

AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 13/09/18–14/09/18

RTO: North Ringwood Community House Inc

Applicant Details			
Applicant Name	North Ringwood Community House Inc	TOID	6434
Address	35–39 Tortice Drive, North Ringwood 3134		
	Website	http://www.nrch.org.au	
Registration Contact	Helen Ferguson		
Phone Number	9876 3421	Email	helen@nrch.org.au
Audit Team			
Audit Firm	Quorum QA Australia	Auditor/s	Chloe Dyson
Auditor/s	Virginia Fenelon	Other Attendees	NA
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.3 , 3.4
2016 VRQA Guidelines Audited	1.3	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8	
	3.1, 3.2, 3.3 , 3.4, 3.5	4.1, 4.2, 4.3 to 4.6	
Audit Date/s	13/09/18–14/09/18		
RTO Background			
<p>Helen Ferguson took the role of Manager in July and was the Assistant Manager before that. She is supported by a Training Coordinator, Lynda Pedersen.</p> <p>Students vary and include groups of refugees from Myanmar, referred by the Migrant Information Centre (MIC) to the Certificate III in Individual Support. All students who completed the Certificate III in Individual Support gained employment in 2017 and the RTO Manager believes that the popularity of the course with this group is that the RTO is very supportive, providing child care and assistance with learning English. The English classes were funded through Skills Victoria. Students in the Certificate IV in Disability are difficult to categorise as they tend to have a variety of backgrounds and motivations.</p> <p>There are three sessional trainers, three administrative staff, a VCAL coordinator, the RTO Manager and a training coordinator.</p> <p>The RTO does not have difficulty in finding placements for students who do not wish to nominate their own.</p>			

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Many of the students in the Diploma of Leisure and Health continue from the Certificate IV, with a view of strengthening their employment prospects.

There are currently 82 students enrolled at North Ringwood Community House. Twenty-three of these students are continuing from 2017, when there were 106 students enrolled. The majority of students are enrolled in VCAL Foundation.

The RTO receives Government funding for all programs except for the Diploma of Community Services.

There are no immediate plans to change the scope of the RTO, although a planning meeting is planned in October to discuss the implications of the free TAFE courses recently introduced by the Government.

There is a Committee of Governance that meets eight times a year.

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Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
CHC53415	Diploma of Leisure and Health	Tortice Drive, North Ringwood
CHC43115	Certificate IV in Disability	Tortice Drive, North Ringwood
CHC33015	Certificate III in Individual Support	Tortice Drive, North Ringwood

Interviewee(s) – Staff name and position; employer name and position	
Helen Ferguson – RTO Manager	Linda Pederson – Training Coordinator and Trainer

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
If 'No', please provide amended details below:		

Third party Arrangements –	Yes	No
Do the RTO's third-party arrangements match the information provided by the VRQA?	X	
If 'No', please provide amended details below:		

¹ Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

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Audit Summary - AQTF Conditions of Registration

AQTF Conditions		Compliant	Non - Compliant	Not audited
Place an X in the appropriate column				
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation	X		
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	X		
7	Recognition of Qualifications Issued by other RTOs		X	
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses		X	
Summary of Non-Compliance²				

² CF = Condition Finding. Finding references are aligned to the Detailed Findings section of this report.

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Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1			
1.1 – Continuous Improvement Strategy		X	
1.2 – Training and Assessment Strategies		X	
1.3 – Training and Assessment Resources		X	
1.4 – Trainer and Assessor Competency		X	
1.5 – Assessment Strategies		X	
Standard 2			
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services	X		
2.3 – Provision of Information to Clients		X	
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy		X	
Standard 3			
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations	X		
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management	X		
Summary of Non-Compliance³			

³ SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.

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Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
1. Governance, Financial viability and Management systems			
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
2. Transparency and oversight of third parties			
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)			
3.1 – Vocational & Industry skill requirements	X		
3.2 – Training and Assessment (TAE) skill requirements	X		
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
4. Delivery of training and assessment services			
4.1 – Training and assessment practices		X	
4.2 – Amount of training		X	
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X

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4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
5. Annual Declaration of Compliance			
5.1 – Annual Declaration of Compliance			X

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CF.7.1	Finding	Required Rectification(s)	Non compliances rectified
	Revise information about the administration of National Recognition so that it is clearly an administrative process which confirms parity.	Credit Transfer application form Recognition of Australian Quality Framework Qualifications (Credit Transfer) Policies now clearly show National Recognition so that is an administrative process which confirms parity.	Yes
Improvement Opportunities		Required Rectification(s)	Non compliances rectified
	On the website, the NRT logo is displayed in a box, which is not strictly in line with the advice in the logo specifications for one colour reproduction (refer https://www.asqa.gov.au/sites/g/files/net3521/f/NRT_logo_specifications_NEW.pdf). It is suggested that the RTO revise the use of the single colour logo.	Box removed and now compliant with the NRT logo specifications	Yes

	Finding	Required Rectification(s)	Non compliances rectified
	Provide evidence that the RTO has in place information or advice about how to manage the transition to Training Packages.	Transition to Scope policy Policy now clearly outlines information about how to manage the transition to Training Packages.	Yes
	Finding	Required Rectification(s)	Non compliances rectified
	Provide evidence that there is a systematic process in place to address opportunities for the improvement of the quality of training and assessment.	Amended Continuous Improvement policy to reflect regular staff meetings and quarterly reporting for all staff to identify opportunities for improvement of the quality of training and assessment. Quality Indicators report will be	Yes

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		reviewed at staff meetings as outlined in the Continuous Improvement policy.	
	Improvement Opportunities	Required Rectification(s)	Non compliances rectified
	The Quarterly update and report raise examples of continuous improvement collected from staff. This does not reflect what the Continuous Improvement policy and procedure describes (regular meetings of staff). It is suggested that the RTO revise its procedure so that it accurately describes continuous improvement processes.	<p>Staff meetings will occur every 6 weeks as outlined in the Continuous Improvement Policy with agreed outcomes and actions recorded. List of meeting dates for 2019 done.</p> <p>Quarterly update from manager to staff and accredited training coordinator to trainers used to capture: WHS, Professional Development, Continuous Improvement, Complaints & Feedback.</p> <p>Continuous Improvement policy revised and updated.</p> <p>Student file note updated.</p>	Yes
	Finding	Required Rectification(s)	Non compliances rectified
	CHC53415 Diploma of Leisure and Health	Competency determined by a more rigorous assessment as evidenced by the work placement assessment booklet.	Yes
	<p>Revise the design of the strategy for training and assessment for this Qualification so that:</p> <ul style="list-style-type: none"> - Students are provided with sufficient opportunity to develop competency. - It is clear how competency is determined for each individual unit of competency. 	<p>The lesson plan has been updated for students to develop competency by supplementing additional tasks to provide an opportunity to develop competency.</p> <p>Training & Assessment Strategy updated.</p> <p>Work Placement Assessment book updated.</p> <p>Assessments updated.</p> <p>Timetable updated.</p> <p>Lesson plan updated.</p>	
	Finding	Required Rectification(s)	Non compliances rectified

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<p>CHC43115 Certificate IV in Disability</p> <p>Revise the design of the strategy for training and assessment for this Qualification so that students are provided with sufficient opportunity to develop competency.</p>	<p>Competency determined by a more rigorous assessment as evidenced by the work placement assessment booklet.</p> <p>The lesson plan has been updated for students to develop competency by supplementing additional tasks to provide an opportunity to develop competency.</p> <p>Training & Assessment Strategy updated.</p> <p>Work Placement Assessment book updated.</p> <p>Assessments updated.</p> <p>Timetable updated.</p> <p>Lesson plan updated.</p>	<p>Yes</p>	
	<p>Finding</p>	<p>Required Rectification(s)</p>	<p>Non compliances rectified</p>
<p>CHC33015 Certificate III in Individual Support</p> <p>Revise the design of the strategy for training and assessment for this Qualification so that students are provided with sufficient opportunity to develop competency.</p>	<p>Competency determined by a more rigorous assessment as evidenced by the work placement assessment booklet.</p> <p>The lesson plan has been updated for students to develop competency by supplementing additional tasks to provide an opportunity to develop competency.</p> <p>Training & Assessment Strategy updated.</p> <p>Work Placement Assessment book updated.</p> <p>Assessments updated.</p> <p>Timetable updated.</p> <p>Lesson plan updated.</p>	<p>Yes</p>	
	<p>Finding</p>	<p>Required Rectification(s)</p>	<p>Non compliances rectified</p>
<p>CHC33015 Certificate III in Individual Support</p> <p>For the abovementioned units of competency provide evidence that there are sufficient learner resources in place that are suitable for the student cohort.</p>	<p>All reference to Smallprint books removed. Sourced a new resource: The Australian Carer: A Training Manual for Aged Care Workers by Helen Croft. We have based our training presentations on the Helen Croft book. All students will be provided with this reference at the start of the course. Students will be given multiple opportunities to develop manual handling skills relevant to</p>	<p>Yes</p>	

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		the aged care industry. 3 full days of training now timetabled.	
	Finding		Non compliances rectified
CHC43115 Certificate IV in Disability <i>For the abovementioned units of competency provide evidence that there are sufficient learner resources in place so that students are able to develop their skills and knowledge.</i>		Additional resources now being used in addition to Smallprint manuals. Session plan rewritten to incorporate additional tasks to simulate 'on the job' experience.	Yes
	Finding	Required Rectification(s)	Non compliances rectified
CHC53415 Diploma of Leisure and Health For the abovementioned units of competency provide evidence that there are sufficient learner resources in place so that students are able to develop their skills and knowledge.		Additional resources now being used in addition to Smallprint manuals. Session plan rewritten to incorporate additional tasks to simulate 'on the job' experience.	Yes
	Finding	Required Rectification(s)	Non compliances rectified
CHC33015 Certificate III in Individual Support Revise assessment for the abovementioned units so that it meets the requirements of the units of competency.		Lesson plans rewritten with scenarios to simulate real work conditions and situations. Students will be given multiple opportunities to develop manual handling skills relevant to the aged care industry. 3 full days of training now timetabled. Assessment methods varied to include simulations, role plays & real workplace documents. Assessment and marking guide rewritten to make them more reliable, valid, fair and sufficient. The project has been removed. By making assessments more rigorous students will be unable to provide verbatim responses to assessment tasks.	Yes

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		<p>Training & Assessment Strategy updated.</p> <p>Work Placement Assessment book updated to include only things that can be assessed.</p> <p>Simulations only appear where skills and knowledge can not be demonstrated in a workplace environment.</p> <p>Assessments updated.</p> <p>Timetable updated.</p> <p>Lesson plan updated.</p>	
	Finding	Required Rectification(s)	Non compliances rectified
	<p>CHC43115 Certificate IV in Disability</p> <p>Revise assessment for the abovementioned units so that it meets the requirements of the units of competency.</p>	<p>A rewrite of the Work Placement Assessment book has been revised to contextualise the assessment tasks to meet the requirements of the unit of competency in a real work environment.</p> <p>Lesson plans rewritten with scenarios to simulate real work conditions and situations.</p> <p>Students will be given multiple opportunities to develop manual handling skills relevant to the aged care industry. 3 full days of training now timetabled.</p> <p>Assessment methods varied to include simulations, role plays & real workplace documents.</p> <p>Assessment and marking guide rewritten to make them more reliable, valid, fair and sufficient.</p> <p>By making assessments more rigorous students will be unable to provide verbatim responses to assessment tasks</p> <p>Training & Assessment Strategy updated.</p> <p>Work Placement Assessment book updated to include only things that can be assessed.</p> <p>Simulations only appear where skills and knowledge could not be demonstrated in a workplace environment.</p> <p>Assessments updated.</p> <p>Timetable updated.</p>	Yes

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		Lesson plan updated.	
	Finding	Required Rectification(s)	Non compliances rectified
	<p>CHC53415 Diploma of Leisure and Health</p> <p>Revise assessment for the abovementioned units so that it meets the requirements of the units of competency.</p>	<p>Rewritten assessment and conditions are now stipulated and questions are written to address the knowledge evidence as mapped in the unit.</p> <p>Lesson plans rewritten with scenarios to simulate real work conditions and situations.</p> <p>Students will be given multiple opportunities to develop manual handling skills relevant to the aged care industry. 3 full days of training now timetabled.</p> <p>Assessment methods varied to include simulations, role plays & real workplace documents.</p> <p>Assessment and marking guide rewritten to make them more reliable, valid, fair and sufficient.</p> <p>Training & Assessment Strategy updated.</p> <p>Work Placement Assessment book updated to include only things that can be assessed.</p> <p>Simulations only appear where skills and knowledge could not be demonstrated in a workplace environment.</p> <p>Assessments updated.</p> <p>Timetable updated.</p> <p>Lesson plan updated.</p>	Yes
	Finding	Required Rectification(s)	Non compliances rectified
	<p>RPL</p> <p>CHC33015 Certificate III in Individual Support</p> <p>Provide evidence that there is an RPL process in place that is suitably rigorous to determine competency (or not) and is supportive.</p>	<p>Amended trainer matrix to reflect a student RPL matrix to ensure evidence of currency. Have added assessment instrument to identify assessment processes undertaken to address gaps and ensure supplementary evidence can be gathered.</p> <p>Updated RPL/RCC policy.</p> <p>Updated RPL/RCC application form</p>	Yes

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Finding	Required Rectification(s)	Non compliances rectified
<p>Validation</p> <p>Provide evidence that there is a rigorous validation process in place, that improves the quality of assessment.</p>	<p>Amended Assessment Validation Policy to ensure quality of assessment is identified through validation.</p> <p>Assessment Procedures and Strategies Validation Form.</p> <p>Assessment tool validation record .</p> <p>Post Assessment Unit Validation Form.</p> <p>Pre-Assessment Unit Validation Form.</p>	Yes
Improvement Opportunities	Required Rectification(s)	Non compliances rectified
<p>CHC33015 Certificate III in Individual Support</p> <p>It is suggested that the RTO provide greater opportunity for practice before summative assessment by integrating similar units of competency and practicing in a clinical/simulated clinical environment.</p>	<p>Amended Assessment Validation Policy to identify how units of competency are chosen using a risk management approach.</p> <p>Lesson plans rewritten with scenarios to simulate real work conditions and situations.</p> <p>Assessment methods varied to include simulations, role plays & real workplace documents.</p> <p>All reference to Smallprint books removed. Sourced a new resource: The Australian Carer: A Training Manual for Aged Care Workers by Helen Croft.</p>	Yes
Finding	Required Rectification(s)	Non compliances rectified
<p>The information about fees and charges at http://www.nrch.org.au/course/diploma-leisure-health-chc53415/ does not state what fees include, for example, whether learner resources are included in the course cost.</p>	<p>Fees now clearly identify all tuition, fees, student services & materials and outlines when and if additional fees may be required, ie excursions, on website, brochures & handbooks.</p>	Yes

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Provide evidence that students are fully informed before they enrol.		
Improvement Opportunities	Required Rectification(s)	Non compliances rectified
The Staff Handbook does not explain how students gain access to their records. It is suggested that this information is included in the Staff Handbook so that staff can advise students.	Staff Handbook and Student Handbook now clearly identifies the process for students to gain access to their records.	Yes
	Finding	Required Rectification(s)
		Non compliances rectified
The complaints procedure does not state that complaints and appeals are escalated to the VRQA, only that the VRQA and other agencies (e.g. Consumer Affairs Victoria) could assist with dispute resolution. Provide evidence that complaints and appeals are escalated to the VRQA.	Complaints Policy clearly identifies complaints and appeals are escalated to the VRQA	Yes
	Finding	Required Rectification(s)
		Non compliances rectified
Certificate III in Individual Support Certificate III in Individual Support Revise the program so that there is sufficient opportunity for students to learn about the workplace context in which they would be working and so that students can practice and consolidate skills and knowledge before summative assessment.	Refer AQTF 1.2.	Yes
	Finding	Required Rectification(s)
		Non compliances rectified
CHC43115 Certificate IV in Disability CHC53415 Diploma of Leisure and Health Refer AQTF 1.2.	Refer AQTF 1.2.	Yes