

WORK HEALTH AND SAFETY— ENTRY PERMIT HOLDERS (WHS-EPH) TRAINING

PROVIDER COMPLIANCE AUDIT WORKBOOK

Monitoring conditions of
approval of WHS-EPH
training providers in the
Commonwealth jurisdiction

Version 1.0
1 January 2015



Australian Government

Comcare

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DEFINITIONS

AOGP	Area of Good Practice—Identified best practice
Attachment 1	The application form in G1
Competent personnel	For the purposes of auditing WHS-EPH Training providers, competent personnel are defined as people with knowledge of the WHS Act and the conditions of approval and relevant experience. Relevant experience in this case would include both audit training and experience in workplace training and assessment
Corporate governance	The process, by which organisations are directed, controlled and held to account. The term encompasses authority, accountability, stewardship, leadership, direction and control exercised in the organisation. It includes the transparency of corporate structures and operations, the implementation of effective risk management and internal control systems and the accountability of management to stakeholders
Due diligence	Reasonable steps taken by a person in order to satisfy a legal requirement
Guidance 1 (G1)	How to become an approved provider of Work Health and Safety Entry Permit Holder (WHS-EPH) training for the Commonwealth jurisdiction—WHS-EPH training course guidance 1, 1 January 2012
Guidance 2 (G2)	WHS-EPH training course requirements—WHS-EPH training course guidance 2, 1 January 2012
Guidance 3 (G3)	WHS-EPH Training Course—Post Approval Monitoring—WHS-EPH training course guidance 3, 12 September 2012
Natural Justice	Natural justice requires that Comcare adhere to fair decision making processes that involve procedural fairness when an administrative decision it makes might adversely affect the rights, interests or legitimate expectations of an individual or organisation
OPI	Opportunity for Improvement—item does not meet conformance however improvement to align to best practice
Period of approval	Approval is granted for a period of up to five years.
TAE40110	Certificate IV in Training and Assessment
Training Provider	A training organisation, company or sole trader
WHS Act	<i>Work Health and Safety Act 2011</i> (Cth.)
WHS-EPH	Work Health and Safety—Entry Permit Holder

INTRODUCTION

This workbook has been produced to support the *WHS-EPH training provider compliance audit tool* (the audit tool) developed by Comcare WHS-EPH training providers. The audit tool provides the means for assessing and reviewing whether a training provider (the provider) is complying with its conditions of approval and providing quality training to WHS-EPHs.

The workbook is intended to assist persons who are either undertaking compliance audits or those who are subject to such audits under *WHS-EPH Training Courses—Post-Approval Monitoring—Guidance 3*. The workbook provides an explanation for each of the audit criteria and examples of evidence that may assist in demonstrating conformance and compliance with the audit criteria.

For further information on the audit process, including auditor qualifications, refer to the audit tool.

RELATED DOCUMENTATION

- > *WHS-EPH training provider compliance audit tool*
- > *How to become an approved provider of Work Health and Safety Entry Permit Holder (WHS-EPH) training for the Commonwealth jurisdiction—WHS-EPH training course guidance 1*, 1 January 2012
- > *WHS-EPH training course requirements—WHS-EPH training course guidance 2*, 1 January 2012
- > *WHS-EPH Training Courses—Post-Approval Monitoring outlines—Guidance 3*

ADVICE AND ASSISTANCE

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WORKBOOK LAYOUT

This workbook contains 23 criteria grouped within seven elements. These elements are:

1. Governance (six criteria)
2. Interaction with the Regulator (five criteria)
3. Record keeping (one criterion)
4. Accuracy and integrity of marketing (two criteria)
5. Strategies to provide quality WHS-EPH training (five criteria)
6. Strategies to adhere to the principles of access and equity and to maximise outcomes for WHS-EPHs (three criteria)
7. Audit and investigation (one criterion)

When conducting an audit, the auditor will be required to make judgements as to whether the criteria have been met. This judgement will be based on natural justice principles and informed by evidence which verifies that compliance has been met. The workbook has been designed to assist auditors to make these judgements.

Each criterion in the workbook is set out as follows:

1. CONDITION OF APPROVAL ELEMENT

Example: *Element 1: Governance.*

2. AUDIT CRITERION

Example: *1.1: The approved training provider ensures that only trainers with the requisite qualifications, skills and knowledge are engaged to deliver the approved course*

Note: The audit criteria are replicated from the *WHS-EPH training provider compliance audit tool* and are the auditable components of the workbook. All other information provided against each criterion assists with understanding the criterion and includes guidance about the evidence that may be assessed to verify performance.

3. RATING

The auditor will provide a rating against each criterion as follows:

CONFORMANCE—meets the criterion statement.

NON-CONFORMANCE—does not meet the criterion statement.

NOT ABLE TO VERIFY—a system is in place but has not been applied. For example, documented procedures are in place, but there have not been any circumstances within the audit period to test that those procedures have been applied.

OFl—Opportunity for Improvement—item does meet conformance however improvement to align to best practice

AOGP—Area of Good Practice.

NOT APPLICABLE/NOT AUDITED—the provisions of a criterion do not apply or were not tested

4. COMMENTARY

Commentary may be included to assist with interpreting the criterion.

Example: A training provider must possess—or have access to—the administrative resources and infrastructure necessary to comply with all general and any specific conditions of approval.

5. EXAMPLES OF EVIDENCE

The provider may demonstrate conformance using evidence it considers appropriate to its operations. However, guidance is provided in this workbook about the types of evidence that may assist the provider in meeting each criterion.

The types of evidence include:

- > systems documentation such as policies, procedures, plans and contracts
- > training records
- > interviews with relevant personnel and/or training course participants
- > workplace observations, for example, observing training room practice/activities.

The examples are not suggested as the only or preferred way of meeting the criteria. A provider may have alternative ways of meeting the requirements and the examples should not detract from this.

6. EVIDENCE SIGHTED

The auditor will document the evidence sighted against each criterion including the title of each document, its version number, the date and the location of the document.

Appendix 1 can be used as stand-alone audit tool when observing training delivery.

7. OPPORTUNITY FOR IMPROVEMENT/NON-CONFORMANCES

An 'opportunity for improvement' may be given to criteria rated as 'conformance' where the auditor has identified that there has been a minor deviation from the reference criteria. These are recognised as being of lower risk to the organisation.

Where the auditor finds that a criterion has not been met, a non-conformance will be issued. The non-conformance must identify the deficiency of the evidence against the requirements of the criterion.

AUDIT DETAILS

Approved training provider	
Contact person	
Provider number	
Approval expiry date	
Site address	
Training venue (if different)	
Trainer(s) observed	
Audit date(s)	
Auditor(s)	

ELEMENT 1: GOVERNANCE

CRITERION 1.1

The approved training provider ensures that only trainers with the requisite qualifications, skills and knowledge are engaged to deliver the approved course.

This is a requirement under clause 4.1 (i) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Part 2 of Guidance 1 states that all trainers of approved WHS-EPH training must have (as a minimum):

- > Certificate IV in Training and Assessment—TAE40110 and
 - (a) a minimum of two years relevant experience in an occupational or work health and safety role; or
 - (b) relevant tertiary or vocational qualifications in a field related to occupational or work health and safety—for example, a Graduate Diploma of Occupational Health and Safety

Once an application is approved, the provider has responsibility for ensuring that trainers employed by them understand the entitlements, functions, powers and protections of a WHS-EPH under the WHS Act. All casual and permanent trainers engaged by a provider following initial approval must have the required qualifications and experience. The provider must seek Comcare approval prior to delivering WHS-EPH training.

EXAMPLES OF EVIDENCE

Evidence may include:

- > current register of all approved trainers that match Comcare's approved providers records
- > copies of trainer qualifications [Certificate IV in training and assessment TAE40110 and TAA40104 (or equivalent)] and relevant tertiary qualifications in a field directly related to occupational or work health and safety
- > current CVs of all trainers indicating minimum of 2 years relevant experience in an occupational or work health and safety role
- > past records confirm only approved trainers delivered training
- > trainer observation.

Criterion 1.1	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 1.2

The approved training provider does not subcontract or on sell their approved provider status to a third party.

This is a requirement under clause 4.1 (ii) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Approved providers must be approved in their own right to deliver approved WHS-EPH training. The Comcare approval cannot be “on-sold” to other providers. The approval to deliver an approved course therefore applies exclusively to that provider who made the course application to Comcare.

If a business relationships exists with an organisation with which the approved provider delivers training on behalf of, all advertising must explicitly identify who the approved provider is and in no way infer the ‘host’ organisation is approved to deliver WHS-EPH training.

EXAMPLES OF EVIDENCE

The course is being delivered by the provider who has been approved by Comcare and advertising explicitly identifies who the approved provider is.

Criterion 1.2	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 1.3

The approved training provider gives a training evaluation form to each participant upon completion of the approved course of training.

This is a requirement under clause 4.1 (iii) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

The approved provider must provide a Comcare approved training evaluation form to each participant upon completion of the approved course of training.

EXAMPLES OF EVIDENCE

Evidence may include:

- > samples of completed evaluation forms (see audit tool for sampling methodology)
- > training observation.

Criterion 1.3	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 1.4

The approved training provider issues a Certificate of Attendance to each participant who completes the approved WHS-EPH training, within 10 working days of completion.

This is a requirement under clause 4.1 (iv) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

The approved provider must issue a Comcare approved certificate of attendance to each participant who completes the approved WHS-EPH training, within 10 working days of completion.

EXAMPLES OF EVIDENCE

Evidence may include:

- > records of certificates issued
- > training observation
- > interview with course participants.

Criterion 1.4	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 1.5

Certificates of Attendance contain the prescribed information.

This is a requirement under clause 4.1 (v) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Certificates of Attendance must contain the following information (as a minimum):

- > the name of the approved WHS-EPH training course
- > the participant's full name, as per the registration details
- > date(s) of attendance at training
- > the name of the trainer
- > the approved provider's name and, if applicable, registered business name, ABN and Comcare approval number
- > a unique identifying number and the signature of an authorised person of the provider (for example, the Chief Executive or Authorised Officer)
- > a statement that the course is approved by Comcare in the Commonwealth jurisdiction
- > the date of issue of the certificate.

EXAMPLES OF EVIDENCE

Evidence may include:

- > Certificates of Attendance contain all the above information.

Criterion 1.5	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 1.6

The approved training provider ensures that those who have completed the training are provided with a replacement Certificate of Attendance, if required, on request.

This is a requirement under clause 4.6(v) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

The provider must keep documentary evidence of the dates that each participant was in attendance at the approved training and records of all certificates of attendance to ensure a replacement certificate can be given to a participant if requested.

EXAMPLES OF EVIDENCE

Evidence may include:

- > policy and procedure for issuing replacement certificates
- > database or log of replacement certificates
- > replacement certificates have a notation that it is a 'replacement' and not the original
- > replacement certificates contain the original 'unique identifier number'.

Criterion 1.6	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

ELEMENT 2: INTERACTION WITH THE REGULATOR

CRITERION 2.1

The approved training provider cooperates with any reasonable requirements of Comcare.

This is a requirement under clause 4.2(i) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Part 4 of Guidance 1 states that an approved training provider must cooperate with any reasonable requirements Comcare has for ongoing monitoring and quality assurance of the approved course and individual trainers—for example, details of future course dates.

Comcare will work closely with providers to ensure consistent quality training for WHS-EPHs. It is expected that the approved provider will cooperate with Regulator.

EXAMPLES OF EVIDENCE

Evidence may include:

- > the provider is open, transparent and cooperative
- > information has been provided to Comcare when requested.

Criterion 2.1	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 2.2

The approved training provider notifies Comcare, in writing, within 14 days of any change in details.

This is a requirement under clause 4.2(ii) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Comcare requires provider details to remain accurate and up-to-date at all times, and providers must notify Comcare in writing within 14 days if any of the following details change:

- > name of provider
- > address of provider
- > significant change(s) in its operations or ownership
- > contact details, for example, phone numbers, fax numbers, email addresses, website addresses
- > contact person(s) for the provider
- > trainer details.

It is also the responsibility of the provider to inform Comcare in writing, of any proposed substantial changes to course content or delivery method before the changes are implemented.

EXAMPLES OF EVIDENCE

Evidence may include:

- > provider details match Comcare records
- > current course materials being used match approved course materials
- > records of notifications made in the past.

Criterion 2.2	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments



CRITERION 2.3

The approved training provider provides Comcare with a written report by 31 July each year detailing prescribed information.

This is a requirement under clause 4.2(iii) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Approved providers must provide Comcare with an accurate written report by 31 July each year detailing:

- > the number and type of courses run per year
- > the number of WHS-EPHs trained and certificates of attendance issued
- > participant details—name and organisation
- > any other matters that may be requested in writing by Comcare.

EXAMPLES OF EVIDENCE

Evidence may include:

- > the mechanisms in place to capture the required information
- > reports provided in previous years
- > observation of the trainer accurately recording attendance information.

Criterion 2.3	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 2.4

The approved training provider provides assistance when Comcare is conducting an investigation into any complaints received.

This is a requirement under clause 4.2(iv) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

If Comcare receives a complaint from a WHS-EPH or person conducting a business or undertaking (PCBU) regarding an approved provider, an investigation to gather evidence to verify the complaint may be undertaken. The scope of this investigation will depend on the nature of the complaint and will be communicated to the provider. The provider will be given an opportunity to respond to the complaint prior to any response being issued—see Part 2 of Guidance 3.

EXAMPLES OF EVIDENCE

Evidence may include:

- > provider ensures that the appropriate staff and records made available to Comcare
- > provider's complaint resolution policy and procedures
- > records of previous complaints/investigations by Comcare.

NOTE: If there has not been a complaint about the provider in the preceding 12 months to the date of the audit, this should be rated as 'not applicable'.

Criterion 2.4	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 2.5

The approved training provider acts with due diligence and in a manner consistent with Comcare's requirements.

This is a requirement under clause 4.2(v) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Course materials and training delivery use appropriate language and messages and do not undermine Comcare's values and reputation.

EXAMPLES OF EVIDENCE

Evidence may include:

- > course materials
- > training room observations
- > feedback from participants.

Criterion 2.5	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

ELEMENT 3: RECORD KEEPING

CRITERION 3.1

The approved training provider maintains prescribed records for seven years.

This is a requirement under clause 4.3(i) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

An approved provider must maintain the following records for seven years:

- > records of all course training dates
- > participant enrolment or registration forms
- > documentary evidence of the dates that each participant was in attendance at approved WHS-EPH training
- > records of all certificates of attendance (with unique identifying numbers)
- > participant evaluation forms
- > any other relevant correspondence between itself and Comcare.

EXAMPLES OF EVIDENCE

Evidence may include:

- > samples of enrolment or registration forms
- > samples of sign-in sheets
- > samples of completed evaluation forms.

See audit tool for sampling methodology.

NOTE: Although the audit scope is generally limited to 12 months prior to the date of the audit, the auditor may request evidence of records going back up to seven years for this criterion.

Criterion 3.1	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments



ELEMENT 4: ACCURACY AND INTEGRITY OF MARKETING

CRITERION 4.1

The approved training provider provides WHS-EPHs with information about their legislative entitlement to select an approved training course.

This is a requirement under clause 4.4(i) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Providers must ensure that all relevant information regarding legislative rights and entitlements to attend the approved course, as per section 131 and 133 of the WHS Act and regulation 25 of the WHS Regulations, is provided to WHS-EPHs.

EXAMPLES OF EVIDENCE

Evidence may include:

- > flyers used to advertise approved WHS-EPH training
- > training proposals
- > webpages
- > training course materials.

NOTE: This criterion applies equally to approved 'in-house' providers.

Criterion 4.1	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 4.2

The approved training provider ensures that its marketing and advertising of approved WHS-EPH courses is accurate and consistent with its approval by Comcare.

This is a requirement under clause 4.4(ii) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Until Comcare has formally issued notification in writing of course approval status and issued a certificate of approval and provider number, organisations must not advertise that they:

- > are a Comcare approved provider of an approved course
- > have been approved by Comcare
- > deliver a course purporting to be Comcare approved
- > deliver a course purporting to be a joint arrangement between Comcare and another Regulator.

EXAMPLES OF EVIDENCE

Evidence may include:

- > advertising material
- > flyers
- > training proposals
- > webpages.

Criterion 4.2	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

ELEMENT 5: STRATEGIES TO PROVIDE QUALITY APPROVED WHS-EPH TRAINING

CRITERION 5.1

The approved training provider ensures that all training is delivered face-to-face covers all learning outcomes and runs for approximately one day.

This is a requirement under clause 4.5(i) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

The objects of the WHS Act discusses encouraging unions and employer organisations to take a constructive role in promoting improvements in work health and safety practices and assisting PCBUs and workers to achieve a healthier and safer working environment. The intent of WHS-EPH training is to develop skills knowledge and understanding of WHS-EPHs to perform their functions and exercise their powers.

Training should be delivered in a way which maximises participation and engagement in the course. To achieve this, training must be delivered in a 'face to face' mode where WHS-EPHs can interact with and learn from other WHS-EPHs. 'Face to face' training delivery is defined as participants being in the same physical location, that is, in the same room.

EXAMPLES OF EVIDENCE

Evidence may include:

- > training observation
- > interviews with participants
- > course materials.

Criterion 5.1	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 5.2

The approved training provider ensures that the facilities, equipment and training materials are consistent with the delivery requirements contained in the approved course, and also are compliant with current work health and safety requirements.

This is a requirement under clause 4.5(ii) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

The provider must ensure the facilities, equipment and training materials utilised:

- > are of an acceptable standard and in a serviceable condition
- > suit the needs of the WHS-EPH
- > comply with all relevant work health and safety legislation
- > support participants with disabilities and special needs
- > support the ability to conduct small group work
- > have the capacity to provide a safe and inclusive learning environment.

It is expected that providers will assess all on and off-site venues to ensure the training environment is suitable to the needs of the participants.

Areas to consider include (but are not limited to) room size, seating arrangements, ergonomic furniture, bathroom facilities, access and egress, breakout areas, ventilation, lighting, presenter visibility, room acoustics, emergency procedures explained.

EXAMPLES OF EVIDENCE

Evidence may include:

- > risk assessment policy and procedure
- > facility checklists
- > training materials
- > trainer observation
- > site inspection

Criterion 5.2	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 5.3

The approved training provider ensures that trainers participate in continuing development of their work health and safety and trainer skills.

This is a requirement under clause 4.5(iii) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Providers must ensure that their approved trainers undertake professional development activities that maintain the currency of their work health and safety industry experience and facilitation/training skill set.

EXAMPLES OF EVIDENCE

Evidence may include:

- > trainer personal development plans
- > trainers' own training records
- > assessments of trainers' competence.

Criterion 5.3	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments



CRITERION 5.4

The approved training provider has defined processes that ensure course materials remain current and technically accurate for the duration of the approval period.

This is a requirement under clause 4.5(iv) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Providers need to maintain the accuracy and currency of course material, including:

- > participants' resources
- > trainer's notes
- > slideshow presentations
- > course handouts
- > course publications
- > DVDs.

Providers need to update their course as a result of changes in legislation, new guidance material, new publications, industry innovations or participants' feedback.

EXAMPLES OF EVIDENCE

Evidence may include:

- > policy and procedure for maintaining currency of course materials
- > examples of course modifications
- > training observation.

Criterion 5.4	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 5.5

The approved training provider provides an official hard copy of the WHS Act to all course participants.

This is a requirement under clause 4.5(v) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Comcare believes the role of Work Health and Safety Entry Permit Holders should be encouraged, supported and protected. For the WHS-EPH to perform their role and use their powers, the provider will need to provide the WHS-EPH with a copy of the WHS Act to retain as a resource to use in their workplace.

EXAMPLES OF EVIDENCE

Evidence may include:

- > receipts for purchase of hard copy WHS Acts (Cth)
- > training room observation
- > interviews with participants.

Criterion 5.5	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

ELEMENT 6: STRATEGIES TO ADHERE TO THE PRINCIPLES OF ACCESS AND EQUITY AND TO MAXIMISE OUTCOMES FOR WHS-EPHS

CRITERION 6.1

The approved training provider provides WHS-EPHS with training and support services that meet their individual needs in line with adult learning principles and provides a safe and inclusive learning environment.

This is a requirement under clauses 4.6(i) and 4.6(ii) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

Adults learn in different ways and bring a range of experiences and backgrounds to the learning environment. Course content and activities should integrate this experience and diversity and provide WHS-EPHS with the skills and knowledge to be able to perform their functions and exercise their powers under the WHS Act.

Training delivery should provide participants with opportunities to contribute and reflect upon their own workplace experience.

Providers should ensure the course is delivered in line with adult learning principles and address any special training requirements of participants. Reasonable adjustments should be made in providing appropriate training arrangements and facilities.

EXAMPLES OF EVIDENCE

Evidence may include:

- > process for the management of participants' special requirements and for making appropriate adjustment to meet participants' needs
- > information provided to each participant prior to course delivery - including access and equity; language; literacy and numeracy; dietary (if meals provided) and impairment/disability services
- > training room observation
- > interviews with participants.

Criterion 6.1	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 6.2

The approved training provider has a transparent and accessible process available to address WHS-EPH concerns and ensures complaints about the administration and/or delivery of the approved course a WHS-EPH attended are addressed effectively and efficiently.

This is a requirement under clauses 4.6(iii) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

The provider must provide a framework for handling participant complaints and ensure efficiency and consistency when handling and resolving complaints.

EXAMPLES OF EVIDENCE

Evidence may include:

- > process for the management and resolution of participant complaints including the efficient acknowledgement, recording, processing and resolution of complaints
- > register/log of complaints and records of appropriate actions and timeframes adhered to
- > participants advised of the provider's complaint handling process in writing as either part of the enrolment process or in resource booklet at training
- > training room observation.

Criterion 6.2	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

CRITERION 6.3

The approved training provider ensures that the maximum number of participants attending each training date does not exceed 20.

This is a requirement under clauses 4.6(iv) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

The class size does not exceed 20 participants.

EXAMPLES OF EVIDENCE

Evidence may include:

- > enrolment process
- > past course attendance sheets
- > interviews with past participants
- > training room observation
- > Comcare annual report return.

Criterion 6.3	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments



ELEMENT 7: AUDIT AND INVESTIGATION

CRITERION 7.1

The approved training provider cooperates with and assists Comcare staff or agents in any systematic audit or review of the approved training provider's conduct to ensure compliance with the conditions of approval.

This is a requirement under clauses 4.7(ii) of the Conditions of Approval in Part 4 of Guidance 1.

COMMENTARY

An approved provider must cooperate with and assist Comcare staff or agents:

- > when they observe and monitor the delivery of training to ensure quality and integrity
- > in any systematic audit and review of the conduct of the approved provider to ensure compliance with the conditions of approval
- > during any investigation resulting from an allegation or a complaint
- > in relation to any reasonable request for further information or assistance.

EXAMPLES OF EVIDENCE

Evidence may include:

- > site visit
- > training room observation
- > provider, staff and records are made available in a timely and appropriate manner.

Criterion 7.1	Conformance OFI	Non-conformance AOGP	Not able to verify	Not applicable
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Evidence and comments

APPENDIX 1: TRAINING DELIVERY CHECKLIST

TABLE 1—Training delivery			
	Criterion		Comments/notes
Training information		Date	
		Trainer name/s	
		Day of training	
		Location	
Training environment	5.3	Checklist completed	
WHS	6.1	Emergency and evacuation	
Participant information	6.3	Number of participants	
	2.3	Participants are union members	
	3.1	Trainer/participants complete attendance sheet	
	1.3	Evaluation forms completed (depending on day of training)	
Course duration G1: 4.5 approximately 1 day face-to-face	5.1	Training start time Morning tea Lunch Afternoon tea Finish Additional breaks?	
Learning Outcomes	5.3	Course material is in line with LOs	
Resources	5.6	Participants given official hard copy of the WHS Act	
Accuracy	5.5	Course material is accurate and current	
Underpinning Principles G1: 4.6	5.1	WHS-EPHs are not formally assessed Adult learning principles Context Inclusivity Activity-based Accommodates differences in learning styles Learner-centred Commitment to safety	
Comcare	2.5	No disparaging comments against Comcare	
Trainer questions	5.2	How does the trainer deal with absenteeism?	
	1.4	How are certificates issued?	
	5.4	Are they involved in the continuous improvement of the course? How?	
	5.4	How do they remain up to date in WHS and training?	

Notes:



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