

SWINBURNE UNIVERSITY OF TECHNOLOGY  
SWINBURNE PROFESSIONAL



# Department of Agriculture, Water, and the Environment

Lead Auditor Training Course for Aquaculture Biosecurity Plans

Ref: 2019-090



The Smarts of a University.  
The Agility of a Consultancy.

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## Executive Summary

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This report presents the findings, feedback, survey data, and recommendations following the successful execution of the Lead Auditor Training Course for Aquaculture Biosecurity Plans (Lead Auditor Program) for the Department of Agriculture, Water, and the Environment (Department), which included Subject Matter Experts (SME) consultations, content development, materials customisation, and the delivery of two iterations of the Lead Auditor Program via a 5-day face-to-face classroom training strategy. The project was funded by the department through the Fisheries Research and Development Corporation.

The project inception to completion spanned from October 2019 to March 2020 to include all the above-mentioned stages of the project until completion and issuance of statements of attainment and Exemplar Global certificates. The program was focused on and delivered to state, territory and Commonwealth government officers working in aquatics, aquaculture industry representatives and aquatic veterinarians.

Swinburne Professional (Swinburne) was engaged by the Department to design and deliver the program and worked in collaboration with Nautilus Collaboration as SMEs, as well as stakeholders from the Department to identify and address the training needs of the participants taking part in the Lead Auditor Program. The consultation and design phase went according to the proposed project plan, with minimal disruptions and risks posed to the overall project.

The design component included extensive consultation, design, and review iterations to ensure the Department was satisfied with the customised materials developed and other supplementary resources required for the training delivery. The collaboration with Nautilus Collaboration was of utmost value and imperative to the success of the Lead Auditor Program. Both SMEs brought a wealth of knowledge and expertise to the project, ultimately making the content development a success.

The first iteration of the delivery phase resulted in a review of the materials to ensure the second iteration ran smoother, and lessons learned from logistical constraints were smoothed out for the second iteration. The review of material resulted in a scope creep, which was absorbed by Swinburne and not charged to the Department, valued at \$4,765.

This report covers the project scope, its inclusions as a three-phase project: Phase 1 Design, Phase 2 Delivery, Phase 3 Reporting. The reporting requirements included feedback from the project team and its stakeholders, feedback on the developed training materials, conduct of the sessions, feedback from the training participants, a financial reporting overview, and recommendations for future improvements. The project did not encounter any major disruption and was executed as per the agreed schedules.

We would like to take this opportunity to thank you for choosing Swinburne to deliver this imperative initiative on behalf of the Department and we welcome the opportunity to further support any training needs.

Sincerely,

Ralph El Helou – Project Manager

## Introduction

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Swinburne Professional believes in the holistic development of each person and therefore our programs have been structured to not only provide the technical skills required but also to develop the leadership and management capabilities of each person relevant to the level of study that they are engaged in.

The Lead Auditor Training Course for Aquaculture Biosecurity Plans (Lead Auditor Program) for the Department of Agriculture, Water, and the Environment (the Department) is a customised program to align with the specific requirements for the Aquaculture Biosecurity division of the Department. The project included several consultation sessions to identify the specific approach and development strategy to address industry experts in aquaculture. A project content development plan was developed to ensure the timely submission and sign-off of all materials and the program was delivered to state and territory, and Commonwealth government officers working in aquatics, aquaculture industry representatives and aquatic veterinarians in two cohorts:

- Canberra, November 2019 (n=12)
- Melbourne, February 2020 (n=16)

The Swinburne Lead Auditor Program was used as the basis for the program, a five-day program that is part of a nationally recognised qualification. Participants learn to participate in, initiate, lead on and report on a quality audit, to facilitate continuous improvement, to prepare and deliver a presentation on their findings and to communicate in an influential way during a group setting. As per the requirements of the Department the program was contextualized to aquaculture biosecurity plans.

The Swinburne Lead Auditor Program is certified by Exemplar Global. Participants who successfully completed the course received a Statement of Attainment (SoA) from the University. This SoA gives students the opportunity to apply directly to Exemplar Global for Certification as:

- Provisional QMS Auditor/QMS Auditor (based on experience).
- Provisional OHS Auditor/OHS Auditor (based on experience).

Beyond certification, Exemplar Global offers access to:

- Ongoing learning opportunities via a comprehensive online careers centre
- A range of events and webinars
- Exemplar Global's online magazine
- Low-cost liability insurance for members
- An exclusive social community

Participants gain access to an exclusive LinkedIn community to interact with other graduates and industry professionals to facilitate networking opportunities and skill sharing.



# Project Scope

## Phase 1 – Learning Design

### Content discovery

The Swinburne Project Manager, Learning Designer and Program Architect held an inception meeting between Swinburne, the Department and the SMEs to clearly define the content elements, approach to finalising the learning program inclusions and planning of the program delivery to its audience.

### Design Inclusions

Swinburne Professional (Swinburne) used its current lead auditor program as the base for the Department's Lead Auditor Training Program for Aquaculture Biosecurity Plans. This covers the design aspects above, with an added benefit of accreditation and certification as the outcome. The program provided participants with the skills and knowledge required for trained auditors to educate aquaculture farmers on self-audits.

Following the content discovery consultation, a detailed project plan was produced for the content's contextualisation. This plan detailed the timelines and core duties/roles of each party, specific learning material and sign-off stages for SMEs and the Department. Within the allocated budget, we expected this to include specific materials aligned to the aquaculture industry, including;

- + Case studies
- + Role play activities in how to train a farmer in internal audit
- + Specific ISO risk management inclusions
- + Model biosecurity audit manual
- + Knowledge test specifics.

## Phase 2 – Course Delivery

Swinburne's lead auditor program (5-day program) was used as the base for the training course and contextualised to the Aquaculture Biosecurity Plan requirements of the Department. This program equips learners with the skills and knowledge to:

- + Understand auditor roles and responsibilities
- + Identify resources required to conduct a quality audit
- + Communicate effectively with an auditee regarding a quality audit
- + Collect and review auditee documentation
- + Develop and submit an audit plan and tools
- + Prepare and manage audit team resources
- + Compile audit results and prepare reports, present audit results to an auditee, and follow up improvement process
- + Plan, undertake and report on audit outcomes
- + Understand how risks to business are identified, evaluated and addressed
- + Verify that risks and opportunities are identified by the organization to address nonconformities and continual improvement to meet customer requirements
- + Evaluate the product realization processes and supporting activities in order to verify the degree of conformity and effectiveness of these activities
- + Understand process-based activities and associated inputs, outputs, controls, and resources, in different organisational contexts
- + Determine required resources, responsibility, timeframe, and evaluation of results related to quality objectives.

The nationally recognised units used to address the development requirements were:

- + BSBAUD402 Participate in a Quality Audit
- + BSBAUD501 Initiate a Quality Audit
- + BSBAUDS03 Lead a Quality Audit
- + BSBAUD504 Report on a Quality Audit
- + BSBMGT516 Facilitate continuous improvement.

Participants who successfully completed this course received a Statement of Attainment (SoA) issued by Swinburne University for the above five lead auditor units and for the following internationally recognised Exemplar Global competency units within WHS/OHS stream:

- + Exemplar Global - TL - Leading Management Systems Audit Teams
- + Exemplar Global - OH - OHS Management Systems
- + Exemplar Global - AU - Auditing Management Systems
- + Exemplar Global - QM - Quality Management Systems

Based on this, participants in this program have the option to apply to Exemplar Global for Certification as Provisional QMS Auditor/QMS Auditor (based on experience) or Provisional OHS Auditor/OHS Auditor (based on experience).

The contextualised Lead Auditor program for Aquaculture Biosecurity Plans covered some aspects of:

- + ISO-9001 aligned to ISO 9001:2015 Quality Management System
- + ISO 19011:2018 Guidelines for auditing management System
- + ISO 31000:2018 Risk Management Guidelines

### **Phase 3: Reporting**

As part of the initial scope of any contract we established the reporting requirements and most beneficial method for the Department. In addition, we provided a formal report to the Department at the conclusion of any program. This report includes, for example:

- + Overview of program
- + Description of content of the program, and any changes made as a result of feedback or other impacts
- + Findings from the pre and post evaluations
- + Findings from any follow up surveys
- + Suggested changes to the program aimed at improving its structure, design, content, scalability, sustainability and / or cost effectiveness
- + Other information identified as important
- + Project Scope
- + Scope Financial Report

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## **Phase 3 – Reporting**

The following data was gathered during and post the project execution, based on day-to-day operation, end of program evaluations, reporting from the various project team stakeholders, including the facilitators and support

personnel at the conclusion of training. Overall, the project addressed the scope requirements outlined in the above-mentioned criteria in Phase 1 Design and Phase 2 Delivery, as per contractual agreements between both parties.

This section on Reporting requirements focuses on the below areas;

- + Facilitator & SME Feedback
- + Training Materials
- + Conduct of the Sessions
- + Feedback from Participants
- + Financial Reporting
- + Recommendations

The Swinburne project team found the collaboration between the Department and Nautilus Collaboration to be successful and has overall resulted in the successful implementation of the scope, roll-out of training, and great value to the customisation of the materials.

The Subject Matter Experts (SMEs), Belinda Yaxley and Christine Huynh of Nautilus Collaboration, added extreme value to the project design, bringing a wealth of knowledge from Industry to help contextualise the content and make the academic learning more relevant to the audience.

There were some challenges regarding the design scope for content development and misalignment with the project brief vs expectations. These scope exclusions have been addressed throughout the project execution at Phase 2 Delivery stage. Detailed feedback regarding minor challenges to the delivery of training, all which have been listed in this report. These risk issues and challenges did not directly impact the Department's audience (the participants), and certainly did not impact the successful execution of the project. However, for continuous improvement and lessons learned purposes, all issues recorded during execution have been listed in this report. This information will be used to further streamline processes and where possible, proactively address future risks that may arise.

Overall, Swinburne has been able to demonstrate to the Department its extensive experience, capability, and capacity to deliver and manage this project and its ability to deliver exceptional customer service to our client and their audience. The Swinburne personnel are experienced, qualified and passionate about their areas of professional practice, and this has been reflected in the roll-out of another successful project for the Lead Auditor Training Program for Aquaculture Biosecurity Plans for the Department of Agriculture, Water, and the Environment, in collaboration with Nautilus Collaboration.

## Facilitator / SME Feedback

*Andrew Baker, Swinburne University*

*Belinda Yaxley, Nautilus Collaboration*



The feedback received from the facilitators regarding the program design and delivery phases of this project, including the training materials, conduct of the session, and roll-out was overall positive. Key areas of improvement have been identified following the roll-out of November 2019 cohort 1, which have been implemented into the roll-out of February 2020 cohort 2.

Andrew Baker, the program architect, facilitator, and audit expert has provided feedback regarding the materials and roll-out of the program to the audience:

- + The access to the SMEs and their knowledge has been imperative to the successful development of customised documents and contextualise the content to suit Industry.
- + Materials can be further developed to address training needs specific to the biosecurity industry and its audience
- + Scope change occurred following the feedback delivery of cohort 1 in Canberra, which impacted the budgeted design time for this program.
- + The materials are extensive, and a review can result in the streamlining of documents used
- + Consolidation of materials is necessary whilst maintaining the current unit of competency mapping to the content, Exemplar Global, and Industry
- + Additional consultation and design time, with specific design scope can enhance the learning experience for future cohorts.
- + The SME presence in-class is invaluable and assists the facilitator in addressing industry-specific questions
- + Opportunity to set the expectations of external audience on what the program entails, inclusions, and key objectives of the training.

The feedback received from the SMEs has been generally positive, declaring the training rollout and delivery a success.

Nautilus Collaboration have also reported that further customisation to the content is required to ensure the materials and other resources address the training needs of attendees from Industry as well as the Department's audience. In some cases, specific resources need to be developed, incorporated, and mapped to compliance, in order to address the Industry learning gaps, which cannot be achieved by an academic resource alone. The ISO compliance does not address all biosecurity requirements for an auditor to perform their role.

The above-mentioned has been identified as an opportunity for continuous improvement and included in recommendations.



## Training Materials

### *Feedback on Content, Structure, and Activities*



As outlined in the Project Scope – Design Inclusions section of this document, the requirement from the design team at Swinburne Professional was to use the current Lead Auditor program as the base for the Department's Lead Auditor Course for Aquaculture Biosecurity Plans.

This program is mapped to the 5 units of competency and mapped to the Exemplar Global certification units. The content provided participants with the skills and knowledge required for trained auditors to educate aquaculture farmers on self-audits.

The below resources have been identified during the initial consultation with the Department as necessary documents to supplement the above content materials.

Following the initial content discovery consultation, a detailed content development project plan was produced for the content's contextualisation and build. This plan detailed the due dates, responsibilities, and activities of stakeholders involved, including sign-off stages for SMEs and the Department. The aim of the project plan was to ensure the project remained on scope and was executed as per the agreed timelines. The development included the customisation of the existing program to align with the needs of industry in relation to aquaculture biosecurity, and included specific materials aligned to the aquaculture industry sector, consisting of;

- + Case studies
- + Role play activities in how to train farmers in internal audit
- + Specific ISO risk management inclusions
- + Model biosecurity audit manual

The consultations between the SMEs, the Department, and Swinburne's design team established the plan of action and steps to ensure content was ready for the first cohort in November 2019. SMEs produced the Industry specific case studies and supplementary documents. The Swinburne design team developed the role-play activities, the customised audit manual, as well as customising elements of the existing program to better align with the identified requirements. The development project plan was completed on time despite minor set-backs to the timelines and content development stage, the materials were successfully signed off by the Department and the SMEs in time for the November intake.

Following the roll-out of cohort 1 in November 2019, key learnings and reflections from the project team, as well as participants' feedback, led to the amendment of existing documents. The lessons learned from the first cohort included necessary amendments to the materials and case studies to better align with the learners' experience and industry requirements. These changes were out of scope and resulted in additional work to be completed by Swinburne's program architect to ensure the February 2020 intake included the improved documents and resources. The second intake had better materials, and although still extensive, aligned better to the audience's learning experience and addressed the Department's expectations.

## Conduct of the Sessions

### *Feedback on Session Plans, Conduct, and Lessons Learned*



Overall, the program roll-out ran to schedule and on time, for both cohorts whether at the Department's premises in Canberra for cohort 1 or at Swinburne University campus in Hawthorn, VIC for cohort 2.

Cohort 1 presented a minor logistical challenge, with the course materials having to undergo screening by the Department of Agriculture, Water and the Environment upon delivery. The materials were not received by the participants until Day 2 of the training program and the facilitator had to work off the PowerPoint slides for the first day, which presented a small challenge for the cohort to catch up on a lot of content from the workbook on Day 2 onwards.

Apart from the above, cohort 1 ran smoothly and the facilitator adapted their facilitation approach to recuperate lost time and changed aspects of their session plan for the week to make sure the relevant content was covered, providing the participants with the most learning value. This resulted in a review of the session plan and removal of aspects of the delivery to ensure the time allotted was focused on covering content, completing in-class activities, and conducting the exam on the last day.

Cohort 2 received their pre-workshop e-mail, activities, manual, and ISO resources well ahead of the workshop following feedback from the facilitator and participants regarding access to the materials being too close to the start of the workshop for cohort 1.

The training delivery for the second cohort was much smoother, as the bulk of lessons learned was applied following cohort 1, which included all the above-mentioned amendments, as well as the content and resources' changes.

An important note following the roll-out of cohort 2 was the conduct of certain participants in cohort 2. Understandably, the group contained clients external to the Department and presented a challenge for the facilitator and SMEs to conduct their sessions according to their session plan, due to regular interruptions, unnecessary commenting, and general insubordination. The facilitator, SMEs, and other personnel did their best to navigate the week with minimal disruption to the group. However, this has also resulted in feedback from other participants regarding the conduct of the individuals and its impact on their experience.

Overall, the training delivery component was to time and budget, and within scope.

## Feedback from Participants

### The Evaluation Survey Data and Interpretation



A key trend was identified and supported by the survey data regarding the participants' perception of the content presented to them. Similarly, the same feedback was received from the facilitator, SMEs, and the Department's stakeholders. The participants indicated that the materials contained an extensive amount of resources and information to absorb even with the pre-reading materials. This is due to the volume of units covered in this intensive 5-day program, including the exam on day 5.

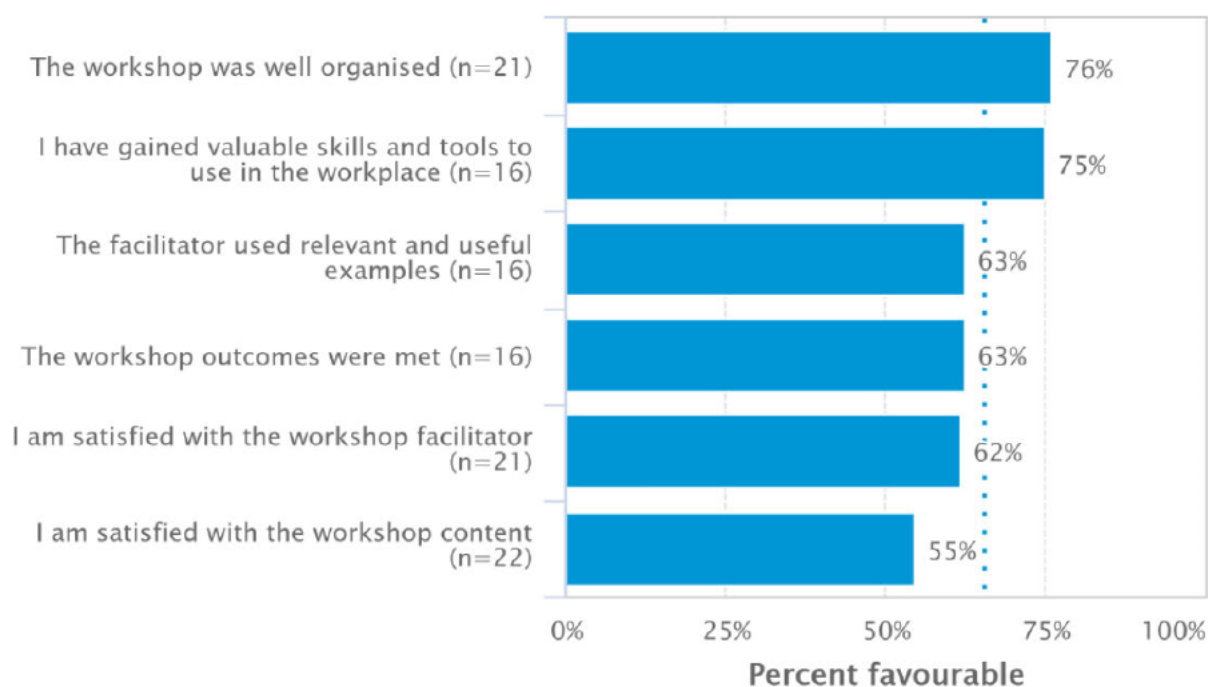
Another common feedback was the preference to use a biosecurity facilitator to deliver the program, as opposed to an expert auditor. This feedback was predominantly provided by cohort 2. The inclusion of the SMEs in the training program alleviated the need to have a biosecurity expert facilitating the Lead Auditor Program, as Nautilus Collaboration representatives, Belinda and/or Christine, were able to answer or address any questions, concerns, or uncertainty raised during the training delivery.

#### Key measurements

- + Satisfaction with facilitator
- + Satisfaction with content
- + Use of relevant and useful examples
- + Gaining valuable skills and tools to use in the workplace
- + Workshop outcome have been met
- + Workshop organisation

The overall satisfaction rate is 65% and presents this based on a maximum of 22 respondents over the two cohorts, as outlined below;

Percent favourable average: 65%



## Recommendations

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Based on the above findings/feedback and in addition to the recommendations provided in the respective sections of this report, the below are recommendations for continuous improvement and areas of opportunity to improve the Lead Auditor Program offering for the Department:

- + A fully customised program developed in consultation with the Department, focusing on the Biosecurity division, its Industry audience and addresses all requirements; facilitated by Swinburne Lead Auditor expert(s) with the support (co-facilitation) of Department or Industry experts *i.e.* Nautilus Collaboration.
- + Greater mixing of industry and government participants across the cohorts, to diversify the audience and ensure a consistent approach across the program.
- + Clearly define the scope of delivery to the audience to ensure expectations are met.
- + The opportunity to upskill a significant portion of internal and external participants that took part in the Lead Auditor Program at the Department of Agriculture, Water, and the Environment to the Diploma of Quality Auditing by undertaking three additional units of competency. This will also provide cross-collaboration and networking opportunities following the various rollouts of this program in Canberra for the Department.
- + The implementation of a specific relevant case study as the one project for the 5-day program, consolidating the materials and reducing the volume of activities.
- + Re-evaluation of the Exemplar Global requirement for accreditation as it may impact the design of the program.
- + Re-evaluation of the Qualification (units of competency statements of attainment) requirement as it impacts, and in some cases limits, the design of the program *i.e.* *Limitation to the ISO compliance restricted the biosecurity specific tools and methodologies recommended by the SMEs.*

We would also like to take this opportunity to thank you for choosing Swinburne to deliver this imperative initiative on behalf of the Department. We have thoroughly enjoyed working with you on this project and we welcome the opportunity to further support the needs of the Department of Agriculture, Water, and the Environment.

We appreciate any feedback or recommendations on areas of improvement. Please do not hesitate to direct these to:

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