



VET Quality Framework audit report

Continuing registration as a national VET regulator (NVR) registered training organisation (RTO)

Legal name of organisation	Coal Train Pty Ltd
Date of audit	23 November 2012

ORGANISATION DETAILS			
RTO legal name	Coal Train Pty Ltd		RTO ID number 32507
Registered business trading name	Coal Train Pty Ltd		ABN 12150943767
Address	61 Queen Street YEPPOON QLD		Postcode 4703
Phone	07 4939 1445	Fax	07 4938 3177
E-mail	karla.mcphail@coaltrain.com.au		Website http://www.coaltrain.com.au
Registration contact	Name Mrs Karla Elizabeth Way-McPhail	Position	CEO

AUDIT TEAM			
Lead auditor	Jane Connellan	Technical adviser/s	N/A
Audit team members	Daniel Taylor		

ASQA CONTACT DETAILS			
Phone	1300 701801 (ASQA Info line)	E-mail	Jane.connellan@asqa.gov.au

AUDIT DETAILS	
Audit type	<input type="checkbox"/> Renewal of registration <input checked="" type="checkbox"/> Extension to scope of registration <input checked="" type="checkbox"/> Compliance monitoring (incl. post-initial registration) <input type="checkbox"/> Other:
Scope of audit	<input checked="" type="checkbox"/> Standards for NVR Registered Training Organisations <input type="checkbox"/> Australian Qualifications Framework (AQF) <input type="checkbox"/> Data Provision Requirements <input type="checkbox"/> Fit and Proper Person Requirements <input type="checkbox"/> Financial Viability Risk Assessment Requirements
Date/s of site visit/s	23 November 2012
Site/s visited	61 Queen Street YEPPOON QLD 47013
Standards audited	Essential Standards for Continuing Registration 15, 16, 17, 18, 19, 20, 21, 22, 23, 24 and 25

ORGANISATION
<ul style="list-style-type: none"> • Since initial registration the organisation has had changes to course development and significant increases in the number of staff. • Individuals and corporate industry clients. • Also develops and offers non-accredited training. • Does not collect fees in advance. • Does not deliver shotfiring as a licence – shotfiring will not be delivered by Coal Train it will be delivered by another RTO. • Advertising Standard 11 Surface/ Surface and Underground/upgrade, Supervisor Training/refresher, Risk Management training, TAE full and partial. • The organisation has had the below completions in the past 12 months/ has the below current enrolments: <ul style="list-style-type: none"> • RIICOM201A Communicate in the workplace 346/19 • RIICOM301B Communicate information 167/4 • RIERR203A Escape from hazardous situations unaided 91/10 • RIERR205A Apply initial response first aid; RIERR302A Respond to local emergencies and incidents; RIIGOV201A Comply with site work processes/procedures; RIIOHS201A Work safely and follow OHS policies

- and procedures; RIIRIS201B Conduct local risk control 346/19
- RIIOHS301A Conduct safety and health investigation; RIIRIS301A Apply risk management processes 167/4
- RIIRIS402A Carry out the risk management process 26/1
- TAEASS301B Contribute to assessment; TAEDES401A Design and develop learning programs; TAEDES402A Use training packages and accredited courses to meet client needs 31/4
- TAEASS401B Plan assessment activities and processes; TAEASS402B Assess competence; TAEASS403B Participate in assessment validation; TAEDEL301A Provide work skill instruction 65/6
- TAEDEL401A Plan, organise and deliver group-based learning; TAEDEL404A Mentor in the workplace 37/4
- TAEDEL402A Plan, organise and facilitate learning in the workplace 29/4
- On 21/11/2012 the organisation provided an email requesting the removal of *RIIHAN208A Perform dogging* from its change to scope application.

FOCUS OF AUDIT

Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment
Post-initial		
TAE40110	Certificate IV in Training and Assessment	Face to face
RIIERR203A	Escape from hazardous situation unaided	
RIIOHS301A	Conduct safety and health investigations	
RIIRIS301A	Apply risk management processes	
Extension to Scope		
RII40212	Certificate IV in Certificate IV in Surface Coal Mining (Open Cut Examiner)	Self-paced with scheduled workshops
RII40412	Certificate IV in Underground Coal Operations	
39253QLD	Course in Low Voltage Electrical Work Rescue	Face to face
RIIOHS202A	Enter and work in confined spaces	
RIIOHS204A	Work safely at heights	
RIIERR203B	Escape from hazardous situation unaided	
RIIRIS301B	Apply risk management processes	
RIIHAN203A	Conduct lifting operations	
HLTCPR211A	Perform CPR	

INTERVIEWEES

Staff (name and position)

Name	Position	Program (qualification, course, etc)
Karla WayMcPhail	CEO	TAE
Roberta Kyle	Corporate Manager	N/A
Tairum Forrest	Office Manager	N/A
Peter Tan	Principal Trainer	A selection of RII units
Chris Burke	Trainer	A selection of RII units

SUMMARY OF AUDIT OUTCOME

This audit was conducted under the *National Vocational Education and Training Regulator Act 2011* (the Act) to assess compliance with requirements of the VET Quality Framework as identified under the Scope

of Audit section above.

AUDIT OUTCOME

Audit status as at 23 November 2012

- The organisation **has not demonstrated compliance** with all compliance requirements reviewed for the audit.

The level of non-compliance is considered to be **minor** when considering the potential for adverse impact on the quality of training and assessment outcomes for students.

The audit report describes evidence of non-compliance identified. Each issue referenced must be rectified by the organisation with evidence provided to ASQA within **20 working days** of the date of the letter accompanying this audit report to demonstrate corrective actions implemented.

Auditor's Name	Jane Connellan	Date of Report	13/12/2012
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AUDIT SUMMARY OF VET QUALITY FRAMEWORK REQUIREMENTS

VET QUALITY FRAMEWORK COMPONENT		STATUS*
Financial Viability Risk Assessment Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Fit and Proper Person Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Data Provision Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Australian Qualifications Framework (AQF) Requirements		<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
Standards for NVR Registered Training Organisations 2011 - Essential Standards for Continuing Registration		
15	The NVR registered training organisation provides quality training and assessment across all of its operations	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
17	Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
18	The NVR registered training organisation has governance arrangements in place	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
19	Interactions with the National VET Regulator	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
20	Compliance with legislation	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
21	Insurance	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
22	Financial management	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
23	Certification, issuing and recognition of qualifications and statements of attainment	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
24	Accuracy and integrity of marketing	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
25	Transition to training packages/expiry of VET accredited courses	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
*STATUS: Status of audit findings when audit was conducted C = Compliant NC = Not Compliant NA = Not audited		

Audit Findings

The organisation demonstrated compliance with the **Standards for NVR Registered Training Organisations 2011 (SNR) – Essential Standards for Continuing Registration 16, 17, 18, 19, 21, 22, 24 and 25.**

The organisation was identified as non-compliant with SNR 15, 20 and 23. The level of non-compliance was considered minor as there would be little or no impact on training and assessment outcomes for students.

Non-compliances:

SNR 15

The training and assessment strategies for RII40212 Certificate IV in Surface Coal Mining (Open Cut Examiner) and RII40412 Certificate IV in Underground Operations included elective units of competency that did not meet the qualification packaging rules as identified in the training package. These qualifications were part of the change to scope application and had not as yet been delivered. *The organisation provided amended training and assessment strategies that addressed these issues prior to*

the audit report being provided to the RTO.

The assessment tools for HLTCPR211A Perform CPR and RIIOHS202A Enter and work in confined spaces contained minor gaps in addressing the units of competency requirements. *The organisation enhanced its assessment tools at the audit to address these gaps.*

SNR 20

The policy and procedures for staff and the student handbook reference the Vocational Education, Training and Employment Act 2000 and the Workplace, Health and Safety Act and Regulation 1995 instead of the current legislation. *The organisation updated the references to the legislation at the audit.*

SNR 23

The statements of attainment did not include the statement: *“A statement of attainment is issued when an individual has completed one or more accredited units”*. Additionally, the statement of results contained the NRT Logo. *The organisation provided amended statements of attainment and a statement of results that addressed these issues prior to the report being provided to the RTO.*