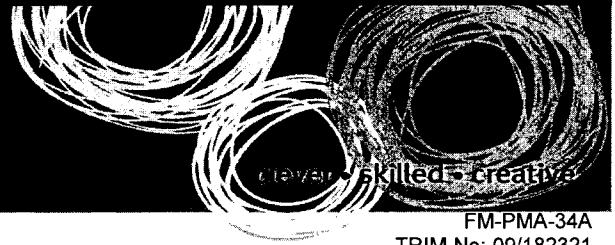


AQTF Audit Report – Continuing Registration



FM-PMA-34A

TRIM No: 09/182321

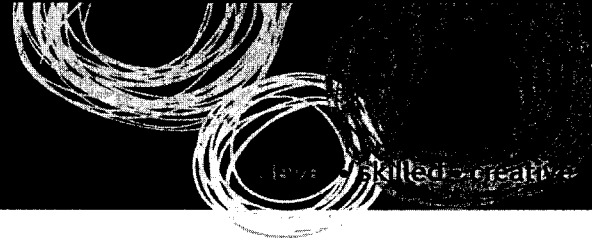
Version 11.1 – 29 July 2011

Training and International Quality

Blue Stone Medical Pty Ltd – NTIS 32117

Organisation details																		
Registration expiry	31 January 2015																	
Principal address	Unit 36, 28 Burnside Road, Yatala																	
RTO contact	Nicole Hood - Director	Phone number	3380 8999															
Operations	<ul style="list-style-type: none"> Core clients are both corporate and individual students. Core individual student clients are those seeking to change career, upgrade current skills or gain employment in Community Services, Aged Care, Child Care or Pathology. Training and assessment is delivered in both face to face and distance mode. When delivery is in distance mode it is supported by workbooks and resources on the RTO's website. Partnering organisations– Team Elite. Government funding contracts – User Choice funding for Certificate III in Aged Care Approximate number of completions in past year and current enrolments per qualification <table border="1"> <thead> <tr> <th></th> <th>Completions</th> <th>Current enrolments</th> </tr> </thead> <tbody> <tr> <td>CHC30108 Certificate III in Community Services Work</td> <td>Nil</td> <td>Nil</td> </tr> <tr> <td>CHC30208 Certificate III in Aged Care</td> <td>30</td> <td>14</td> </tr> <tr> <td>CHC50908 Diploma of Children's Services</td> <td>Nil</td> <td>Nil</td> </tr> <tr> <td>HLT32607 Certificate III in Pathology</td> <td>44</td> <td>31</td> </tr> </tbody> </table>				Completions	Current enrolments	CHC30108 Certificate III in Community Services Work	Nil	Nil	CHC30208 Certificate III in Aged Care	30	14	CHC50908 Diploma of Children's Services	Nil	Nil	HLT32607 Certificate III in Pathology	44	31
	Completions	Current enrolments																
CHC30108 Certificate III in Community Services Work	Nil	Nil																
CHC30208 Certificate III in Aged Care	30	14																
CHC50908 Diploma of Children's Services	Nil	Nil																
HLT32607 Certificate III in Pathology	44	31																
Audit team																		
Lead auditor	Robyn Gray	Auditor/s	N/A															
Phone	3235 4016	Adviser/s	N/A															
E-mail	robyn.gray@deta.qld.gov.au	Observer/s	N/A															
Audit details																		
Reason/s for audit	Post initial																	
Audit date/s	8 November 2011	Audit number/s	3211716969A															
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.2, 2.3, 2.4, 3.2, 3.3																	
Conditions audited	Condition 5																	
Audit outcome on day of audit	Compliant <input type="checkbox"/>		Significant non-compliance <input type="checkbox"/>															
	Minor non-compliance <input checked="" type="checkbox"/>		Critical non-compliance <input type="checkbox"/>															
Rectification received	21 December 2011 and 10 January 2012																	
Audit outcome following rectification	Compliant <input checked="" 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"> In scoping the audit, consideration was given to the inclusion of qualifications where delivery had occurred or had been added to scope under delegation. Due to the low number of User Choice claims made by the RTO there was insufficient data to justify an analysis of the User Choice contract at this audit. This decision was moderated with Principal Auditors of Audit Services prior to audit. Element 2.4 was included in the scope of this audit due to the RTO's supervision of training and assessment of trainees. 																	





- In the course of the audit non compliances were identified against Condition 5 of the Conditions of Registration.
- The RTO advised that it intends to remove CHC30708 Certificate III in Children's Services, CHC50908 Diploma of Children's Services (Early Childhood Education and Care) and CHC60208 Advanced Diploma in Children's Services from its scope of registration by end of January 2012.
- The RTO provided rectification for non-compliances identified in AQTF Standards within the designated timeframe of 21 December 2011. Full rectification evidence for non-compliances relating to Condition of Registration 5 was not received until 10 January 2012, due to the Christmas break shutdown and the RTO's need to negotiate with accountants, its bank and the Director of Training Quality regarding Option 5 of Condition of Registration 5.

Focus of audit

Code	Qualification / Course / Unit title	Regulated	Delivery venues
CHC30108	Certificate III in Community Services Work	<input type="checkbox"/>	At student workplace, distance, at RTO's training premises
CHC30208	Certificate III in Aged Care	<input type="checkbox"/>	
CHC50908	Diploma of Children's Services (Early childhood education and care)	<input type="checkbox"/>	
HLT32607	Certificate III in Pathology	<input type="checkbox"/>	

Interviewee/s (incl. position)

Nicole Hood – Director
 Patricia Ginty – Finance Manager
 Noelene Steinmann, Trainer/assessor CHC30208 Certificate III in Aged Care and
 CHC30108 Certificate III in Community Services Work
 Angie Mason, Trainer/assessor CHC50908 Diploma of Children's Services (Early childhood education and care) Till Feb 2012
 Kate Hind Trainer/assessor, HLT32607 Certificate III in Pathology

Disclaimer: The Department of Education and Training collects the information on this form as part of the audit of registered training organisations under the AQTF. Only authorised government officers or contracted personnel have access to this information. Your personal information will not be disclosed to any other third party without your consent, unless authorised or required by law, in accordance with the *Information Privacy Act 2009*.



Standard 1: The RTO provides quality training and assessment across all of its operations

Elements	Examined
1.1 The RTO collects, analyses and acts on relevant data for continuous improvement of 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 used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.	<input checked="" type="checkbox"/>
1.4 Training and assessment is delivered 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 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 Assessment, including Recognition of Prior Learning (RPL): <ul style="list-style-type: none"> a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated. 	<input checked="" type="checkbox"/>

Audit findings

At time of audit: <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant	Following rectification received: <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
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Findings:

The RTO's system of collection, analysis and actioning of feedback from stakeholders for continuous improvement of its training and assessment services includes:

- o Quality Indicator data feedback sheets completed at the end of every face to face training session. The RTO's benchmark for student feedback is 89% or higher client satisfaction rate
- o Distance students complete a student survey every quarter
- o Quality Indicator data Employer surveys are collected every quarter from User Choice employers and corporate clients
- o The RTO's Director inputs the Quality Indicator data. If negative feedback is received, all students for that training delivery are contacted to discuss the training and any issues they may wish to raise. This method is used by the RTO to monitor the performance of trainer/assessors and partnering organisations.
- o Any significant feedback from student surveys is discussed with the relevant trainer
- o Issues and action in relation to student and employer feedback are recorded in the RTO's Continuous Improvement folder. The Continuous Improvement folder also contains the latest versions of administrative forms and training and assessment materials
- o Trainer/assessor feedback is recorded in Staff Meeting minutes with changes required and responsible officers. To get an item on the agenda of the Staff Meeting trainers fill in Improvement Form.

Strategies for training and assessment

The RTO provided training and assessment strategies for CHC30208 Certificate III in Aged Care and HLT32607 Certificate III in Pathology which meet the requirements of the training package and are clearly informed by industry consultation.

Staff, facilities and equipment used by the RTO are consistent with the requirements of the respective training package and the RTO's available training and assessment strategies.

The RTO provided sufficient evidence that the designated trainer/assessors listed below hold the required training and assessment competencies and have the appropriate industry qualifications and experience.

- o Sarah Jane Vagg – CHC30108 Certificate III in Community Services Work
- o Noelene Steinmann - CHC30208 Certificate III in Aged Care
- o Kate Hind - HLT32607 Certificate III in Pathology
- o Angie Mason - CHC50908 Diploma of Children's Services (Early childhood education and care)

Assessment

HLT32607 Certificate III in Pathology
HLTPAT301C Receive and prepare pathology specimens-

HLTPAT308C Identify and respond to clinical risks associated with pathology specimen collection

CHC50908 Diploma of Children's Services (Early childhood education and care)

CHCFC506A Foster children's language and communication development

CHCRF511A Work in partnership with families to provide appropriate care for children

CHC30208 Certificate III in Aged Care

CHCAC319A Provide support to people living with dementia

HLTAP301B Recognise healthy body systems in a health care context

CHC30108 Certificate III in Community Services Work

CHCCS308B Provide first point of contact

CHCCD412B Work within a community development framework

The review of assessment tools for the units above determined that all unit requirements were met. Generally, criteria defining acceptable performance were outlined sufficiently to enable consistency of assessment decisions and assessment was supported by adequate information to students and assessors. Student files examined align with the organisation's documented strategies for training and assessment and its assessment instruments.

Non-compliances:

Strategies for training and assessment

The RTO did not provide a training and assessment strategy for CHC50908 Diploma of Children's Services (Early childhood education and care). In addition, the training and assessment strategy for CHC30108 Certificate III in Community Services Work was unavailable when requested at audit. It is noted that by the end of the audit the RTO had rectified this non-compliance by providing a training and assessment strategy for CHC30108 Certificate III in Community Services Work and consequently this was not included in the 'Rectification required' section following.

Trainers and assessors

There was insufficient evidence that Noelene Steinmann, the RTO's nominated trainer/assessor for CHC30108 Certificate III in Community Services Work, had the relevant vocational competencies to deliver this qualification in full. The RTO had awarded Ms Steinmann a qualification for CHC40708 Certificate IV in Community Services Work based on RPL of Ms Steinmann's vocational competencies and work experience. On further analysis it was determined that the RTO's nominated assessor for this awarded qualification did not have the relevant vocational competencies and could not demonstrate current industry skills directly relevant to the assessment being undertaken to assess this qualification. The RTO rectified non-compliance identified here during the course of the audit. Consequently non-compliances identified here are not included in the 'Rectification required' section below.

Rectification evidence received during the audit:

Strategies for training and assessment

The RTO provided a training and assessment strategy for CHC30108 Certificate III in Community Services Work which meets the requirements of the training package; describes a delivery program and specifies the resources, both human and physical that will be used to meet training package requirements. No further rectification is required for the training and assessment strategy for this qualification.

Trainers and assessors

The RTO provided evidence that Sarah Jane Vagg, who has training and assessment and vocational competencies and current industry skills directly relevant to CHC30108 Certificate III in Community Services Work, is now its nominated trainer for this qualification. The RTO advised that Noelene Steinmann would be present at all training and assessment conducted by Ms Vagg, and where appropriate would deliver training and assessment under Ms Vagg's supervision until she has the necessary competencies to train and assess alone. Ms Steinmann has sufficient and equivalent vocational competencies and work experience to deliver some units within CHC30108 Certificate III in Community Services Work. The RTO also advised that Ms Steinmann will be released to gain on-the-job experience relevant to CHC30108 Certificate III in Community Services Work. Ms Vagg will supervise the training and assessment of the qualification. As identified previously in this report, Ms Vagg holds the necessary training and assessment competencies. It is planned that she will train and assess under Ms Vagg's supervision and gain appropriate current industry skills. At the audit the RTO withdrew and destroyed the qualification for CHC40708 Certificate IV in Community Services Work previously incorrectly awarded to Ms Steinmann. The RTO provided evidence of processes to ensure that all future qualifications issued will be in alignment with AQTF and National Quality Council requirements.



Rectification evidence still required:**Strategies for training and assessment**

The RTO is required to provide training and assessment strategy documents for CHC50908 Diploma of Children's Services (Early childhood education and care) that::

- Are clearly defined and informed by information collected on industry requirements and learners' needs through effective consultation with industry
- specify the resources, both human and physical, that will be used to meet the requirements of the training package
- describe a delivery program (units, prerequisites, scheduling etc) that meet all requirements of the training package
- clearly identifies which assessment activities are formative and which are summative
- are monitored and improved through effective communication
- are documented, either as a series of documents or consolidated into a single document

Rectification evidence received by 21 December 2011:

The RTO provided a comprehensive training and assessment strategy for CHC50908 Diploma of Children's Services (Early childhood education and care) which meets AQTF requirements and is informed by industry consultation.

The RTO is now compliant for all aspects of Standard 1 examined at audit. No further rectification is required.

Opportunities for Improvement

- For CHC50908 Diploma of Children's Services (Early childhood education and care) strengthen assessment tools to increase opportunities for students to demonstrate the application of their knowledge of early childhood theorists to their practice.
- During its next validation of assessment tools for CHC30208 Certificate III in Aged Care the RTO is encouraged to strengthen identification of the minimum acceptable response in criteria defining acceptable response.

Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients

Elements	Examined
2.1 The RTO establishes the needs of clients, and delivers services to meet these needs.	<input type="checkbox"/>
2.2 The RTO continuously improves client services by collecting, analysing and acting on relevant data.	<input checked="" type="checkbox"/>
2.3 Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.	<input checked="" type="checkbox"/>
2.4 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.	<input type="checkbox"/>
2.5 Learners receive training, assessment and support services that meet their individual needs.	<input type="checkbox"/>
2.6 Learners have timely access to current and accurate records of their participation and progress.	<input type="checkbox"/>
2.7 The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	<input type="checkbox"/>

Audit findings**At time of audit:**

- Compliant**
 Not compliant

Findings:

The RTO demonstrated a systematic approach to continuous improvement of client services in response to data collected.

Pre-enrolment information was accurate, easy to understand and contained sufficient detail of student's rights and responsibilities to enable an informed choice to be made. The RTO's student enrolment agreement and a flyer which includes course and additional costs, goes out with the student enrolment form. The form is to be returned by the student with a box ticked to indicate they have read the Student Enrolment Agreement before registration can proceed. For on-line enrolments the student cannot register without ticking a box to indicate they have read and agree to the terms of the Student Enrolment Agreement. The agreement between the RTO and the client is clearly defined and accurate.

The RTO provided sufficient evidence that employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment. Where training and assessment is to be in the workplace the RTO develops a comprehensive training plan for the student in consultation with the corporate client and/or supervising employer.





Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates

Elements	Examined
3.1 The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.	<input type="checkbox"/>
3.2 The RTO uses a systematic and continuous improvement approach to the management of operations.	<input checked="" type="checkbox"/>
3.3 The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.	<input checked="" type="checkbox"/>
3.4 The RTO manages records to ensure their accuracy and integrity.	<input type="checkbox"/>

Audit findings

At time of audit:

- Compliant
- Not Compliant

Findings:

The RTO demonstrated that its management systems are appropriate to the size and scope of its operations and are responsive to the needs of clients, staff and stakeholders. The RTO uses a Wiise.NET web-based AVETMISS-compliant data system for student records. All documents requested in the course of the audit were able to be retrieved without difficulty and version control was evident for all documents examined.

To ensure that AQTF compliant management systems were in place to accommodate the increased administrative workload due to the RTO's recent rapid growth the Finance Manager developed a Policy and Procedures Manual. The manual is both comprehensive and user friendly and has proven effective over the past six months when medical issues caused a key member of staff to be absent for four months without warning and a new staff member had to take over. The future plan is to use Clouds so that policies in the manual have inbuilt hyperlinks to the required templates and step by step procedures to go with all policies in the Policies and Procedures Manual.

The RTO partners with Team Elite Pty Ltd to deliver some of its training and assessment for *HLTFA301C Apply First Aid* and *HLTCPR201A CPR*. The agreement between the two organisations sufficiently describes the responsibilities of each party and management strategies to be implemented, including monitoring arrangements.

Conditions of registration [

Conditions	Examined
1 Governance	<input type="checkbox"/>
2 Interactions with the registering body	<input type="checkbox"/>
3 Compliance with legislation	<input type="checkbox"/>
4 Insurance	<input type="checkbox"/>
5 Financial management	<input checked="" type="checkbox"/>
6 Certification and issuing of qualifications and statements of attainment	<input type="checkbox"/>
7 Recognition of qualifications issued by other RTOs	<input type="checkbox"/>
8 Accuracy and integrity of marketing	<input type="checkbox"/>
9 Transition to training packages/expiry of accredited courses	<input type="checkbox"/>

Audit findings

At time of audit:


- Compliant
- Not Compliant

Following rectification received:

- Compliant
- Not Compliant

Non-compliances:

Non compliance was identified against Condition 5 of Registration at audit. The RTO accepts up front payments of up to \$3,015 prior to course commencement. The RTO also has a payment plan which would be compliant under Option 3 of Condition 5 of Registration, however only a portion of the RTO's students use this plan. The auditor outlined why the RTO's Trust Fund which it does not draw down from until course end or fee protection insurance were not compliant against the requirements of



Condition 5 of Registration.

The RTO advised it intends to discuss options with its bank and/or accountant and submit the resultant plan to the Director of Audit Services.

Rectification required:

The RTO is required to provide details of how it intends to collect fees for its training and assessment services, including the option from Condition 5 of Registration it intends to use. The RTO is also required to demonstrate how the chosen method of collection of fees aligns with the requirements of Condition 5 of Registration.

Rectification received 10 January 2012:

The RTO provided advice that it now collects fees in advance in keeping with Option 3 of Condition of Registration 5. The RTO also submitted modified pre-registration student information documents which reflect this change from Option 5 of Condition of Registration 5.

Non-compliances identified at audit concerning Conditions of Registration have now been address. No further rectification is required.