



VET Quality Framework audit report

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

Legal name of organisation	Civil Contractors Federation
Date/s of audit	7 February 2013

ORGANISATION DETAILS			
RTO legal name	Civil Contractors Federation	RTO ID number	5708
Registered business trading name	Civil Train	ABN	24 778482952
Address	11 Hi-Tech Court, Eight Mile Plains Q		Postcode 4113
Phone	07 3360 7955	Fax	3360 7966
E-mail	rrow@civilcontrators.com	Website	www.civilcontractors.com
Registration contact	Name Mr Robert Row	Position	Chief Executive Officer

AUDIT TEAM			
Lead auditor	Denise Middleton	Technical adviser/s	N/A
Audit team members	Anthony Sheppard		N/A

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

AUDIT DETAILS	
Audit type	<input type="checkbox"/> Renewal of registration <input 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	7 February 2013
Site/s visited	11 Hi-Tech Court, Eight Mile Plains, 4113
Standards audited	Essential Standards for Continuing Registration 15, 16, 17, 18, 19, 20, 22

ORGANISATION

- The organisation has a five year business plan in place and this is updated regularly
- The organisational structure of the organisation consists of a chief executive officer, general manager, trainers/assessors and administration support.
- Non accredited training is conducted by the federation in an effort to attract potential workers to the civil construction industry. The organisation also plans to work with schools in an endeavour to attract young people to the industry.
- The organisation does not partner with any other organisation
- Core clients are new entrants to the civil construction industry and older workers who do not hold formal qualifications in civil construction
- The primary delivery site is 11 High-tech Court, Eight Mile Plains; however, the organisation does have an office in Cairns. All documentation is stored on site at 11 High-tech Court, Eight Mile Plains. The organisation also undertakes workplace delivery for trainees.
- Current student numbers are as follows:
 - RII20109 Certificate II in Resources and Infrastructure Work Preparation: 174
 - RII30809 Certificate III in Civil Construction Plant Operations : 432
 - RII40709 Certificate IV in Civil Construction Supervision: 238
 - *CPCCOHS1001A Work safely in the construction industry*: 141
 - *QLD330TGS01A Implement Traffic Guidance Schemes*: 291
 - *TLILIC2001A Licence to operate a forklift truck*: 3
- Primary source of funding is public funding dollars generated from the traineeship system.

FOCUS OF AUDIT			
Code	Qualification / Accredited course name	Mode(s) of delivery &/or assessment	Current enrolments (if not yet on scope record N/A)
RII20109	Certificate II in Resources and Infrastructure Work Preparation	Face to face	174
RII30809	Certificate III in Civil Construction Plant Operations	Face to face	432
RII40709	Certificate IV in Civil Construction Supervision	Face to face	238
30864QLD (QLD330TGS01A)	Course in Implement Traffic Guidance Schemes	Face to face	291
<i>TLILIC2001A</i>	<i>Licence to operate a forklift truck</i>	Face to face	3
<i>CPCCOHS1001A</i>	<i>Work safely in the construction industry</i>	Face to face	141

INTERVIEWEES		
Staff (name and position)		
Name	Position	Program (qualification, course, etc)
Robert Row	Chief Executive Officer	Nil
Stephen Perkins	General Manager	Nil
Geoff Scott	Operations Manager	RII20109, RII30809, RII40709

Tricia Scott (Cairns office)	Snr Admin Officer	Nil
Tracey Campbell	Snr Admin Officer	Nil
Richard Turner	TBS Consulting	Nil

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 25 February 2013

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

The level of non-compliance is considered to be significant 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	Denise Middleton	Signature		Date of Report	25/02/2013
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AUDIT RECTIFICATION

Audit status following additional evidence received 2 April 2013

- The organisation **has demonstrated compliance** with all compliance requirements reviewed for the audit.

Auditor's Name	Denise Middleton	Signature		Date of Report	9 April 2013
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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 type="checkbox"/> C <input checked="" 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 type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
19	Interactions with the National VET Regulator	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
20	Compliance with legislation	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> NA
21	Insurance	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" 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 type="checkbox"/> NC <input checked="" type="checkbox"/> NA
24	Accuracy and integrity of marketing	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
25	Transition to training packages/expiry of VET accredited courses	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA
<p>*STATUS: Status of audit findings when audit was conducted C = Compliant NC = Not Compliant NA = Not audited</p>		

Audit Findings

The organisation provided evidence to demonstrate its compliance with the following Standards for NVR Registered Training Organisations 2011 – Essential Standards for Continuing Registration (SNR 17 & 22)

The organisation was found non-compliant with the following Essential Standards for Continuing Registration:

15.2 Training and assessment strategies

- The training and assessment strategy provided for the accredited course 30864QLD Implement Traffic Guidance Schemes did not reference the unit QLD330TGS01A anywhere within the strategy.

Note: This training and assessment strategy was amended during the audit; therefore further rectification is not required.

15.5 Assessment

The assessment materials provided for the following units of competency did not fully address the requirements of the unit:

- **RII40709 Certificate IV in Civil Construction Supervision**
 - *RIICWM401A Supervise civil works*
 - *RIICSG401A Apply the principles of civil concrete structures construction*
- **RII30809 Certificate III in Civil Construction Plant Operations**
 - *RIIMPO320A Conduct civil construction excavator operations*
 - *RIISAM204B Operate small plant and equipment*
- **RII20109 Certificate II in Resources and Infrastructure Work Preparation**
 - *RIISAM201A Handle resources and infrastructure materials and safely dispose of non-toxic materials*

The RPL assessment evidence in student files for the following competencies did not fully demonstrate how the assessor deemed the students competent:

- **RII40709 Certificate IV in Civil Construction Supervision**
 - *RIICWM401A Supervise civil works*
 - *RIICSG401A Apply the principles of civil concrete structures construction*
- **RII30809 Certificate III in Civil Construction Plant Operations**
 - *RIISAM204B Operate small plant and equipment*

SNR 16 The NVR registered training organisation established the needs of clients, and delivers services to meet those needs:

16.3 Training assessment and support services

- The student handbook provided contained inaccurate references to the AQTF instead of the NVR and incorrect references to legislation such as VET Act 2005 instead of the Vocational Education, Training and Employment Act of 2000 and Workplace Health and Safety Act 1995 instead of Work Health and Safety Act 2011.
- The handbook also contained reference to PPP funding which no longer exists.

Note: The student handbook was updated during the audit to rectify all inaccurate information, no further rectification is required.

SNR 18 The NVR registered training organisation has governance arrangements in place:

This standard is deemed non-compliant by default as non-compliances were found against other standards. No rectification evidence is required to address this non-compliance.

Rectification requirements – evidence of rectification to be submitted within 20 working days

SNR 15 The NVR registered training organisation provides quality training and assessment across all of its operations.

SNR 15.5 Assessment

The organisation is required to provide evidence to demonstrate it has access to or has developed assessment material for the following units of competency:

- **RII40709 Certificate IV in Civil Construction Supervision**
 - *RIICWM401A Supervise civil works*
 - *RIICSG401A Apply the principles of civil concrete structures construction*
- **RII30809 Certificate III in Civil Construction Plant Operations**
 - *RIIMPO320A Conduct civil construction excavator operations*
 - *RIISAM204B Operate small plant and equipment*
- **RII20109 Certificate II in Resources and Infrastructure Work Preparation**
 - *RIISAM201A Handle resources and infrastructure materials and safely dispose of non-toxic materials*

The organisation is required to demonstrate how its assessment including Recognition of Prior Learning:

- address all of the units' performance criteria, elements, required skills and knowledge, critical aspects of evidence, required range statement and context and consistency of assessment.
- include clear information to assessors and students about assessment requirements, including the context and purpose of assessment, how assessment will be conducted and recorded.
- include criteria defining acceptable performance for all assessment tools/tasks to ensure consistency in the judgements made by assessor/s.
- meet the principles of assessment and rules of evidence
- meets workplace and, where relevant, regulatory requirements.

The organisation is required to demonstrate that it has a robust RPL assessment process in place for the following units of competency:

- **RII40709 Certificate IV in Civil Construction Supervision**
 - *RIICWM401A Supervise civil works*
 - *RIICSG401A Apply the principles of civil concrete structures construction*
- **RII30809 Certificate III in Civil Construction Plant Operations**
 - *RIISAM204B Operate small plant and equipment*

Rectification evidence received 2 April 2013

The organisation provided the following evidence to address the outstanding assessment issues:

- **RII40709 Certificate IV in Civil Construction Supervision**
 - *RIICWM401A Supervise civil works*
Written short answer questions (16)
Marking guide with comments box
Weekly site inspection form
Practical assessment
Marking guide for practical assessment
Workplace observation /portfolio assessment with provisions for comments
Mapping guide
Sign off by assessor/student
Instructions to assessor and student
 - *RIICSG401A Apply the principles of civil concrete structures construction*
Written short answer questions (11)
Marking guide for short answer questions with comments box
Practical assessment (8 tasks)
Marking guide for practical assessment
Weekly site inspection form
Workplace observation/portfolio with provisions for comments
Mapping guide
Sign off by assessor/student
Instructions to assessor and student
- **RII30809 Certificate III in Civil Construction Plant Operations**
 - *RIIMPO320A Conduct civil construction excavator operations*
Written short answer questions (82)
Marking guide for short answer questions with comments box
Practical assessment
Marking guide for practical assessment
Mapping guide
Sign off by assessor/student
Instructions to assessor and student
 - *RIISAM204B Operate small plant and equipment*
Written questions (30)
Marking guide for short answer questions with comments box
Practical assessment
Marking guide for practical assessment
Mapping guide
Sign off by assessor/student
Instructions to assessor and student
- **RII20109 Certificate II in Resources and Infrastructure Work Preparation**
 - *RIISAM201A Handle resources and infrastructure materials and safely dispose of non-toxic materials*
Written question (45)
Marking guide with comments box
Practical assessment
Marking guide for practical assessment
Mapping guide
Sign off by assessor and student
Instruction to assessor and student

RPL assessment kits

- **RII40709 Certificate IV in Civil Construction Supervision**

- *RIICWM401A Supervise civil works*
- *RIICSG401A Apply the principles of civil concrete structures construction*
Candidate's information including:
Documentary evidence explanation
Third party verification
Competency conversation
Workplace observation
Gap training
Packaging rules
Trainee RPL assessment evidence guide
How to use RPL assessor information
Third party evidence request information
Evidence matrix
Evidence review

Note: This RPL Kit has been upgraded to RII40712 Certificate IV in Civil Construction Supervision

- ***RII30809 Certificate III in Civil Construction Plant Operations***
- *RIISAM204B Operate small plant and equipment*
Candidate's information including:
Documentary evidence explanation
Third party verification
Competency conversation
Workplace observation
Gap training
Packaging rules
Trainee RPL assessment evidence guide
Evidence matrix
Third party evidence request information
Evidence review