



NSW Vocational
Education & Training
Accreditation Board

AQTF Audit Report for Renewal Registration

Komatsu Australia Pty Ltd

19 May 2011

AQTF AUDIT REPORT

RTO DETAILS			
RTO Legal Name	Komatsu Australia Pty Ltd		NTIS Number 90996
Trading name	Komatsu Australia Pty Ltd		Business No
	ACN	ABN	63 053 514 739
Street address	Level 1, 2 Richardson Place, NORTH RYDE NSW		Postcode 2113
Postal address	PO Box 943, NORTH RYDE BC NSW		Postcode 1670
Phone	02 9795 8432	Fax	02 9795 8288
E-mail	prichardson@komatsu.com.au	Website	www.komatsu.com.au
Registration contact Person responsible for registration matters	Name Paul Richardson	Position	Organisational Development
Student numbers Currently enrolled	0		

AUDIT TEAM			
Lead auditor	William Ray	Auditor(s)	-
Technical advisor(s)	-	Observer(s)	-

REGISTERING BODY DETAILS			
Contact person	Sharon Mathews		
Phone	(02) 9244-5787	E-mail	sharon.mathews1@det.nsw.edu.au


AUDIT DETAILS		
Type of audit	Renewal	All Conditions and Standards to be audited

INTRODUCTION
<p>Komatsu Australia Pty Ltd was first registered in 2004. Its current period of registration is 02-09-2004 to 31-05-2011. An application for renewal of their registration was allocated for audit on 2-02-2011.</p> <p>Komatsu Australia Pty Ltd provides a range of training courses, covering aspects of machine maintenance, testing, troubleshooting and repair. The Nationally Recognised training offered is for the Restricted Electrical Licence Training Course for participants holding a relevant trade qualification (such as mechanical or hydraulic). Most training has been delivered in WA with some delivery in QLD. The organisation has experienced some recent staff changes with the Organisational Development Manager leaving, and the previous Trainer/Assessor retiring and replaced. The CEO was unavailable at this audit.</p> <p>The organisation's scope of registration consists of 1 unit from the Electrotechnology Training Package.</p> <p>RTO is not on the Approved Providers List (APL).</p> <p>Delivery mode is specified as classroom based.</p> <p>Application has been made for National Recognition to deliver in ACT, NT, QLD, SA, TAS, VIC, WA</p>

FOCUS OF AUDIT [refer to the VIP and NTIS information for accuracy]			
NTIS Code	Qualification(s), Unit(s) of competency, Accredited course(s) as per NTIS	Mode(s) of delivery	Delivery site(s)
UEENEPP005B	Disconnect and reconnect 3.3 kV electric propulsion components of self-propelled earth moving vehicles	Classroom based	

INTERVIEWEES		
Staff (name and position), Employers (name and position), Students (by program only; do not list by name)		
Name	Position	Program (qualification, course, etc)
Jason Alfeo	National Technical Training Manager	

SUMMARY OF AUDIT
<p>This audit was conducted under Section 22 of the <i>NSW Vocational Education and Training Act 2005</i> (the VET Act) to assess compliance with the <i>Australian Quality Training Framework Essential Standards for Continuing Registration</i>. <i>The Conditions of Continuing Registration were also audited</i></p> <p>Audit Outcome 2011-05-31 The organisation has demonstrated compliance with the relevant AQTF Essential Conditions and Standards for Continuing Registration.</p>

AUDITOR'S RECOMMENDATION					
2011-05-31 That, under the relevant section of the VET Act 2005, the organisation's application be approved .					
Auditor's Name	Signature	Date of Report			
William Ray		2011-05-31			

AUDIT SUMMARY OF ESSENTIAL CONDITIONS

Conditions of Registration		Compliant	Non-compliant	Not audited
1	Governance	✓		
2	Interactions with the Registering Body	✓		
3	Compliance with Legislation	✓		
4	Insurance	✓		
5	Financial Management	✓		
6	Certification & Issuing of Qualifications & Statements of Attainment	✓		
7	Recognition of Qualifications Issued by other RTOs	✓		
8	Accuracy and Integrity of Marketing	✓		
9	Transition to Training Packages/Expiry of Accredited Courses	✓		

Audit conclusion

The RTO has demonstrated compliance with the Conditions of Registration.

ESSENTIAL CONDITIONS

CONDITION 1: Governance				
	Result		Result	
Evidence	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>Conditions of Registration Declaration signed by CEO Stephen Schofield. RTO Master Meetings agenda includes Governance items (see 1.1). Training and assessment is designed to meet Regulatory requirements (see 1.2). Safety Sessions are conducted at the start of each course (see 1.3). Trainer/assessors undergo continued development in current VET and industry skills and knowledge (see 1.4). Code of Practice (PO-01 V03) (see 2.3). RTO Management Responsibilities are included in Organisation Chart and Duty Statements (see 3.2) Internal audits are conducted against AQTF compliance (see 3.2).</p>				

Findings:

Evidence has demonstrated the RTO's Governance ensures compliance with the AQTF Essential Conditions and Standards. Opportunities for Improvement have been raised in relation to Standards 1, 2 and 3.

CONDITION 2: Interactions with the Registering Body				
	Result		Result	
Evidence	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>RTO staff P Richardson and J Alfeo attended VETAB workshops in May 2008 and also 17/09/2010 on UEE07 training package version 3 workshop. (NSW DET workshop emails provided at audit) Implementation and annual reporting of Quality Indicators not demonstrated at audit. (see 1.1) Notification of CEO change in 2010.</p>				

Findings:

Evidence demonstrated RTO interactions with the Registering Body (VETAB) in regards to Training Package changes and CEO changes. An Opportunity for Improvement has been raised regarding AQTF Quality Indicators (see Standard 1).

CONDITION 3: Compliance with Legislation				
	Result		Result	
Evidence	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>Legislation Log Form lists relevant legislation in Qld NSW Vic Tas SA WA NT ACT. Last reviewed in July 2009, and RTO's internal review process requires this to be reviewed annually. KTS Annual Activity Timetable requires compliance with regulations to be checked annually, and included in Annual internal audits however no evidence was available to demonstrate that this annual check has been done. Noted that internal audit report provided at this audit did not include the Conditions of Registration (see 3.2) RTO receives emails from Qld Mining Industry Skills Council regarding legislative changes e.g. email 12/5/11 re. Generic Induction Queensland requirements under Standard 11 of the Coal Mining Safety and Health Act 1999. RTO has emailed this to its Qld based trainers including Colin Dow (see 1.4) and is currently planning this training for them. RTO stated that most training is done in WA and Qld.</p>				

Findings:

Evidence demonstrated that the RTO has identified relevant Legislation.

CONDITION 4: Insurance				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
Certificate of Currency for Public Liability Insurance policy 64/1008902 issued by Tokio Marine Management (Australasia) Pty Ltd for period 01 April 2011- 01 April 2012.				

Findings:

Evidence demonstrated that the RTO holds a current Public Liability insurance policy.

CONDITION 5: Financial Management				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
Financial Report for Year Ended 31 March 2010 signed by Shane O'Connor, Partner KPMG 18 May 2010.				

Findings:

Evidence demonstrated the RTO's Financial Management systems including financial reporting and fees management.

CONDITION 6: Certification & Issuing of Qualifications & Statements of Attainment				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
Sample Statement of Attainment provided complies with VETAB and AQF requirements.				

Findings:

Evidence demonstrated that Statement of Attainment template meets AQF and VETAB requirements.

CONDITION 7: Recognition of Qualifications Issued by other RTOs				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
Recognition Policy PO08 (V02 19/3/2007) - Mutual Recognition (p3) commits to mutual recognition of AQF qualifications and Statements of Attainment issued by other RTOs. RTO advised that no RPL or RCC applications have been received. (see 1.5)				

Findings:

Evidence demonstrated the RTO's National recognition process.

CONDITION 8: Accuracy and Integrity of Marketing				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>RTO does not market its Nationally Recognised Training. Marketing and Advertising Policy (PO-17 27/08/09) assigns responsibility for marketing in compliance with AQTF to the RTOs CEO.</p>				

Findings:

Evidence demonstrated the RTO's Marketing and Advertising Policy.

CONDITION 9: Transition to Training Packages/Expiry of Accredited Courses				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>RTO has attended UEE07 training package version 3 workshop and updated its T&A materials from UEENEEP005A to UEENEEP005B.</p>				

Findings:

Evidence demonstrated the RTO managed transition from UEENEEP005A to UEENEEP005B.

AUDIT SUMMARY OF ESSENTIAL STANDARDS

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

	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Audit conclusion

Komatsu Australia Pty Ltd has learning and assessment strategies, relevant teaching/learning and assessment resources and equipment, suitably qualified and experienced staff and assessment materials in place and of a suitable quality to ensure training delivery and assessment services are provided in relation to its scope. They have a systematic approach to collection, analysis and follow-up of data in support of continuous improvement of the training and assessment services provided.

Strengths:

Komatsu Australia Pty Ltd continues to work closely with its customers, apprentices, trainers/assessors and operations personnel using Komatsu machinery to provide quality training and assessment.

Opportunities for Improvement:

RTO needs to implement the AQTF Quality Indicators and annual reporting requirements as part of its continuous improvement of training and assessment.

Consider including a Generic Course Introduction and Safety Session in the delivery plan and a list of resources in the Program Descriptor, and in the Overall Course Report form where specific issues and discussions could be noted.

Involvement of customers in assessment validation process, and reporting on the results of feedback and internal audits at RTO Master Meetings would support the continuous improvement approach.

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

	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Audit conclusion

Komatsu Australia Pty Ltd maintains systems for quality management including controlled and accessible documentation, RTO Master Meetings, internal reviews for compliance and continuous improvement, assessment validation activities. Systems for ensuring accuracy and integrity of student records have been demonstrated.

Strengths:

Komatsu Australia Pty Ltd continues to work closely with its customers, apprentices, trainers/assessors and operations personnel to maximise their outcomes.

Opportunities for Improvement:

Reporting on the results of stakeholder feedback and internal audits at RTO Master Meetings and addressing all continuous improvement agenda items would support the continuous improvement approach.

Complaints and Grievance Procedure and Assessment Appeals process should ensure written outcomes are provided to complainant/appellant, and provide contact details for external sources of appeal beyond the RTO.

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

	Result		Result	
	Compliant	✓	Not audited	
Audit conclusion	Non-compliant		Not applicable	
Management Systems are well documented and controlled, define RTO related responsibilities and are accessible to staff.				

Strengths:

Opportunities for Improvement:

Updating the RTO's internal AQTF audit template in line with the 2010 edition of the AQTF essential conditions and standards, including checks for compliance with the Conditions of Registration and the AQTF Quality Indicators, and providing internal audit training for relevant RTO staff would support the self-assessment and continuous improvement approach.

ESSENTIAL STANDARDS AND ELEMENTS

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

1.1 The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.

	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Evidence

Participant evaluation sheets collected at end of course, summarised and reviewed at trainer meetings e.g. Feb 2010, June and Nov 2010, August 2009, May 2007 – records action items, assigns responsibilities and due dates. RTO Master Meeting Agenda Form includes a standing agenda items includes complaints/grievances, continuous improvement, auditing programs, documents and systems, course assessment, development, staff and client communication, RTO re-registration. Noted that the whilst the August 2009 minutes provided some actions in regards to continuous improvement and course evaluations, the 2010 minutes make some reference to review of course evaluation forms, but do not report on the results of feedback and internal audits. (See Opportunity for Improvement).

Summary of course evaluations high levels of satisfaction (6 in 2010, 3 in 2009, and 10 in 2008 – all indicate high level of satisfaction).

RTO was unable to demonstrate that it has implemented the AQTF Quality Indicators and met the annual reporting requirements. (See Opportunity for Improvement).

Findings:

Evidence demonstrated systematic collection, analysis and action on relevant training and assessment data. RTO Master Meetings have not addressed all agenda items related to continuous improvement and AQTF Quality Indicators reporting was not demonstrated. (See Opportunities for Improvement).

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.

	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Evidence

T&A strategy is defined in the Program Descriptor for UEENEOP005B (REL0100-PD V03) which includes information on:

- Learning objectives and outcomes, identifies target group, delivery mode and program design including a flow chart describing the delivery and assessment plan. Delivery includes 5 classroom sessions aligned to the unit of competency elements. Assessments are conducted for each session, and a summative practical assessment is conducted after completion of the classroom sessions. The classroom sessions can be delivered separately or holistically in combination.
- Resources for classroom delivery including electrical test equipment, shop manuals, Operations and Maintenance Manuals, electrical component samples.
- Duration: 5 days off the job at client or Komatsu facilities ensuring access to machinery for T&A
- Pre-requisites for mechanical maintenance and LLN are covered in Learner Information Packs
- Contextualising is addressed since training is currently delivered for Komatsu customers and staff in relation to Komatsu equipment. However the strategies do not limit the training to Komatsu equipment and require relevant Operations and Maintenance Manuals to be used during delivery.
- UOC elements and performance criteria have been mapped to Theory questions and Practical Assessment scenarios.
- 'Unplanned Events' are addressed in assessment scenarios which include problems requiring function testing for correct operation and connections. The Practical assessment includes Assessor's notes which state that 'some adverse conditions should be created e.g brush removed from brush holder,' and provides other examples.
- Regulatory requirements: QLD and WA regulatory requirements have been stated in the course information packs. The RTO advised that it has not developed course information packs for the other States and Territories since it has not been required to deliver in those jurisdictions to date, and stated it would develop these packs as needed.
- The T&A strategy and courseware provided at audit did not address the requirements of the Range Statement that Safe Working procedures be in accordance with AS/NZS 4836:2001 'Safe working on low-voltage electrical installations'. The RTO has since provided evidence that it has purchased a copy this standard 20/5/11 and incorporated it into its T&A strategy.

Findings:

Evidence demonstrated the RTO's training and assessment strategies meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.

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

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Trainer/Assessor Matrix (see 1.4)

Management of OH&S in the learning environment was demonstrated by:

- inclusion of the Komatsu Take 5 Approach booklet in company induction
- Work environment policy PO-16 V02 19/3/07 which includes the RTO's commitment to comply with State/Territory OHS legislation.
- Session Plan provided for Generic Course Introduction and Safety Session located in the Course folder to be conducted at the start of each course. Safety Session includes session overview, introductions, housekeeping, site specific and general safety issues, and PowerPoint presentation.

Program Descriptor - Training Strategies for UEENEPP005B: identifies Resources (including shop manuals, hand tools, AS/NZS 4836:2001, electrical test equipment (multimeter, insulation tester), component samples (machine HV components), computer with appropriate machine systems software.

Training Plans and Assessment Strategies consistent with Training Package requirements (see 1.2).

Training & Development Policy describes the continuing training and development of Komatsu Training Services staff (see 1.4).

Training methodology procedure describes Komatsu Australia's training methodology intended to provide a consistent process for the identification, development, assessment and evaluation of training activities. The course is delivered off-the-job at a training facility with access to a machine. The course will be delivered through a combination of face-to-face trainer-led theory classes and practical sessions involving small group and individual activities using PowerPoint presentations, with reference to Komatsu service literature in a classroom environment. The courses are self-contained to provide flexible training delivery.

Most training for this unit is delivered in Komatsu's Perth Training Center. Training room visited in the Sydney head office is similarly equipped for classroom delivery. RTO advised that trainers bring in some electrical components as required for demonstration purposes during training. Training is also delivered at customer premises using their own Komatsu equipment as required.

A Training/Assessment Preparation Checklist is available but is not used.

Assessment materials are covered under 1.5

Findings:

Evidence demonstrated staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package and the RTO's own training and assessment strategies.

1.4 Training and assessment is delivered by trainers and assessors who:

- (a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and
- (b) have the relevant vocational competencies at least to the level being delivered or assessed, and
- (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and
- (d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

	Result		Result	
Evidence	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Staff Matrix identifies 1 trainer/assessor Colin Dow.

Sampled qualifications, licenses (licensed electrician and fitter mechanic) and resume (6 years as truck electrician with Komatsu, and 5 years as Komatsu technical trainer), and evidence of recent and planned professional development including training history recorded in the Komatsu SAP database and records Komatsu factory training courses attended by Colin Dow.

Colin has recently attended 960E Komatsu factory training in Mackay with KAC, and Accumine Collision Avoidance training at the University of Sydney. Professional development plans for 2011 include update TAA qualification to TAE, and attend Komatsu factory 860E training in September 2011.

Findings:

Evidence demonstrated the nominated trainer/assessor Colin Dow has the necessary T&A and vocational competencies, skills and experience to train and assess UEENEEP005B, and continue to develop his VET knowledge and skills as well as their industry currency and trainer/assessor competence.

1.5 Assessment including Recognition of Prior Learning (RPL):

- (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.

	Result		Result	
Evidence	Compliant	✓	Not audited	
	Non-compliant	✓	Not applicable	

Assessment Tools provided included:

- Assessment Policy
- Assessment Procedure
- Assessment Guidelines Procedure

- Assessment Instrument for UEENEEP005B provide for recording assessment date, name and signed acknowledgement of participant/candidate and assessor, with provision for comments by both. The document identifies pass mark as 80%, references the appeals process, provides detailed instructions to the assessor including tools and equipment requirements, description of the assessment task and 'what if' exemplars, and instructions regarding re-training and re-assessment. The assessment instrument allows for evidence of competence to be recorded against each element of the UOC as well as underpinning knowledge as required by the training package.

Assessment instruments for each UOC element including:

- Theory written assessment tool including instructions to learners, requiring multiple choice quiz and written answers
- Assessor marking guides with model answers
- Practical Assessment - re-assessment for proof of skills maintenance for the renewal application of a Restricted Electrical License (Qld) or Electrical Permit (W.A.) – based on UEENEEP005B. Provides for recording assessment date, name of participant and assessor, final assessment results and includes notes to assessor. This is a practical assessment involving 3 tasks. The assessment tool allows for evidence of competence to be recorded against each element of the UOC.
- Practical Assessment - provides for recording assessment date, name of participant and assessor, and final assessment results. Includes notes to assessor. This is a practical assessment involving 3 tasks. The assessment tool allows for evidence of competence to be recorded against each element of the UOC.

Student records were sampled for courses delivered on 29/11/09, 13/8/10, 27/8/10, 29/11/10 (see 1.5)

Learner files sampled included application forms, pre-requisite evidence of mechanical or autoelectrical qualifications and industry experience, and completed assessment instruments. A summary sheet located within each file summarises the contents and evidence received however whilst the assessment instruments were found in the files, this summary was not always up to date.

Folders included:

- application form including learners details and summarising evidence provided for UOC pre-requisites (trade qualifications, industry experience, signed and dated learner declaration. Supporting evidence is filed behind each application form. Noted that some administration records were incomplete e.g.
- the 'Eligibility declaration' section to confirm that the applicant has provided the required pre-requisite information was not signed and dated by Komatsu Administration in the records sampled.
- summary records of UOC pre-requisite checks were incomplete in some cases.

Files also included:

- Assessment tools within the folders included:
- summary of the assessment outcomes for each learner.
- 'Assessment Instrument' summarising the overall competency outcome including practical and theory assessment outcomes, action plan and reassessment if required, signed and dated by assessor and learner. The instrument describes assessment context as on the job or off the job in accordance with safety and local working conditions, and includes instructions and guidance for assessor including examples of 'what if' scenarios. (1.5)
- 'Practical Assessment' instrument includes name of participant and assessor, assessment date, and records competency outcome and assessor signature and comments against each Element and Performance Criteria.
- Theory Assessment instruments for each UOC element.

Noted that whilst the Assessment Instrument is signed by the assessor and learner, and includes the overall assessment outcomes for both the Practical and Theory Assessments, and the Practical Assessments are signed and dated by assessor and include assessor's comments. However the Theory Assessment instruments are not signed by the assessor, although some show marking ticks and indicate a result score.

RPL:

- No RPL applications have been received.
- Recognition of Current Competence Policy and Procedure defines the RTOs policy to offer RPL to all applicants.
- RCC information pack and Code of Practice is provided to students pre-enrolment.

Assessment Validation:

- RTO was unable to demonstrate systematic validation and moderation of assessment.

Findings:

Evidence demonstrated that assessment including Recognition of Prior Learning (RPL) meets the requirements of the Training Package, is conducted in accordance with the principles of assessment and the rules of evidence, meets workplace and, where relevant, regulatory requirements.

RTO needs to provide evidence to demonstrate that assessment is systematically validated and moderated.

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

2.1 The RTO establishes the needs of clients, and delivers services to meet these needs.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

The RTO's clients are existing Komatsu customers and Komatsu employees trained on Komatsu equipment. Training and assessment is designed to meet Regulatory requirements (see 1.2).

Findings:

Evidence demonstrated the RTO establishes the needs of clients, and delivers services to meet these needs.

2.2 The RTO continuously improves client services by collecting, analysing and acting on relevant data.

Evidence	Result		Result	
	Compliant		Not audited	
	Non-compliant	✓	Not applicable	

Participant evaluation sheets and RTO Master Meetings (see 1.1)
 Client Services Policy
 Complaints and Grievances Procedure (see 2.7)
 RTO was unable to demonstrate that it has implemented the AQTF Quality Indicators and met the annual reporting requirements. (See 1.1)

Findings:

Evidence demonstrated systematic collection, analysis and action on some relevant client services data. RTO needs to provide evidence demonstrating its implementation of the AQTF Quality Indicators and compliance with the annual reporting requirements as part of its continuous improvement of client services.

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.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

- Code of Practice (PO-01 V03)
 - Course Information Packs, provided to learners before the commencement of the course, for Queensland (PR-10 V04) and Western Australia (PR-11 V03) include information on course pre-requisites, licensing requirements, and application form for Restricted Electrical License Training Course, training and assessment, fees, refund policy, complaint handling, EEO, Safety requirements, application form.

Findings:

Evidence demonstrated the 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.

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.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Komatsu trains its own employees as well as delivering the course for customers on site at customers' premises using their own Komatsu equipment.

Findings:

Evidence demonstrated 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.

2.5 Learners receive training, assessment and support services that meet their individual needs.				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Assessment instruments inform learners and assessors that before each assessment the assessor is to be informed of any special needs and assessor to implement any assessment flexibility to maintain validity and fairness.

Application form requests information on individual needs of learners (e.g. physical needs, LLN, dietary requirements) and information on current qualifications and experience required for pre-requisites.

RTO advised that no special needs have been indicated by learners other than in relation to food.

Findings:

Evidence demonstrated that learners receive training, assessment and support services that meet their individual needs.

2.6 Learners have timely access to current and accurate records of their participation and progress.				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Code of Practice, and Administration Policy and Procedure define records management and how students can access their records. Written requests are required from student and are to be responded to within 21 days.

No examples of written requests from learners were provided at audit.

Learner records requested at audit were readily retrievable (see 3.4).

Findings:

Evidence demonstrated that learners have timely access to current and accurate records of their participation and progress.

2.7 The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.				
Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Complaints and Grievance Procedure and Assessment Appeals process have been defined. The processes provides for the outcome decision to be provided to complainant verbally and/or in writing. (Should be in writing). Indicates a third party mediation may be involved including state training authority or relevant Industry Training Advisory Body, but does not provide contact details for external source(s) of appeal beyond the RTO.

RTO advised that no complaints or appeals have been received. A complaints register is available on the server.

Findings:

Evidence demonstrated that the RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.

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

3.1 The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

RTO advised it has no agreements in place with clients.
 Komatsu trains its own employees and its clients in-house using their Komatsu equipment and manuals.
 Learner special needs are met (see 2.5)

Internal audits include AQTF Std 2. (see 3.2)

Findings:

Evidence demonstrated the RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.

3.2 The RTO uses a systematic and continuous improvement approach to the management of operations.

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Organisation Chart and Duty Statements (PR-01 V02 12/8/09) provided at audit identify the positions, reporting lines, names and responsibilities of the RTO's CEO, and key personnel including Jason Alfeo (Technical Training Manager), Trainers, and Organisational Development Administrator (currently occupied by temporary staff).

Internal audits report for audit conducted Sep 2010 against AQTF 2007 standards included listing evidence reviewed, indicated compliance was met, and that no corrective actions were required. Noted that the report did not include the Conditions of Registration, was not aligned with the AQTF 2010 edition, and was not reported at RTO Master Meetings (see 1.1).

(See Opportunities for Improvement).

Findings:

Evidence demonstrated a systematic and continuous improvement approach to the management of operations.

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.

Evidence	Result		Result	
	Compliant		Not audited	
	Non-compliant		Not applicable	✓

Not applicable as all training and assessment is to be conducted by the RTO; none is provided on its behalf and none is proposed.

Findings:

Not applicable as no training or assessment is provided on behalf of the RTO.

3.4 The RTO manages records to ensure their accuracy and integrity

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

Training folders are located on the corporate server and Jason Alfeo advised that these can only be accessed by himself, Paul Richardson (National Organisational Development Manager), Organisational Development Administrator, and the A Crowley (CEO).

Training course report folders are maintained in locked cabinets, and were readily retrievable. All courses were delivered by the one trainer/assessor, Alan Minter (since retired).

Learner records were sampled for courses delivered on 29/11/09, 13/8/10, 27/8/10, 29/11/10 (see 1.5).

Findings:

Evidence demonstrated the RTO manages records to ensure their accuracy and integrity.