	ADDVET0024867
Audit number/s:	AUDREC0000054 AUDREC0005368
Audit reason 1:	Application - change VET
Audit reason 2:	Compliance - complaint VET Cmplnt0007419
Audit reason 3:	n/a
Activity type:	Site visit
Address of site/s visited:	161 Princes Hwy. Hallam VIC 3803
Date/s of audit:	3/02/2017
Organisation's contact for audit:	Dr Brett Roberts Director brett@tdttrainingaustralia.com.au (03) 9791 6373
Clauses audited:	1.1, 1.2, 1.3, 1.4, 1.5, 1.8, 1.13 – 1.20, 1.22 – 1.25, 2.1, 2.3 2.4, 3.1 and 8.2.

BACKGROUND

The Transport Driver Training Pty Ltd As Trustee For Roberts Family Trust trading as (Transport Driver Training Pty Ltd;) (the RTO) has been registered since 1999. The current CEO has been there since 2013, succeeding his father in the family owned business. The RTO is a private RTO and is not a CRICOS provider.



RTO Management structure

The RTO's CEO is assisted by a Compliance Manager, Quality Assurance Manager and an external consultant.

The RTO is also regulated by Vicroads and Worksafe Victoria

General description of RTO location & facilities

The RTO has a head office and training facilities in at 161 Princes Hwy Hallam VIC 3083 in Melbourne's south eastern suburbs. Additional training facilities are also provided at:

- Epsom (In Bendigo)
- Sale (Eastern Gippsland)
- Sunshine West

The RTO may also use client venues and facilities for the delivery of training and the conduct of assessment.

General description of training modes used by the RTO/organisation

The RTO provides training using classroom based delivery with practical demonstration and assessment in its Hallam warehouse and its truck and earthmoving fleet at all of the above venues.

The RTO delivers mainly in Victoria and via a contractor in Tasmania.

The RTO does not deliver training and assessment services through any 3rd party agreements.

RTO's scope of registration

The RTO's current scope of registration includes:

<i>RII20113</i>	<i>Certificate II in Resources and Infrastructure Work Preparation</i>
<i>RII20115</i>	<i>Certificate II in Resources and Infrastructure Work Preparation</i>
<i>RII30813</i>	<i>Certificate III in Civil Construction Plant Operations</i>
<i>RII30815</i>	<i>Certificate III in Civil Construction Plant Operations</i>
<i>RII30913</i>	<i>Certificate III in Civil Construction</i>
<i>TLI11210</i>	<i>Certificate I in Warehousing Operations</i>
<i>TLI11215</i>	<i>Certificate I in Warehousing Operations</i>
<i>TLI21210</i>	<i>Certificate II in Driving Operations</i>
<i>TLI21610</i>	<i>Certificate II in Warehousing Operations</i>
<i>TLI31210</i>	<i>Certificate III in Driving Operations</i>
<i>TLI31610</i>	<i>Certificate III in Warehousing Operations</i>
<i>TLI32410</i>	<i>Certificate III in Logistics</i>
<i>TLI41810</i>	<i>Certificate IV in Warehousing Operations</i>

The RTO also has 13 individual units of competency from the following Training Packages:

- Construction, Plumbing and Services
- Resources and Infrastructure Industry and
- Transport and Logistics



This audit is in response to the RTO's application to add the following qualifications to its scope of registration:

- *TLI21616 Certificate II in Warehousing Operations*
- *TLI21716 Certificate II in Road Transport Yard Operations (Freight Handler)*
- *TLI31216 Certificate III in Driving Operations*
- *TLI31616 Certificate III in Warehousing Operations*
- *TLI32416 Certificate III in Logistics*
- *TLI41816 Certificate IV in Warehousing Operations*

The CEO, Mr Brett Roberts advised the auditor on 12 January 2017 that the following qualifications would be withdrawn from its application:

- *TLI21616 Certificate II in Warehousing Operations*
- *TLI21716 Certificate II in Road Transport Yard Operations (Freight Handler)*
- *TLI32416 Certificate III in Logistics*
- *TLI41816 Certificate IV in Warehousing Operations*

The application would now just include:

- *TLI31216 Certificate III in Driving Operations*
- *TLI31616 Certificate III in Warehousing Operations*

RTO's current enrolment/s details

The current enrolments include:

- | | | |
|--|---|----|
| • <i>TLI31610 Certificate III in Warehousing Operations</i> | - | 27 |
| • <i>22301VIC Certificate I in Transition Education</i> | - | 43 |
| • <i>TLI31210 Certificate III in Driving Operations</i> | - | 5 |
| • <i>TLI41810 Certificate IV in Warehousing Operations</i> | - | 8 |
| • <i>RII30815 Certificate III in Civil Construction Plant Operations</i> | | 8 |

Total number of current enrolments in RTO as at audit date: 91

RTO's fee or funding information

The RTO offers its training and assessment services as a fee for service provider.

This audit is also being conducted to evaluate a complaint against the training and assessment of *RII30813 Certificate III in Plant Operation*.

AUDIT SAMPLE			
Code	Training products	Mode/s of delivery / assessment*	Current enrolments (If not yet on scope, record N/A)
RII30813	Certificate III in Civil Construction Plant Operations	Face to Face	8



TLI31216	Certificate III Driving Operations	0
TLI31616	Certificate III Warehouse operations	0

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

INTERVIEWEES

Name	Position	Training products
Brett Roberts	CEO	All Products
Sameer Mathur	Compliance Manager	All Products
Jessica Alankalee	Quality Assurance Manager	All Products

FINDING AT TIME OF AUDIT

Audit finding: Compliant

Report completed by: Robert East

Date: 3/02/2017

- 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.

AUDIT FINDING BY STANDARD

Standard	Original finding
Standard 1	Compliant
Standard 2	Compliant
Standard 3	Compliant
Standard 4	Not audited
Standard 5	Not audited
Standard 6	Not audited
Standard 7	Not audited
Standard 8	Not audited

ABOUT THIS REPORT

This report details findings against the *Standards for Registered Training Organisations 2015*.

The evidence guidance included against each clause is designed to guide the auditor and RTO on the requirements of the clause. The evidence guidance is not designed to limit the audit findings and there may be other factors an auditor takes into consideration when determining whether compliance has been demonstrated.



Where evidence of non-compliance is identified, the '*Reasons for finding of non-compliance*' section of the report will document the issues that were considered in the formulation of a finding of non-compliance.

STANDARD 1 **The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses.**
To be compliant with Standard 1 the RTO must meet the following:

Clause 1.1
The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.

Original finding: Compliant

Evidence guidance	Y	N	N/A
A training and assessment strategy (or strategies) was provided for each training product sampled	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy is consistent with the requirements of the training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy provides a framework to guide the learning requirements and the training and assessment arrangements of each training product – the macro level requirements of the learning and assessment process	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy has been consistently implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Clause 1.2
For the purposes of [Clause 1.1](#), the RTO determines the amount of training they provide to each learner with regard to:
a) the existing skills, knowledge and the experience of the learner;
b) the mode of delivery; and
c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

Original finding: Compliant

Evidence guidance	Y	N
For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the existing skills, knowledge and experience of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the mode/s of delivery	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the number of units and/or modules being delivered	<input checked="" type="checkbox"/>	<input type="checkbox"/>



Clause 1.3

The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

- a) trainers and assessors to deliver the training and assessment;
- b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
- c) learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
- d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

Original finding: Compliant

Evidence guidance	Y	N
For all training products sampled, there are sufficient:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• trainers and assessors	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• educational and support services to meet the needs of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• learning resources that address the requirements of all components of the relevant training product and are accessible to all learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• facilities and equipment to accommodate the number of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Consistency is evident between each strategy and the above resources	<input checked="" type="checkbox"/>	<input type="checkbox"/>

The equipment available at the Sale training site was the subject of a complaint.

Photographs of the two backhoes and the two skid steer machines were despatched to the auditor from the sale site.

This complaint was not substantiated.

The use of two student management systems VETtrak and Course Planner was the subject of a complaint.

Two IT systems were in use:

- Course Planner was in use to book students with assessors and the appropriate vehicle depending on the type of driving test being applied for; and
- VETtrak was used as the standard student management system.

The two systems were in use simultaneously to manage both the student management reporting requirements together with the complex booking requirements of its candidates booking a license test.

This complaint was not substantiated.

Clause 1.4

The RTO meets all requirements specified in the relevant training package or VET accredited course.

Original finding: Compliant

Evidence guidance	Y	N	N/A
Training and assessment strategies and resources are consistent with the requirements of each training product sampled	<input checked="" type="checkbox"/>	<input type="checkbox"/>	



Training and assessment practices are consistent with the requirements of each training product sampled ☒ ☐ ☐

Clause 1.5

The RTO's training and assessment practices are relevant to the needs of industry and informed by industry engagement.

Original finding: Compliant

Evidence guidance	Y	N
Training and assessment practices are informed by and consistent with the outcomes from industry engagement strategies	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.8

The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):

- a) complies with the assessment requirements of the relevant training package or VET accredited course; and**
- b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.**

Table 1.8.1 Principles of Assessment	
Fairness	<p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.</p> <p>The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>
Flexibility	<p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> • reflecting the learner's needs; • assessing competencies held by the learner no matter how or where they have been acquired; and • drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.
Validity	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> • assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance; • assessment of knowledge and skills is integrated with their practical application; • assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and • judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
Reliability	<p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.</p>



Table 1.8.2 Rules of Evidence	
Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

Original finding: Compliant

Evidence guidance	Y	N
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TLI31216 Certificate III in Driving Operations

TLILIC2016 Drive a heavy rigid vehicle

TLIA1001 Secure cargo

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2	<input checked="" type="checkbox"/>	<input type="checkbox"/>

TLI31616 Certificate III in Warehousing Operations

TLILIC2001 License to Operate Forklift

TLIJ3002 Apply Quality Systems

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

Evidence sighted:

Assessments for the unit *TLIJ3002 Apply Quality Systems*:

- Written Questions
- 2 Projects
- Workplace Assessment

The Workplace Assessment a Third party evidence guide consisting of an Observation Checklist did not meet the Principles of Assessment as the observations were just a copy of the Performance Criteria from the Training Package and were not skills based observations. Candidates also needed to be observed within a workplace, however, the majority of students were unemployed.

This assessment instrument was removed at the audit and the Assessment plan and the



Training and Assessment Strategy was edited. The Compliance Manager then demonstrated that the remaining assessment instruments covered the full scope of the unit as described within the Training Package.

The RTO was now compliant with this clause of the Standards.

RII30813 Certificate III in Plant Operation.

The training and assessment of this qualification was the subject of a complaint

As this qualification was now superseded and no students were currently enrolled in this qualification, student files were examined from *TLI31610 Certificate III in Warehousing Operations* and the standalone unit *TLIC3004 Drive a heavy rigid vehicle*, two of the most popular courses being run.

Student files for Thi Mint Dean and Stuart Devlin (*TLI31610*) were audited and were found to be complete with the assessments meeting the Rules of Evidence.

Student files for James Turner and Andrew Damsma (*TLIC3004*) were also audited and were found to be complete with the assessments meeting the Rules of Evidence.

This complaint was not substantiated.

Clause 1.13

In addition to the requirements specified in [Clause 1.14](#) and [Clause 1.15](#), the RTO's training and assessment is delivered only by persons who have:

- a) vocational competencies at least to the level being delivered and assessed;**
- b) current industry skills directly relevant to the training and assessment being provided; and**
- c) current knowledge and skills in vocational training and learning that informs their training and assessment.**

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

Original finding: Compliant

Evidence guidance

Each trainer / assessor **must meet all** requirements for each training product being delivered:

Trainer / Assessor name	Training product code/s delivered	1.13 (a)		1.13 (b)		1.13 (c)	
		Y	N	Y	N	Y	N
Jamie Ellis	TLI31216	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Tyler Harrison	TLI31216	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
David Waite	TLI31616	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>



Anthony Stiff	TLI31616	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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Clause 1.14

The RTO's training and assessment is delivered only by persons who have:

- a) ~~prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and~~
b) from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.

Original finding: Compliant

Evidence guidance Y N

VET qualifications of trainers and assessors have been verified ☒ ☐

Each trainer / assessor **must meet at least one** of the following requirements:

Trainer / Assessor name	Schedule 1 Item 1		Schedule 1 Item 2	
	Y	N	Y	N
Jamie Ellis	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tyler Harrison	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
David Waite	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Anthony Stiff	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ceceilia Cifaratti	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lesley Snart	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor

Schedule 1, Item 2: A Diploma or higher level qualification in adult education

22301 VIC Certificate I in Transition Education

The availability of trainers for this qualification was the subject of a complaint.

As this qualification was delivered in Bendigo the TAE qualifications for its two trainers Ceceilia Cifaratti and Lesley Snart were despatched to the Auditor from the Bendigo office.

This complaint was not substantiated.

**Clause 1.16**

The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Original finding: Compliant

Evidence guidance	Y	N
Trainers and assessors undertake professional development in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>

STANDARD 2 The operations of the RTO are quality assured.

To be compliant with Standard 2 the RTO must meet the following:

Clause 2.1

The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.

Original finding: Compliant

Evidence guidance	Y	N
The RTO is compliant with the clauses sampled across all operations within its scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 2.3

The RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.

Original finding: Compliant

Evidence guidance	Y	N
Third party arrangements are in place for delivery of services	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If no, clauses 2.3 – 2.4 are not audited. If yes:		
A written agreement is in place for each arrangement (also refer Clause 8.2)	<input type="checkbox"/>	<input type="checkbox"/>

The use of third parties was the subject of a complaint.

The provider stated that no third parties are used to deliver training and assessment for the RTO.

This complaint was not substantiated.

STANDARD 3 The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.
To be compliant with Standard 3 the RTO must meet the following:



Clause 3.1

The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.

Original finding: Compliant

Evidence guidance	Y	N
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Only learners who have been assessed as meeting the requirements of the training product are issued with AQF certification documentation	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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