



# REPORT

## Audit report: ACTA GROUP PTY LTD

RTO number:	45370
CRICOS number:	N/A
Date/s of audit:	14 Oct 2019 - 14 Oct 2019
Date report created:	15 October 2019
Date report updated:	9/12/2019

## Organisation details

Organisation's legal name:	ACTA GROUP PTY LTD
Trading name/s:	N/A
RTO number:	45370
CRICOS number:	N/A

## Audit team

Lead auditor:	Mark Shrubshall
Assistant/s:	N/A

## Audit details

Application number/s:	N/A
Audit number/s:	AUDREC0009784
Audit reason/s:	Post Initial
Address of site/s visited:	SHED 4 19 Central Dr BURLEIGH HEADS QLD 4220 Australia
Date/s of audit:	14 Oct 2019 - 14 Oct 2019
Organisation's contact for audit:	Ash Humphries CEO info@actagroup.com.au 1300 011 144

## Original finding at time of audit

### Audit finding: Serious non-compliance

Report completed by: Mark Shrubshall

Practice	Standards for RTOs	Finding
Marketing/Recruitment Practices	4.1	Compliant
Enrolment	5.1, 5.2, 5.3, 7.3	Compliant
Support and Progression	1.7	Compliant
Training and Assessment	1.1*, 1.2*, 1.3, 1.8*, 1.13, 1.14, 1.15, 1.16	Not compliant
Completion	3.1*	Not compliant

\*Indicates a non-compliant clause

## Audit finding following analysis of additional evidence

Audit finding following analysis of additional evidence provided on 05/12/2019: Compliant

Report completed by: Mark Shrubshall

Practice	Standards for RTOs	Finding
Training and Assessment	1.1, 1.2, 1.8	Compliant
Completion	3.1	Compliant

\*Indicates a non-compliant clause

## Background

Summary of organisation and management structure:

- Director
- Chief Executive Officer
- Trainers Assessor
- Compliance Advisor
- Admin Staff

Scope of organisation's registration:

- RII30815 Certificate III in Civil Construction Plant Operations
- RIIERR302D - Respond to local emergencies and incidents
- RIIERR302E - Respond to local emergencies and incidents
- RIIGOV201D - Comply with site work processes/procedures
- RIIERR205D - Apply initial response First Aid

Suburb and state of all delivery sites:

- Qld – Sunshine Coast to Gold Coast

Third party usage:

- The organisation does not use third parties for the delivery and assessment of its scope of registration
- The organisation does not use third parties for the recruitment of students

Core clients/target groups:

- Existing employees
- Job seekers

Training Revenue (Funded or fee for service):

- Fee for service

Total number of current enrolments in the organisation as at audit date:

- 60

In preparing the audit report, consideration has been given and reference made, where relevant, to:

- Information provided by students as part of a student survey or interview.
- Information provided directly by ACTA GROUP PTY LTD to ASQA.
- Existing information and records held by ASQA concerning ACTA GROUP PTY LTD.
- Information provided to ASQA's auditors and documentation reviewed during the site audit of ACTA GROUP PTY LTD conducted on 14 Oct 2019 - 14 Oct 2019.
- Other publicly available information - including but not limited to, information published on the organisation's and third-party websites.

## Audit Sample

Training Products	Mode/s of delivery/assessment*	Current enrolments
<i>RII30815 Certificate III in Civil Construction Plant Operations</i>	Face to face	0
<i>RIIGOV201D Comply with site work processes/procedures</i>	Face to face	0
<i>RIIERR302E Respond to local emergencies and incidents</i>	Face to face	27

\*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

## Interviewees

Name	Position	Training products
Ash Humphries	Chief Executive Officer	NA
Phill Bevan	Compliance Advisor	NA
David Lauton	Director	NA
Sean Allman	Trainer/Assessor	<i>RII30815 Certificate III in Civil Construction Plant Operations</i> <i>RIIGOV201D Comply with site work processes/procedures</i> <i>RIIERR302E Respond to local emergencies and incidents</i>

## About this Report

This report details findings against the *Standards for Registered Training Organisations (RTOs) 2015* (Standards for RTOs). If non-compliance has been identified, this report describes evidence of the non-compliance.

Where non-compliance has been identified, the Registered Training Organisation is accountable for identifying and correcting non-compliant practices and behaviours, particularly those that have had a negative impact on learners.

Correcting a non-compliance may require:

- correcting a process or system that has led to the non-compliance, and implementing a revised process or system
- identifying the impact on learners and carrying out remedial action for current and past learners

## Original action required by Organisation

ACTA GROUP PTY LTD did not meet all requirements for Standards for RTOs: 1.1, 1.2, 1.8, 3.1

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Remedial action is required for the following training products:

**RII30815 Certificate III in Civil Construction Plant Operations**

*RIIWHS202D Enter and work in confined spaces*

*RIIHAN301E Operate elevated work platform*

Explicit unit

*RIIERR302E Respond to local emergencies and incidents*

*The organisation is required to provide evidence that demonstrates:*

Standards for RTOs:

Clause 1.1 and 1.2

- The organisation has corrected its training and assessment practices for future students to ensure they meet the requirements of the training product, including the amount of training provided.
- The organisation carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were impacted by training and assessment practices that did not meet the requirements of the training product (including amount of training). Remedial action needs to cover current students and students who enrolled or completed with your organisation in the past three months.

Clause 1.8

- The organisation has corrected its assessment system (to comply with Clause 1.8) for future students and has systems in place to ensure it is this system that is applied. The evidence to be provided must:
  - include the full suite of assessment tools for each unit of competency identified as non-compliant
  - demonstrate the organisation will implement an assessment system that ensures assessment:
    - complies with the assessment requirements of the relevant training product(s)
    - will be conducted in accordance with the Principles of Assessment and Rules of evidence.
- The organisation has carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were assessed in a manner that did not meet the requirements of Clause 1.8. Remedial action needs to cover current students and students who were assessed by your organisation in the past three months.

Clause 3.1

- The organisation now has appropriate systems that are followed to ensure AQF certification documentation is only issued to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training or VET accredited course.
- The organisation has carried out remedial action to identify and address the impact the non-compliance may have caused to students in the training product sampled that were issued with AQF certification documentation and were not assessed as meeting the requirements of the training product as specified in the relevant training or VET accredited course. Remedial action needs to cover students issued with AQF certification in the past three months.

## **Audit finding following analysis of additional evidence**

**Following analysis of additional evidence provided by ACTA GROUP PTY LTD on 05/12/2019, the organisation:**

- provided sufficient evidence to demonstrate compliance with:  
Standards for RTOs:  
Clauses 1.1, 1.2, 1.8, 3.1

Refer to analysis of additional evidence detailed under each clause in this report for further information.

## Areas of non-compliance

### Training and Assessment

#### Training Delivery and Assessment

##### Standards for RTOs Clause 1.1

*Original Finding: **Not compliant***

*Finding following additional evidence: **Compliant***

The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.

##### Standards for RTOs Clause 1.2

*Original Finding: **Not compliant***

*Finding following additional evidence: **Compliant***

For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:

- a) the existing skills, knowledge and the experience of the learner;
- b) the mode of delivery; and
- c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

#### RII30815 Certificate III in Civil Construction Plant Operations

*RIIGOV201D Comply with site work processes/procedures*

*RIIERR302E Respond to local emergencies and incidents*

- The following evidence was reviewed:
  - RII30815 Certificate III in Civil Construction Plant Operations training and assessment strategy.
- The organisation's documented training and assessment strategy does not define an amount of training which enables each student to meet the requirements for each unit of competency in which they are enrolled. For example, but not limited to:
  - The training and assessment strategy for the RII30815 Certificate III in Civil Construction Plant Operations identifies nominal hours of 766 which includes all teaching, individual study, research, learning activities in the workplace and assessment activities. As the hours include assessment it cannot be confirmed what the actual amount of training is.
- The organisation did not demonstrate through a separate strategy an amount of training for each explicit unit delivered as a standalone course.

*Analysis of additional evidence*

#### RII30815 Certificate III in Civil Construction Plant Operations

- The following evidence was reviewed

- RII30815 Certificate III in civil Construction Plant Operations training and assessment strategy
  - RIIWHS202D Enter and work in confined spaces training and assessment strategy
  - RIIHAN301D Operate elevated work platform training and assessment strategy
  - RIIHAN301E Operate elevated work platform training and assessment strategy
  - RIIS00034 Surface Coal Mine Safety Skill Set training and assessment strategy
  - RIIS00034 Surface Coal mine Safety Skill Set training and assessment strategy
  - Audit response
  - Student information
- The organisation has addressed the non-compliance for future students.
  - The organisation has reviewed the remedial action to identify and address the impact the non-compliance may have caused students.

### Standards for RTOs Clause 1.8

*Original Finding: Not compliant*

*Finding following additional evidence: Compliant*

**The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):**

- a) complies with the assessment requirements of the relevant training package or VET accredited course; and**
- b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.**

#### Table 1.8.1 Principles of Assessment

Fairness	<p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.</p> <p>The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>
Flexibility	<p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> <li>● reflecting the learner's needs;</li> <li>● assessing competencies held by the learner no matter how or where they have been acquired; and</li> <li>● drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.</li> </ul>
Validity	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> <li>● assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;</li> <li>● assessment of knowledge and skills is integrated with their practical application;</li> <li>● assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and</li> <li>● judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul>
Reliability	<p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.</p>



Table 1.8.2 Rules of Evidence	
Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

### **RII30815 Certificate III in Civil Construction Plant Operations**

*RIIWHS202D Enter and work in confined spaces*

*RIIHAN301E Operate elevated work platform*

Explicit Unit

*RIIERR302E Respond to local emergencies and incidents*

- The following evidence was reviewed:
  - Assessment tools:
    - Learner Guide
    - Theory assessment document
    - Practical assessment record
    - Trainer and assessor guide
    - RPL Kit
    - Completed student assessments
- The following analysis provides guidance on the areas of non-compliance. Examples of non-compliances are provided however, this is not an exhaustive list. It is the organisation's responsibility to review the assessment system and implementation of the assessment system for each unit of competency for all non-compliances identified below and provide evidence:
  - Of a revised assessment system for each unit of competency listed above that addresses all requirements of Clause 1.8.
  - That confirms students were assessed as meeting all the requirements of the training product(s) in which they were enrolled.
- Validity and Sufficiency - the assessment tools do not address all unit of competency requirements. For example, but not limited to:

*RIIWHS202D Enter and work in confined spaces*

- Knowledge Evidence:
  - Identifying equipment types, characteristics, technical capabilities and limitations

*RIIHAN301E Operate elevated work platform*

- Performance Evidence:
  - Use a range of communication techniques and equipment essential to safe completion of work instructions.
- Knowledge Evidence:
  - Types of elevating work platforms, their characteristics capabilities and limitations.

*RIIERR302E Respond to local emergencies and incidents*

- Reliability  
The practical assessment tools do not contain sufficient performance benchmarks for each skill and/or behaviour to be demonstrated; therefore, it cannot be confirmed that all training package requirements will be met and that consistent judgements will be made across a range of students and assessors. For example, but not limited to:
- Practical Assessment 3 D  
Locate, **select and maintain** appropriate emergency equipment including:
  - Personal Protective equipment
  - Communication equipment
  - Firefighting equipment
  - Rescue equipment
  - First aid kit

*Analysis of additional evidence*

**RII30815 Certificate III in Civil Construction Plant Operations**

*RIIWHS202D Enter and work in confined spaces*

*RIIHAN301E Operate elevated work platform*

Explicit Unit

*RIIERR302E Respond to local emergencies and incidents*

The following evidence was reviewed

- *RIIWHS202D Enter and work in confined spaces*
  - *RIIHAN301D Operate elevated work platform*
  - *RIIHAN301E Operate elevated work platform*
  - *RIIERR302E Respond to local emergencies and incidents*
  - *RIIERR302D Respond to local emergencies and incidents*
  - *RIIERR302E Respond to local emergencies and incidents*
    - Assessment tool student
    - Practical assessment record Assessor
    - Trainer and assessor guide
    - Assessment mapping
    - Validation
  - Gap assessment Kits
    - Assessment validation
    - Mapping
    - Practical Trainer Assessor Guide
    - Refresher Practical
    - Refresher Theory
  - Policy Manual
  - Example student notification
- 
- The organisation has addressed the non-compliance for future students.
  - The organisation has reviewed the remedial action to identify and address the impact the non-compliance may have caused students.

## Completion

### Standards for RTOs Clause 3.1

*Original Finding: **Not compliant***

*Finding following additional evidence: **Compliant***

The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.

### RII30815 Certificate III in Civil Construction Plant Operations

*RIIWHS202D Enter and work in confined spaces*

*RIIHAN301E Operate elevated work platform*

### Explicit Unit

*RIIERR302E Respond to local emergencies and incidents*

- The organisation has not demonstrated that its assessment system complies with the Principles of Assessment and Rules of Evidence (refer to non-compliance identified with Clause 1.8) with respect to students who were assessed as meeting the requirements of the training product and were issued with AQF certification documentation.

### *Analysis of additional evidence*

- The following additional evidence was reviewed:
  - Please refer to Clause 1.8
- The organisation has addressed the non-compliance for future students.
- The organisation has planned and implemented sufficient remedial action to identify and address the impact the non-compliance may have caused students.