

HEALTH AND SAFETY REPRESENTATIVE (HSR) TRAINING

PROVIDER COMPLIANCE AUDIT REPORT TEMPLATE

<Training provider name>
<Date of audit>



Australian Government

Comcare

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SCOPE OF AUDIT

Organisation	[training provider name]
Site/workplace	[location]
Scope of audit	<p>The audit examined [provider name]’s training management system, processes and outcomes to validate that [provider name] is meeting its conditions of approval as contained in:</p> <ul style="list-style-type: none">> <i>How to become an approved provider of health and safety representative (HSR) training for the Commonwealth jurisdiction—HSR training course guidance 1</i>, 1 January 2012> <i>HSR training course requirements—HSR training course guidance 2</i>, 1 January 2012 <p>... training records were examined by the auditors. These records were randomly selected from a list of all records where activity had occurred in the previous 12 months.</p> <p>The audit encompassed a review of all relevant documentation submitted by the training provider as evidence of their compliance with their conditions of approval. An interview was also conducted with [if relevant].</p> <p>Overall findings are based on the identification of issues that are considered to be systemic rather than isolated incidents.</p>
Audit criteria	<p>The audit assessed HSR training providers’ compliance against seven conditions of approval across 24 criteria:</p> <ul style="list-style-type: none">> Governance (six criteria)> Interaction with the regulator (five criteria)> Record keeping (one criterion)> Accuracy and integrity of marketing (two criteria)> Strategies to provide quality HSR training (six criteria)> Strategies to adhere to the principles of access and equity and to maximise outcomes for HSRs (three criteria)> Audit and investigation (one criterion).
Ratings	<p>The findings in the audit report have been classified and marked as follows:</p> <p>CONFORMANCE—meets the criterion statement.</p> <p>NON-CONFORMANCE—does not meet the criterion statement.</p> <p>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 cases within the audit period to test that those procedures have been applied.</p> <p>OFI—Opportunity for Improvement—item meets conformance, however there is opportunity for improvement to align to best practice.</p> <p>AOGP—Area of Good Practice.</p> <p>NOT APPLICABLE/NOT AUDITED—the provisions of a criterion do not apply or were not tested.</p> <p>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. This is recognised as being a lower risk to the organisation.</p>

Date(s) of audit	Date
Auditor(s)	[auditor names and organisation]
Client contacts	list
Record of audit	This report contains a summary of the audit outcomes. Detailed information is not recorded in the report. A record of the documentation and records sighted, persons interviewed, observations and auditor comments are retained on the auditor's
Acknowledgement	The auditor wishes to acknowledge the cooperation and assistance provided by the management and staff of [provider name] and thank them for their contribution to the audit process.

EXECUTIVE SUMMARY

[The auditor is to provide an overall summary of findings, briefly outlining broad strengths and weaknesses of the management system]

NON-CONFORMANCES

The following non-conformances were identified during the audit:

Criterion	Non-conformance

OPPORTUNITIES FOR IMPROVEMENT

The following opportunities for improvement were identified during the audit:

Criterion	Non-conformance

An action plan, which includes completion/review dates and responsibilities, must be developed by [enter timeframe] to address each audit finding.

The auditor(s) invite [provider name] to discuss any aspect of this audit with them.

Signed _____	Signed _____
Auditor name _____	Auditor name _____
Date _____	Date _____

TABLE OF CRITERIA

The tool is based on the requirements contained in Guidance 1 and 2:

Audit element/criterion description	Criterion	Rating
1. Governance		
Qualified trainers	1.1	
Training not subcontracted to a third party	1.2	
Evaluation form issued to participants	1.3	
Certificate of attendance issued	1.4	
Certificate of attendance is compliant	1.5	
Replacement certificates issued on request	1.6	
2. Interaction with the regulator		
Provider cooperates with Comcare	2.1	
Provider advises Comcare of changes	2.2	
Provider submits written report to Comcare	2.3	
Provider assists with complaint investigations	2.4	
Provider acts with due diligence	2.5	
3. Record keeping		
Provider maintains records	3.1	
4. Accuracy and integrity of marketing		
Provider informs HSRs of entitlements	4.1	
Marketing is accurate and consistent	4.2	
5. Strategies to provide quality approved HSR training		
Training is delivered face-to-face and in line with underpinning principles	5.1	
Training completed within six months	5.2	
Facilities, equipment and training materials are consistent with approval and work health and safety laws	5.3	
Trainers undergo ongoing development	5.4	
Course materials are current	5.5	
Hard copy of the Work Health and Safety Act 2011 (WHS Act) provided to participants	5.6	
6. Strategies to adhere to the principles of access and equity and to maximise outcomes for HSRs		
Provider supports HSRs' individual needs	6.1	
Process for addressing HSR concerns	6.2	
Participants do not exceed 20	6.3	
7. Audit and investigation		
Provider cooperates with audit	7.1	

ELEMENT 1: GOVERNANCE

QUALIFIED TRAINERS

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.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 1.2

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

ADMINISTRATIVE ARRANGEMENTS

Criterion 1.3

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 1.4

The approved training provider issues a certificate of attendance to each participant who completes the approved HSR initial or refresher training, within 10 working days of completion.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 1.5

Certificates of attendance contain the prescribed information.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

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.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

ELEMENT 2: INTERACTION WITH THE REGULATOR

COOPERATION AND REPORTING

Criterion 2.1

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 2.2

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 2.3

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 2.4

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 2.5

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

ELEMENT 3: RECORD KEEPING

RECORD KEEPING

Criterion 3.1

The approved training provider maintains prescribed records for seven years.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

ELEMENT 4: ACCURACY AND INTEGRITY OF MARKETING

MARKETING

Criterion 4.1

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 4.2

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

ELEMENT 5: STRATEGIES TO PROVIDE QUALITY APPROVED HSR TRAINING

DELIVERY OF TRAINING

Criterion 5.1

The approved training provider ensures that all training is delivered face-to-face in line with the prescribed underpinning principles.

Finding:

Evidence:
Comment:
OFI:
Non-conformances:

Criterion 5.2

The approved training provider ensures that participants commence and complete the initial five-day training course within a six-month period.

Finding:

Evidence:
Comment:
OFI:
Non-conformances:

Criterion 5.3

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

Finding:

Evidence:
Comment:
OFI:
Non-conformances:

Criterion 5.4

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 5.5

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 5.6

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

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

ELEMENT 6: STRATEGIES TO ADHERE TO THE PRINCIPLES OF ACCESS AND EQUITY AND TO MAXIMISE OUTCOMES FOR HSRs

ACCESS AND EQUITY

Criterion 6.1

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

Finding:

Evidence:
Comment:
OFI:
Non-conformances:

Criterion 6.2

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

Finding:

Evidence:
Comment:
OFI:
Non-conformances:

Criterion 6.3

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

Finding:

Evidence:
Comment:
OFI:
Non-conformances:

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.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

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	Roles of participants (HSR, Deputy, Manager, Supervisor Other)	
	4.1	HSRs informed about their entitlement to select a course of their choosing	
	3.1	Trainer/participants complete attendance sheet	
	1.3	Evaluation forms completed (depending on day of training)	
Course duration G2: 1.4.1 (Seven hours face-to-face per day)	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 G2: 1.2.2 G2: 1.2.3 G2: 1.2.4 G2: 1.2.5 G2: 1.2.6 G2: 1.2.7 G2: 1.2.8 G2: 1.3	5.1	HSRs 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 with WHS and training?	

Notes:



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