HealthStar Training Network

FORM 5.4   AQTF INTERNAL AUDIT REPORT TEMPLATE

Date: 08 December 2008
Scope:
FDF30203 Certificate III in Pharmaceutical Manufacturing
HLT32607 Certificate III in Pathology

External/Industry panel members:
Internal panel members: M B Kimber, CA Kimber

Suggested Process:
1.   Refer to current version of Policies and Procedures Manual and supporting documentation. Enter the details in the Evidence Sighted columns for each Standard. Include where applicable updates or revisions made in the last twelve months.
2.   Review the Standards which have no evidence sighted listed from above steps.
3.   Copy the rows where non-compliances are noted and paste into the following Summary.
4.   Complete the Rectifications Recommended/Planned if not already completed, and identify who will be responsible for the rectification.
5.   Analyse the risk associated with the no-compliance
6.   Document the Completed Rectifications in the column below.

SUMMARY OF NON-CONFORMANCES AND PLANNED RECITIFICATION (copy details from completed Internal Audit)

AQTF STANDARD (NUMBER)	COMPLIANCE RECTIFICATIONS RECOMMENDED/PLANNED	IMPROVEMENTS RECOMMENDED/PLANNED	WHO RESPONSIBLE	RISK (HIGH, MED, LOW)	RECTIFICATIONS COMPLETED (DESCRIPTION AND DATE)

Panel Members' Signatures:

_____   _____   _____

STANDARD 1   *SYSTEMS FOR QUALITY TRAINING AND ASSESSMENT*

AQTF REQUIREMENTS	EVIDENCE SIGHTED	NON-COMPLIANCES	RECTIFICATIONS RECOMMENDED/PLANNED
Standard 1 The Registered Training Organisation 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.	Policy 3.0 Participant Feedback and Grievances Procedure 3.1 Student Feedback Completed student feedback sheets FORM 4.6 – Course Moderation Checklist Form 4.11 Internal Course Reviews 4.12Assessment Doc Approval Minutes Of Meetings Form 4.8 Spot Checks For Co-Providers Form 5.5 : Policy 4 spot checks 5.1 Continuous Improvement Schedule Employer Validations	C	
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.	Learning and assessment strategies. FORM 4.6 – Course Moderation Checklist		Suggest revising L & A Strategies.
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.	Training and assessment strategies. Co-provider agreement obligations 16 &17 Form 3.3a Unit Evaluation Survey (Q23&24) Form 4.11 Internal Course Reviews Co-provider records (qualifications) Form 5.5 Pol 4 Spot Check Contracts for services		
1.4 Training and assessment are conducted by trainers and assessors who: (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	Co-provider HR files, view certified quals		Suggest updating Delivery Matrix
(c) continue developing their vocational and training and assessment competencies to support continuous improvements in delivery of the RTO's services.	Delivery Matrix (Pol 7) Form 4.11 Internal Course Reviews Co-provider HR files – view annual updates Co-provider Compliance Matrix – Pol. 7 Clause 23 Co-provider agreements from May08 Emails to trainers outlining responsibilities		
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	Form 4.11 Internal Course Reviews Form 4.8 Spot Check For Co-Providers Form 5.5 : Policy 4 spot check FORM 4.6 – Course Moderation Checklist		
(c) meets workplace and, where relevant, regulatory requirements.	Assessment Instruments 4.3 Completed Course checklists 30496QLD – None rejected by WH&S		

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STANDARD 2   *ACCESS AND EQUITY*

AQTF REQUIREMENTS	EVIDENCE SIGHTED	NON-COMPLIANCES	RECTIFICATIONS RECOMMENDED/PLANNED
Standard 2 The Registered Training Organisation adheres to principles of access and equity and maximises outcomes for its clients. 2.1 The RTO continuously improves client services by collecting, analysing and acting on relevant data.	Policy 3.0 Participant Feedback and Grievances Proc 3.2 Student Grievance and Appeals Participant Handbooks Participant Course Packs HSTN Website Procedure 3.1 Student Feedback Completed student feedback Minutes Of Meetings 3.5 Employer Validation Surveys Continuous improvement Sched.	C	
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.	Learning & Assessment Strategies – Pol. 4 Training Plans 4.4 Participant Handbooks		
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.	3.5 Employer Validation Surveys Training Plans 4.4 Learning & Assessment Strategies – Pol. 4 Loadshifting Logbooks		
2.4 Learners receive training, assessment and support services that meet their individual needs. 2.5 Learners have timely access to current and accurate records of their participation and progress.	Training Plans 4.4 Enrol forms indicate special needs 4.2LLN questionaires L& A Strategies – Pol. 4 FORM 4.6 – Course Moderation Checklist Participant Handbook Comments Sheets, Results & Assessment Sheets. Q22,4,11 Form 3.3		Suggest developing needs analysis recording tool.

	Participant Handbook		
2.6 Complaints and appeals are addressed efficiently and effectively.	Policy 3.0 Participant Feedback and Grievances Proc 3.2 Student Grievance and Appeals Participant Handbooks Pol 3 Supporting Docs – One complaint – responded to according to policy.		

STANDARD 3   *MANAGEMENT SYSTEMS*

AQTF REQUIREMENTS	EVIDENCE SIGHTED	NON-COMPLIANCES	RECTIFICATIONS RECOMMENDED/PLANNED
Standard 3 Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the Registered Training Organisation operates. 3.1 The RTO uses a systematic and continuous improvement approach to the management of operations. 3.2 The RTO monitors training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the AQTF 2007 *Essential Standards for Registration*. 3.3 The RTO manages records to ensure their accuracy and integrity.	**Training & Assess** : Form 5.1 Continuous improvement schedule, Completed : spot checks, course reviews, co-prov spot checks, meeting minutes, moderations, completed course checklists, student & employer feedback, Internal audits, Course Doc Register . **HR** : POL 7, Form 7.2 Inductions, Form 7.6 Co-providers compl. matrix. Form 7.3 HR performance appraisals. Organisation Structure Pol & Proc outline responsibilities. Internal Audits **Records** : POL 5 Archiving, Course files, Data entry base – Enquiry mate. Secure storage of paper records Daily electronic backup kept off site. Form 5.3 Pol & Proc request amendment. Completed Policy spot checks. **Financial** : 3 mthly financial audits	C	Suggest update of Course Doc Register Form 4.10

CONDITIONS OF REGISTRATION

HealthStar Training Network

AQTF REQUIREMENTS	EVIDENCE SIGHTED	NON-COMPLIANCES	RECTIFICATIONS RECOMMENDED/PLANNED
1. GOVERNANCE The RTO's chief executive must ensure that the RTO complies with the AQTF 2007 *Essential Standards for Registration* and any national guidelines approved by the National Quality Council. This applies to all of the operations within the RTO's scope of registration, as listed on the National Training Information Service.	AQTF Internal Audit.		
2. Interactions with the registering body The RTO's chief executive must ensure that the RTO cooperates with its registering body: • in the conduct of audits and monitoring of its operations • by providing accurate and timely data relevant to measures of its performance • by providing information about significant changes to its operations • in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements.			
3 Compliance with legislation The RTO must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements that are relevant to its operations and its scope of registration. It must ensure that its staff and clients are fully informed of requirements that affect their duties or participation in vocational education and training.			
4 Insurance The RTO must hold insurance for public liability throughout its registration period.			
5 Financial management The RTO must protect fees paid in advance and have a fair and reasonable refund policy. The RTO must have its accounts certified by a qualified accountant to Australian Accounting Standards at least annually, and must provide the certificate of accounts to its registering body on request. If the registering body reasonably deems it necessary, the chief executive must provide a full audit report on the RTO's financial accounts from a qualified and independent accountant.			
6 Certification and issuing of qualifications and statements of attainment The RTO must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or accredited course, a qualification or statement of attainment (as appropriate) that: • meets the Australian Qualifications Framework (AQF) requirements			

• identifies the RTO by its national provider number from the National Training Information Service • includes the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use. The RTO must retain learners' records of attainment of units of competence and qualifications for a period of 30 years.			
7 Recognition of qualifications issued by other RTOs The RTO must recognise the AQF qualifications and statements of attainment issued by any other RTO.			
8 Accuracy and integrity of marketing The RTO must ensure that its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. The NRT logo must be employed only in accordance with its conditions of use.			
9 Transition to Training Packages/expiry of accredited courses The RTO must manage the transition from superseded Training Packages within 12 months of their publication on the National Training Information Service. The RTO must also manage the transition from superseded accredited courses so that it delivers only currently endorsed Training Packages or currently accredited courses.			

Quality Indicators

AQTF REQUIREMENTS	EVIDENCE SIGHTED	NON-COMPLIANCES	RECTIFICATIONS RECOMMENDED/PLANNED

Employer satisfaction (competency development, and training and assessment quality). This indicator focuses on employers' evaluations of learners' competency development, its relevance to work and further training, and the overall quality of the training and assessment.			
Learner satisfaction (learner engagement and competency development). This indicator focuses on the extent to which learners are engaging in activities likely to promote high-quality skill outcomes, as well as learners' perceptions of the quality of their competency development and the support they receive from RTOs.			
Competency completion rate. This is calculated for qualifications and units of competency/modules delivered, based on data provided by RTOs on the previous calendar year's number of enrolments and qualifications completed and/or units of competency/modules awarded.			