

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

PROVIDER COMPLIANCE AUDIT REPORT TEMPLATE



Australian Government

Comcare

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SCOPE OF AUDIT

Organisation

Site/workplace

Scope of audit

The audit examined the [provider name]'s training management system, processes and outcomes to validate that [provider name] is meeting its conditions of approval as contained in:

- > How to become an approved provider of WHS 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

... training records were examined by the auditors. These records were randomly selected from a list of all records where some activity had occurred in the previous 12 months.

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].

Overall findings are based on the identification of issues that are considered to be systemic rather than isolated incidents.

Audit criteria

The audit assessed WHS-EPH training providers' compliance against seven conditions of approval across 23 criteria:

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

Ratings

The findings in the audit report have been classified and marked 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 cases within the audit period to test that those procedures have been applied.

OFI—Opportunity for Improvement—item does not 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

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.

Date(s) of audit

Auditor(s)

Client contacts

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, opportunities for improvement and auditor comments are retained on the auditor's file.

Acknowledgement The auditor wishes to acknowledge the cooperation and assistance provided by the management and staff of _____ and thank them for their contribution to the audit process.

EXECUTIVE SUMMARY

[the auditor is to provide an overall summary of findings—succinctly outlining the broad strengths and weaknesses of the management system]

NON-CONFORMANCES

A number of non-conformances were identified during the audit. They are:

Criterion	Non-conformance

OPPORTUNITIES FOR IMPROVEMENT

A number of opportunities for improvement were identified during the audit. They are:

Criterion	Opportunities for improvement

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

The auditors invite [provider name] to discuss any aspect of this audit with the auditors.

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	
Not subcontracted to 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 WHS-EPHs of entitlements	4.1	
Marketing is accurate and consistent	4.2	
5. Strategies to provide quality approved WHS-EPH training		
Training delivered face-to-face and in line with underpinning principles	5.1	
Facilities, equipment and training materials are consistent with approval and WHS laws	5.2	
Trainers undergo ongoing development	5.3	
Course materials are current	5.4	
Hard copy of WHS Act provided to participants	5.5	
6. Strategies to adhere to the principles of access and equity and to maximise outcomes for WHS-EPHs		
Provider supports WHS-EPHs' individual needs	6.1	
Process for addressing WHS-EPH 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 WHS-EPH 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 of 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 WHS-EPHs 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 WHS-EPH courses is accurate and consistent with its approval by Comcare.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

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

DELIVERY OF 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.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

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.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

TRAINER DEVELOPMENT

Criterion 5.3

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:

TRAINING MATERIALS

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.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 5.5

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 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.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

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.

Finding:

Evidence:
Comment:
OFl:
Non-conformances:

Criterion 6.3

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

Finding:

Evidence:
Comment:
OFl:
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

Training Delivery Observation			
	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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