

AQTF Audit Report for Continuing Registration

Border Express Pty Ltd

16-02-2011

AQTF AUDIT REPORT

RTO DETAILS			
RTO Legal Name	Border Express Pty Ltd		NTIS Number 91515
Trading name	BE Logistics Training		Business No
	ACN	ABN	82 000 533 880
Street address	306 Macauley Street, South Albury NSW		Postcode 2640
Postal address	As above		Postcode
Phone	6022 6038	Fax	6022 6060
E-mail	gavinrowell@borderexpress.com.au		Website www.borderexpress.com.au
Registration contact <small>Person responsible for registration matters</small>	Name Gavin Rowell	Position	Training Manager
Student numbers <small>Currently enrolled</small>	TLI30207 - 138 TLI31107 - 51		

AUDIT TEAM			
Lead auditor	Mark Crawford	Auditor(s)	
Technical advisor(s)		Observer(s)	

REGISTERING BODY DETAILS			
Contact person	Sharon Matthews		
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AUDIT DETAILS	
Type of audit	Amendment to Scope & Post-initial
Standards audited	All
Audit date(s)	16 th February 2011

INTRODUCTION
<p>Border Express Pty Ltd was first registered in June 2009. Boarder Express is an interstate transport and distribution services company that is family owned and operates out of Albury. The company has grown significantly since it was established in 1981 and has warehouse and distribution facilities in all of the major capital cities.</p> <p>Border Express is an enterprise RTO with qualifications from TLI07 on scope. This audit is a combined post initial follow up and amendment to scope to include updated Cert III qualifications from the TLI07 Training Package and the Queensland course in transport of dangerous goods.</p> <p>Prior to becoming an RTO Border Express undertook training and assessment under the auspice of WodongaTAFE. Since becoming an RTO Border Express has issued 7 full qualifications and has 183 students currently enrolled. The cost of training is funded by Commonwealth and State incentives and where trainees are not eligible for funding, training costs are covered by the company.</p> <p>All employees are required to undertake four common core units as part of their induction program. The training plans are tailored to meet the job role requirements. Training and assessment is undertaken by 7 full time trainers and assessors.</p>

FOCUS OF AUDIT			
NTIS Code	Qualification(s), Unit(s) of competency, Accredited course(s) as per NTIS	Mode(s) of delivery	Delivery site(s)
TLI30207	Cert III in Transport and Logistics (Road Transport)	Employment	All States
TLI31107	Cert III in Transport and Logistics (Logistics Operations)	Employment	All States
TLI30107*	Cert III in Transport and Logistics (Warehousing and Storage)	Employment	All States
TLI31209*	Cert III in Driving Operations	Employment	All States
30744QLD**	Course in the Transport of Dangerous Goods	Classroom	All States

*These qualifications are updates to scope

** Addition to scope

INTERVIEWEES		
Staff (name and position), Employers (name and position), Students (by program only; do not list by name)		
Name	Position	Program (qualification, course, etc)
Craig Olsson	CEO	
Gavin Rowell	RTO Manager	
Julie Manns	RTO Compliance	
Jason Atterige	Trainer	TLI30107
Tim Farrant	Administration Assistant	

SUMMARY OF AUDIT
<p>This audit was conducted under Section 22 of the NSW <i>Vocational Education and Training Act 2005</i> (the VET Act) to assess compliance with the <i>Australian Quality Training Framework Essential Conditions and Standards for Continuing Registration</i>. <i>The Essential Conditions of Continuing Registration were not audited.</i></p> <p>Audit Outcome</p> <p>2011-02-17 The organisation has demonstrated compliance with the relevant AQTF Essential Conditions and Standards for Continuing Registration.</p>

AUDITOR'S RECOMMENDATION					
2011-02-17 That, under the relevant section of the VET Act 2005, the organisation's registration/application be approved.					
Auditor's Name	Mark Crawford	Signature	M. Crawford.	Date of Report	17-02-2011

AUDIT SUMMARY OF ESSENTIAL STANDARDS

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

Audit conclusion	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

The RTO has developed training and assessment strategies that are based on the training package requirements. Training plans are developed in consultation with workplace supervisors and managers to ensure that training needs are identified and the training program is tailored to meet these needs. The RTO has demonstrated a process of quality training and assessment through collection and analysis of feedback and development of assessment tools to suit specific workplace requirements.

Strengths: The detail included in the Training Summary report is of a high standard. Trainers provide a description of the context of assessment, the basis for the assessment decision and a summary of the performance of the trainee.

Opportunities for Improvement:

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

Audit conclusion	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

The RTO has policies and processes in place for the determination of student needs, for the provision of training to meet the student's need and the provision of student support.

Strengths:

Opportunities for Improvement:

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

Audit conclusion	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	

The RTO has a documented and structured management system in place that supports the operations of the RTO. The management system is based on continuous improvement with input from students, trainers and operational staff.

Strengths:

Opportunities for Improvement:

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.

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

Student and Employer Survey Reports sent out quarterly. Sighted report summary for 2009, submitted in June 2010.

Training Evaluation Surveys conducted via Survey Monkey – sighted statistical reports showing positive outcomes.

The RTO is planning to review student feedback results at the next annual staff professional development meeting.

The company has achieved a reduction in workplace accidents and incidents since becoming an RTO and providing training programs in house.

Trainer feedback provided on an ongoing basis and recorded on Sharepoint.

Sighted completed student Training Evaluation forms.

Amendment register for assessment tools showing continual revision and improvement of assessments.

Findings:

The RTO has demonstrated that it has processes in place for the collection and analysis of feedback 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.

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

Consultation

- As an enterprise RTO the training department has regular contract with operations for input into training requirements.
- Letter from T&L ISC confirming that Border Express is represented on the Driving Operations steering committee.
- Letters from the GM and HR manager of Border Express providing positive feedback on training activities in skilling staff and reducing incidents
- Letters from Ron Crouch Transport, Hume Transport and Intrain National Training Academy supporting the need for experienced trainers to deliver Fatigue Management and Dangerous Goods licensing units (potential external clients).
- Course approval for Dangerous Goods Driver Training from the NSW Environment, Climate Change & Water.
- The RTO Training Manager is a network of the RTO Trainer Network – attended workshop early February.

Strategies

- Training and assessment strategies defined for each qualification. The strategies include information regarding
 - o Packaging of units
 - o Explanation of unit packing
 - o Target group – existing and new employees
 - o Induction of student and selection of units based on operational factors
 - o Duration (24 months)
 - o Delivery arrangements – mixed classroom and on the job practical
 - o Assessment methods (RPL, written questions, observation and scenario)
 - o Resources mapped against units
 - o Infrastructure, transition arrangement and validation
 - o Nominated trainers and assessors

- The strategies for TLI30207 are tailored for Linehaul, Local driving and Yard operations.
- Strategy for Dangerous Goods Drivers Licence Course
 - o Classroom based
 - o Duration is 16 hours
 - o Outcome – Dangerous Goods Driver Licence

Findings:

The RTO had developed training and assessment strategies with industry input that meet the requirements of the training package.

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	

- Resource guide for Course in the Transport of Dangerous Goods by Road 30744 QLD
- Publications and codes relevant to the transport industry
- PPE and material handling gear
- Sharepoint learning recourses including E-Learning programs
- Workplace facilities and equipment for on the job training and assessment
- Training kits provided to trainers and assessors
- Qualified trainers and assessors
- Presentation materials including DVD's, Powerpoints and company policy and procedures
- Learner guides (Original material by Hinson is now being developed in house) & Easy Guide materials
- Assessment materials for theory and practical demonstration.
- Assessor guides (mapping performance criteria to assessment

Findings:

The RTO has demonstrated that it has the required resources for delivery of the qualifications and course.

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

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

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

Staff matrix mapping trainer and assessor training and vocational qualifications against qualifications delivered. The matrix includes units applicable for each trainer and assessor.

The nominated trainers and assessors include:

- Jason Atteridge
- Adrian Willis
- Gavin Rowell
- Matthew Carpenter
- Michael Starkie
- Stan Chesswas
- Julie Manns

- Craig Mannix
- Annette Barclay

All trainers have as a minimum a Heavy Vehicle Driving Licence. The matrix shows that all trainers have the required training qualifications and relevant vocational experience and qualifications in Transport and Logistics.

Sampled selected trainer files for Adrian Willis & Jason Atteridge. Staff files sampled included copies of all qualifications, CVs, induction checklist, training records, job description and training contracts.

Professional development listed on the staff matrix shows completed and planned training arrangements eg attendance to in-house PD training, up-skilling to full qualifications, attendance at VETAB workshops (VET Essentials) etc. All trainers attend an annual professional development week workshop.

Findings:

Trainers and assessors have the required training and assessment qualifications and vocational competencies to deliver the qualifications and course. The company provides professional development activities for trainers to maintain their VET knowledge and skills.

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.

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

Sampled assessment tools – TLIF1007C, TLIB407C, TLIA1807C & TLIDI07C. The sampled assessment tools comprise of:

- An assessment summary page and readiness checklist
- Written questions
- Case study including completion of workplace documents
- 3rd party report
- Observation checklist
- An assessment marking guide and mapping against performance criteria

Student Exam – 30744QLD – written and scenario assessments meeting course requirements

Sampled student files. The files sampled included Cert III in Road Transport employee ID 70045 and 70461, Cert III in TLI Logistics Operations employee ID 21110. The sampled files contained the training plan, training contract, completed training record sheets with comments noted by the trainer describing the training undertaken, a description of the assessment activities and trainee performance. Each completed unit contains a Training Record Sheet summary, the completed theory assessments, practical observations, Supervisors Report and associated completed work documents.

Each month 10% of trainee files are audited for compliance.

RPL Kit on Sharepoint – guidelines, assessment summary and unit requirements (provision for mapping performance criteria and critical aspects of evidence to evidence submitted). Generally the RTO has not undertaken RPL as the organisation wishes to re-train employees in their own processes and procedures.

All assessment tools have been reviewed and checked against the requirements of the training package. Evidence to show assessment validation included:

- In the last 12 months a monthly phone hook up with trainers is undertaken to review two units at a time (sighted phone conference minutes with results noted)
- Assessment review of all units by trainers in August 2010. Trainer feedback is noted on Sharepoint.
- Ongoing trainer group discussions on Sharepoint with recommended changes to assessment tools.
- Assessment tools have been mapped against element and performance criteria which is noted on the Assessor Guide

Findings:

The RTO has demonstrated that assessment meets the requirements of the training package and is conducted according to the principles of assessment and rules of evidence. Processes are in place for the systematic validation of assessments.

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	
<p>Course Registration Form – includes provision to record special needs</p> <p>Feedback and input from corporate meetings regarding training requirements. This links back to the strategic plan.</p> <p>Participant Handbook includes information to students regarding service delivery and support services.</p> <p>Induction conducted by the trainer and recorded on the induction record. The trainer provides information to students about the training program.</p> <p>Selection of units in consultation with the trainee's job role.</p> <p>Learning and Development manual – Staff.</p> <p>Assessment Procedure includes information to trainers and assessors regarding student needs.</p> <p>Course information sheets.</p> <p>Routine communications with operational staff regarding training and assessment progress.</p> <p>Trainer workplace visits for training and assessment</p> <p>Assessor Guide includes flexible training and assessment.</p>				

Findings:

The RTO determines student's needs in consultation with the trainee and supervisor during the initial training planning stages. Training services provided are defined in the Participant Handbook and course information flyers.

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	
<p>Improvement Register tracking quality improvements showing date, area of change, change made and remarks. The register has been populated with numerous improvements made to processes, procedures and assessment materials.</p> <p>Monthly phone hookups with trainers to review training and assessment activities.</p> <p>Meetings held with management.</p> <p>Sharepoint team discussions.</p> <p>Student and employer surveys.</p>				

Findings:

The RTO has demonstrated that it has processes in place for the collection and analysis of feedback for improvement.

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	

Pre-enrolment flyer includes information regarding:

- Course purpose, target group and outcomes
- Packaging rules
- Units of competency
- RPL
- Duration and delivery arrangements
- Eligibility including basic LNN requirements
- Support and assistance
- Reference to the Participant Manual
- Contact details

Participant Handbook provides trainees with information regarding training and assessment, support services, complaints and appeals etc.

Training plans and training contract.

Trainees undergo an induction session with the trainer prior to sign-up.

Findings:

The RTO provides information to students prior to enrolment through the Participant Handbook and initial interview / induction session with the trainer.

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	

Selection of elective units in the Training Plan is undertaken in consultation with the trainee and supervisor.

Strategic Plan for 2011 identifying training plans, improvements and training opportunities for the RTO.

Annual training needs analysis conducted by the Training Manager to determine training needs of the organisation.

Completion of 3rd party reports as part of the assessment process.

Findings:

The RTO has processes in place for consultation with workplace supervisors regarding input into training and assessment for trainees. Workplace supervisors contribute to the assessment process through the completion of 3rd party reports.

2.5 Learners receive training, assessment and support services that meet their individual needs.

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

Learning and Development Manual – provides information to staff regarding support students.

Examples provided of tailoring training plans for staff with special needs (physical disability, cultural differences and LLN – trainee enrolled in TAFE program)

Trainers provide additional support for trainees with one on one sessions and verbal questioning.

LLN skills assessment tool available for use where LLN is identified as an issue.

Negotiations with WELL regarding implementation of the WELL program.

Findings:

Trainee needs are determined during the initial enrolment and induction period. The RTO has provided evidence of supporting trainees with special needs through flexible learning and assessment and one on one training sessions.

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	
Participant Enrolment form includes privacy acknowledgement. Participant Record Access Form Participant Handbook p9 (access to records) Assessment tools include trainee signoff & Training Report. Feedback given to supervisors through the Trainee Results Report VETtrack student database. Student files maintained in secure location with completed training and assessment records.				

Findings:

The RTO has a policy for trainees to access their own records. Participation and progress is tracked through completed assessments and through the student database.

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	
Participant Handbook – Complaints and Appeals Complaint and appeals forms Complaints register The RTO has not received any formal complaints.				

Findings:

The RTO has a policy and process for handling complaints and appeals, should they occur.

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	

Training plans and training contract.

Participant Handbook

Learning and Development Manual provides information to trainers regarding the provision of training and assessment services.

Assessment Procedure provides guidance to trainers and assessors regarding training and assessment eg assessment evidence, assessment methods including reasonable adjustment, assessment review and assessment validation.

Update of training and assessment techniques at the annual professional development workshop.

Trainee feedback surveys.

Regular workplace visits by trainers and assessors

Training reports issued to workplace supervisors

Findings:

The RTO has training plans and handbooks that describe training services provided. Processes are in place for the monitoring of training services provided.

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	

Continuous Improvement Procedure

Continuous Improvement form available on Sharepoint for all staff to use.

Continuous Improvement Register showing a number of improvements made by the RTO to training and assessment processes and materials.

Document policy and procedures.

Quality assurance and continuous improvement policy – Learning and Development Manual

Inputs into continuous improvement include student and employer surveys, trainer feedback (Sharepoint), management meetings and phone conference calls.

Student file audits (10% of files audited each month)

Self assessment conducted in Jan 2011.

Annual staff appraisals and KPI measures.

Findings:

The RTO has demonstrated that it uses 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	✓

No training and assessment services for qualifications on scope are contracted to other organisations.

Findings:

Not applicable

3.4 The RTO manages records to ensure their accuracy and integrity

Evidence	Result		Result	
	Compliant	✓	Not audited	
	Non-compliant		Not applicable	
<p>VETtrack student database</p> <p>Procedures for student record management</p> <p>Trainer Induction checklist includes requirements for record management.</p> <p>Training administration and records procedure</p> <p>IT department manages computer access, protection and backup.</p> <p>Privacy policy.</p> <p>Job responsibilities</p>				

Findings:

The RTO has systems in place for sound record management.