

# AQTF Audit Report

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HANMAC PTY LTD – 32096

 FM-PMA-34A  
 TRIM No: 09/182321  
 Version 1 - 9 October 2009  
 Training and International Quality

RTO details			
Registration expiry	Pending		
Principal address	Unit 2, 184-188 Vickers Road North, CONDON, QLD, 4815		
RTO contact	Leeanne Hanna	Phone number	0417 007 594
Operations	<ul style="list-style-type: none"> <li>• Core clients will be FFS new industry entrants and existing workers seeking to upskill.</li> <li>• Delivery will be conducted face to face at the RTO's premises and in the workplace. Training sessions will be supported by learning workbooks.</li> <li>• The organisation has no partnering organisations.</li> <li>• The organisation is not in receipt of Government funding contracts.</li> <li>• The organisation anticipates delivery to approximately 50 students per year across the entire scope.</li> </ul>		
Audit team			
Lead auditor	Pauline Bowtell	Auditor/s	N/A
Phone	07 4760 7610	Adviser/s	N/A
E-mail	<a href="mailto:pauline.bowtell@deta.qld.gov.au">pauline.bowtell@deta.qld.gov.au</a>	Observer/s	N/A
Audit details			
Reason/s for audit	Initial		
Audit date/s	27 January 2010	Audit number/s	32096-1A
Standards audited	1.1, 1.2, 1.3, 1.4, 1.5, 2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 3.1, 3.2, 3.3		
Conditions audited	NIL		
Audit outcome on day of audit	Compliant <input type="checkbox"/> Significant non-compliance <input checked="" type="checkbox"/> Minor non-compliance <input type="checkbox"/> Critical non-compliance* <input type="checkbox"/> <small>[*Critical non-compliance cannot be determined if no delivery has occurred]</small>		
Rectification received	9 March 2010		
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			





Focus of audit				
Code	Qualification/Course/Unit title	Regulated outcome	Delivery venues (list specific sites)	Govt funding (eg UC, PPP)
BSB51107	Diploma of Management	<input type="checkbox"/>	Townsville	N/A
CHC30208	Certificate III in Aged Care	<input type="checkbox"/>		
CHC50608	Diploma of Community Services Work	<input type="checkbox"/>		
HLT40407	Certificate IV in Health Supervision	<input type="checkbox"/>		
<b>Interviewee/s – Staff (and position); Employers; Students</b>				
Leeanne Hanna – Director & trainer/assessor				
William McGuffie – Director				





<b>Standard 1: The RTO provides quality training and assessment across all of its operations</b>	
<b>Elements</b>	<b>Examined at audit</b>
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 are conducted by trainers and assessors who: <ul style="list-style-type: none"> <li>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors</li> <li>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</li> <li>c) continue developing their vocational and training and assessment competencies to support continuous improvements in delivery of the RTO's services.</li> </ul>	<input checked="" type="checkbox"/>
1.5 Assessment, including Recognition of Prior Learning (RPL): <ul style="list-style-type: none"> <li>a) meets the requirements of the relevant Training Package or accredited course</li> <li>b) is conducted in accordance with the principles of assessment and the rules of evidence</li> <li>c) meets workplace and, where relevant, regulatory requirements.</li> </ul>	<input checked="" type="checkbox"/>

**Audit findings**

<b>At time of audit:</b> <input type="checkbox"/> Compliant <input checked="" type="checkbox"/> Not Compliant	<b>Following rectification received 09/03/2010:</b> <input checked="" type="checkbox"/> Compliant <input type="checkbox"/> Not Compliant
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**Findings:**  
 The organisation has developed continuous improvement and internal monitoring review processes. These processes detail how the organisation will validate and improve training and assessment involving staff, clients and stakeholders. Employer/stakeholder satisfaction will be gauged using feedback forms and analysis noted on data summary sheets. As the organisation grows, trainers and assessors will provide feedback on their experiences which will be used to inform continuous improvement activities.

Training and assessment strategies encompass several documents which collectively meet all requirements of the training package. The documents provide accurate and sufficient information regarding training and assessment methods ensuring clients receive training and assessment to meet their needs. Several local aged care facilities have been consulted regarding the strategies.

Sufficient facilities and equipment will be accessed through arrangements negotiated with local aged care providers and vocational placement activities. Student workbooks have been developed and the organisation has an extensive library of resources. A patient training mannequin will allow students to practice a number of activities prior to vocational placement including providing personal hygiene (oral hygiene, toileting, shaving and showering) and pressure/wound care. Strategies are in place to source additional equipment including a nursing bed.

Leeanne Hanna is the organisation's only trainer and assessor. An instructor competence in delivery and assessment policy and staff recruitment and induction policy will guide the engagement of additional trainers and assessors as the need arises. Ms Hanna has extensive industry experience and has continued to develop her competence in the aged care industry. Qualifications and professional development activities undertaken display hands on approach at the ground level to management experience. In addition to these activities Ms Hanna's training and assessment competence has been developed as noted in the professional development log.

The organisation has developed assessment portfolios for each unit of competency examined.

## **Non-compliances:**

### Assessment

The supervisor/third party reports to collect evidence of on the job performance are a direct copy of the performance criteria, required skills and required knowledge. The checklist in its current state requires supervisors to "unpack" or interpret the training package in order to determine workplace performance requirements.

### BSBMGT502B Manage people performance

The assessment tools do not address the following aspects of the unit:

- required skills
  - communication skills to articulate expected standards of performance, to provide feedback and to coach staff who need development
  - risk management skills to analyse, identify and develop mitigation strategies for identified risks
  - planning and organisational skills to ensure a planned and objective approach to the performance management system
- required knowledge
  - relevant awards and certified agreements
  - unlawful dismissal rules
- critical aspects
  - documented performance indicators and a critical description and analysis of performance management system from the workplace
  - techniques in providing feedback and coaching for improvement in performance
  - knowledge of relevant awards and certified agreements.

In some cases the responses do not elicit the information required by the unit of competency.

### BSBMGT515A Manage operational plan

The assessment tools do not address the following aspects of the unit:

- required skills
  - technology skills to use software to produce and monitor the plan against performance indicators
  - planning and organisational skills
  - coaching skills to work with people with poor performance
- required knowledge
  - models and methods for operational plans
  - budgeting processes
- critical aspects
  - development of an operational plan with details on how it will be implemented and monitored
  - knowledge of models and methods for operational plans.

In some cases the responses do not elicit the information required by the unit of competency.

### CHCAC319A Provide support to people living with dementia

The assessment tools do not address the following aspects of the unit:

- required skills
  - communicate effectively with clients with dementia
  - utilise creative, least restrictive approaches to behaviours of clients with dementia.

### CHCICS301A Provide support to meet personal care needs

### HLTIN403B Implement and monitor infection control policy and procedures

The assessment portfolios include a number of observation checklists. The checklists do not provide sufficient benchmark criteria such as expected responses and observable behaviours.



CHCGROUP403D Plan and conduct group activities

The assessment tools do not address the following aspects of the unit:

- essential skills
  - support group activities for formal and informal groups
  - participate in a variety of the group activity types identified in the range statement
  - provide support for an appropriate target group, defined by factors as listed in the range statement.

**Implications for training/assessment quality:**

Significant non-compliance was determined due to insufficient assessment tools which could have a significant adverse impact on the quality of training outcomes.

**Rectification required:**

The organisation is required to provide:

- supervisor/third party reports for each of the eight units of competency reviewed which are interpreted into workplace tasks and provide supervisors with clear benchmarks on performance

BSBMGT502B Manage people performance

BSBMGT515A Manage operational plan

CHCAC319A Provide support to people living with dementia

CHCGROUP403D Plan and conduct group activities

- assessment tools which collect sufficient evidence to address all requirements of the unit competency (see non-compliances for specific details)
- benchmark criteria for the amended assessment tools

CHCICS301A Provide support to meet personal care needs

HLTIN403B Implement and monitor infection control policy and procedures

- sufficient benchmark criteria for the observation checklists, e.g. expected responses and observable behaviours.

**Rectification evidence received 09/03/2010:**

The organisation provided:

- supervisor/third party reports for each of the eight units of competency which interpret the units into workplace tasks and provide supervisors with clear benchmarks on performance

BSBMGT502B Manage people performance

BSBMGT515A Manage operational plan

CHCAC319A Provide support to people living with dementia

CHCGROUP403D Plan and conduct group activities

- assessment tools which collect sufficient evidence to address all requirements of the unit competency
- benchmark criteria for the amended assessment tools

CHCICS301A Provide support to meet personal care needs

HLTIN403B Implement and monitor infection control policy and procedures

- sufficient benchmark criteria for the observation checklists, e.g. expected responses and observable behaviours.

**Strengths**

- Trainer and assessor's industry experience.
- Stakeholder engagement.

**Opportunities for Improvement**

- Nil identified.





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

Elements	Examined at audit
2.1 The RTO continuously improves client services by collecting, analysing and acting on relevant data.	<input checked="" type="checkbox"/>
2.2 Before clients enrol or enter into a contract, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.	<input checked="" type="checkbox"/>
2.3 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 checked="" type="checkbox"/>
2.4 Learners receive training, assessment and support services that meet their individual needs.	<input checked="" type="checkbox"/>
2.5 Learners have timely access to current and accurate records of their participation and progress.	<input checked="" type="checkbox"/>
2.6 Complaints and appeals are addressed efficiently and effectively.	<input checked="" type="checkbox"/>

**Audit findings**

At time of audit:  
 Compliant  
 Not compliant

**Findings:**

The organisation intends on collecting student feedback via a number of mechanisms. The data will be reviewed and analysed to ensure the continuous improvement of client services.

Course information booklets for each industry area, a generic student handbook and a fees and charges schedule will be provided prior to enrolment allowing students to make an informed choice about their enrolment.

Training and assessment will be supplemented by vocational placement during which evidence will be gathered contributing to a competency judgement. A policy has been established to negotiate on the job training and training plans will be established for individuals.

The organisation intends to deliver to small groups to ensure learners receive training and assessment that meets their individual needs. A process has been developed to support distance students with the learning process. Client enrolment processes allow the organisation to systematically assess the needs of individual learners.

Students will have access to their records and are informed of the process for gaining access via the student handbook. The collection of personal information policy informs staff of their responsibilities for record-keeping and records management.

An assessment appeals and complaints policy has been developed to ensure such matters are addressed efficiently and effectively. The policy includes a flow chart which will provide students and staff with clear guidance on the process.

**Strengths**

- Nil identified.

**Opportunities for Improvement**

- Nil identified.

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

Elements	Examined at audit
3.1 The RTO uses a systematic and continuous improvement approach to the management of operations.	<input checked="" type="checkbox"/>
3.2 The RTO monitors training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the <i>AQTF 2007 Essential Standards for Registration</i> .	<input checked="" type="checkbox"/>
3.3 The RTO manages records to ensure their accuracy and integrity.	<input checked="" type="checkbox"/>

**Audit findings**

**At time of audit:**

- Compliant  
 Not Compliant

**Findings:**

The organisation has developed a comprehensive policies and procedures manual to support the anticipated scope of delivery. Risk management and version control policies and procedures strengthen the management system. Initial auditing and monitoring activities have been identified and planned for. Continuous improvement activities will follow the plan, do, check, act principle. Items identified during this process will be noted in a continuous improvement log.

The organisation has developed a Strategic Directions Plan 2008-2010.

There are no partnership arrangements in place for training and assessment services.

A review of the administrative and records management policy and procedure indicates that the organisation will manage records ensuring accuracy and integrity whilst complying with the Department's records policy. The organisation has developed a qualification and statement of attainment template for each qualification which address all requirements as noted in the AQF Implementation Handbook.

**Strengths**

- Nil identified.

**Opportunities for improvement**

- Nil identified.

