

Victorian Registration & Qualifications Authority
AQTF 12 month post registration Audit

RTO: Numurkah Community Learning Centre

Audit Date: 23, 24 February 2010

DRAFT AQTF 2007 AUDIT REPORT

RTO DETAILS			
RTO Name	Numurkah Community Learning Centre		NTIS Number 6477
Address	43 Melville St Numurkah VIC 3636		
	Website		
Registration Contact	Debbie Fowler		
Phone Number	5862 2249	E-mail	nclc@bigpond.com.au
Student Numbers	9 in 2010		
AUDIT TEAM			
Auditor	Steve Burns		
REGISTERING BODY DETAILS			
Contact Person	Jerzy Gill		
Phone Number	9651 3226	E-mail	gill.jerzy.j@edumail.vic.gov.au
AUDIT DETAILS			
Type of Audit	Re-registration		
Standards audited	1,2,3		
Conditions audited	6		
Audit Date/s	23, 24 February, 2010		
FOCUS OF AUDIT			
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE			
NTIS Code	Qualification/Unit of Competence/Accredited Course (as per NTIS)		Delivery Site
21773VIC	Certificate III in General Education for Adults		Numurkah

INTERVIEWEE/S (Staff -name and position; employer name and position ; students (by program, do not list by name))	
Ms Debbie Fowler	Director
Ms Janine Gittens	Administration officer/book-keeper
MS Gabrielle Cameron	CGEA trainer

RTO: Numurkah Community Learning Centre

AQTF 2007 AUDIT REPORT – This report remains draft until the VRQA has completed its review.

Standard 1: The RTO provides quality training and assessment across all of its operations		
Audit conclusion	Result	
The RTO is non-compliant with this Standard.	Compliant	
1.3 Facilities, equipment, staffing, learning and assessment resources	Non-compliant	✓
The RTO is not compliant with this element of the standard. Although facilities, equipment and staff are consistent with curriculum document requirements, the RTO does not have training and assessment materials prepared for all units identified in the Training and Assessment strategies for qualifications on its scope of registration. Recommendations in relation to assessment materials are detailed in element 1.5 and are not repeated here. In relation to training materials, the current trainer has a sound approach to her role and is developing a new set of resources for CGEA delivery, however the RTO is required to have learning materials for all units specified in the training and assessment strategies of the qualifications on their scope of registration and this requirement is not being met. Recommendation: It is recommended that the RTO develop assessment tools for all units specified in the training and assessment strategies of the qualifications on its scope of registration.	Not audited	
1.5 Assessment		
The RTO is not compliant with this element of the standard because it does not have assessment materials in place for all units specified in the training and assessment strategies of the qualifications on its scope of registration. Recommendations: It is recommended that the RTO develop assessment tools for all units specified in the training and assessment strategies of the qualifications on their scope of registration.		
Opportunities for Improvement		
1.2 Training and Assessment strategies		
The RTO has a Training and Assessment Strategy but it currently lacks detail in relation to assessment validation, infrastructure & essential equipment/resources required for delivery and how industry stakeholders have been engaged in the development of the strategy. Aspects of these three elements are referenced in the strategy, but the strategy would be enhanced by having further information included. <i>It is suggested that the RTO revise current Training and Assessment strategies by adding specific sections on assessment validation, infrastructure & essential equipment/resources required for delivery and how industry stakeholders have been engaged in the development of the strategy.</i>		

Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients		
Audit conclusion	Result	
The RTO is non-compliant with this Standard.	Compliant	
2.1 Continuous improvement of client services	Non-compliant	✓
The RTO is non compliant with this element of the standard because it is not collecting, analysing and acting on data relevant to the provision of client services. Aspects of	Not audited	

RTO: Numurkah Community Learning Centre

Continuous Improvement policy and procedures that have not yet been implemented may address this finding. Clients include students, but also include broader stakeholder groups (such as parents, school teachers and administrators, job placement agencies and potential employers).

Recommendation:

It is recommended that the RTO develop and/or implement Continuous Improvement processes that ensure the collection, analysis and action on data related to client services.

Opportunities for Improvement

2.5 Student access to their records

The RTO is compliant with this element of the standard. Although the RTO has a clearly stated commitment to providing students with access to their records, this information is not conveyed to the students in the Privacy section (3.15) of the Student Handbook, so it is possible that students are not aware of this right.

It is suggested that the RTO revise the Student handbook to include information on students right to access their records

2.6 Complaints and appeals:

The RTO is compliant with this element of the standard. The RTO Grievance policy and procedure governs the handling of complaints and appeals. The policy includes reference to “the complaint or appeal committee” but there is no explanation of how such a committee is to be convened or the extent of its authority or responsibility. There is also reference to “an independent person or panel” hearing appeals there is no explanation of how this would be managed, or who decides whether it should be a person or panel, or who determines independence. There is no specific reference to academic (assessment) appeals, so it is unclear whether references to appeals in the policy refer to academic appeals or appeals against previous decisions in the complaint-resolution process. Given the community-based, client-focussed nature of the organisation, it is no surprise that no complaints have been received; however the current policy – while clear in its general intent – could be improved by having some of these potentially ambiguous or contentious points clarified.

It is suggested that the RTO review the Grievance policy and procedure and include specific information on:

- *complaint or appeal committee the make-up (if it is to exist)*
- *when and how an independent person or panel is to be convened,*
- *how assessment appeals are handled (which could be through the same process as complaints)*

Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates

Audit conclusion	Result	
The RTO is non-compliant with this Standard.	Compliant	
3.1 Continuous Improvement of management of operations	Non-compliant	✓
The RTO is not compliant with this element of the standard because:	Not audited	
<ul style="list-style-type: none"> • it has not been collecting, analysing and acting upon Continuous Improvement data relating to the management of operations (although changes to systems and some policies & procedures have been made, there is ad-hoc implementation rather than an integrated system which is understood and implemented by all staff) • it has not been collecting continuous improvement data relating to the AQTF conditions of registration (e.g. internal audit and risk management tool is against AQTF Standards only. Failure to check 		

RTO: Numurkah Community Learning Centre

- certificate templates – Condition 6 – has resulted in a non-compliance in the current audit)
- it has not implemented or complied with various of its current policies and procedures (e.g., Policy development is meant to be managed through a Policy Development Policy (latest revision dated 02-06-09) which requires that a formal sub-committee of the Committee of Management be responsible for consultation, drafting and presenting new or revised policies to the Committee. Committee of Management meeting minutes for 2009 were reviewed and there are no references to policy development, despite policies having been reviewed or developed during this period. Many COM meetings lasted only 30 minutes or less.
 - the current set of policies lack a coherent overall structure and although they have been revised at the individual level, they include some which are overlapping (e.g. two different Privacy policies, multiple policies relating to Continuous Improvement, Quality Assurance, Internal Audit, Risk Management, student surveys). These policies appear to have been written by different authors at different times yet all are within the current policy & procedure manual. This provides poor guidance to staff and may explain why some policies and procedures have not been implemented.

Recommendations:

It is recommended that the RTO:

- implement consistent procedures to collect, analyse and act on data relevant to the management of operations
- include the AQTF conditions of registration within continuous improvement systems
- either implement the current Policy Development policy or consult with the Committee of Management to develop and implement a more appropriate system
- develop an overall structure for organisational policies and procedures, then review all current policies and procedures and make changes (revisions, deletions) to ensure that they are appropriate to the new structure.

Opportunities for Improvement

3.1 Continuous Improvement of management of operations:

The language of some of the RTO policies and procedures refers to “workers”, “case workers” and “Service users”, suggesting that the policies and procedures have been adapted from a Community Services agency, rather than an RTO. (e.g. see Confidentiality Policy which includes refer to Department of Human Services, rather than VRQA or Skills Victoria or Education Department)

It may be more appropriate to use terms such as “student”, “tutor”, “assessor”, etc.

It is suggested that the RTO revise the language of its policies and procedures, to better reflect the context of an RTO.

3.2 Partnership agreements

The RTO is compliant with this element of the standard. Although the RTO does not have any partnership agreements (where the RTO is the lead party and delivery relates to qualifications on the RTO’s scope of registration) in place at the moment, it has MOU’s relating to delivery of the Certificate III in Children’s Services for Cobram Community House and other contractual arrangements (e.g. leasing premises from the Moira Shire or office equipment from various suppliers). It may be administratively useful to monitor all agreements or contracts through a register or similar mechanism.

It is suggested that the RTO set up a Register of Agreements.

3.3 Student Records:

The Learner Survey Collection policy & procedure includes a requirement that the RTO retain hard copies of completed surveys for 30 years. While student records are required to be retained for 30 years, this can be in electronic format, rather than hard copy and this AQTF requirement does not extend to student surveys. The RTO may find it more efficient to scan student surveys than retain hard copies, and,

RTO: Numurkah Community Learning Centre

in any case, the current self-imposed requirement to retain student surveys for 30 years is onerous and not required by the AQTF.
It is suggested that the RTO scan student surveys and retain them electronically.

Condition 6 – Certification And Issuing Of Qualifications And Statements Of Attainment

Audit conclusion	Result	
<p>The RTO is not compliant with this condition of registration. The RTO qualifications and Statements of Attainment were examined against the requirements of the AQF Implementation handbook (V4, 2007) and both were found to be compliant, following rectification of matters identified at audit. The RTO has in place a policy & procedure to ensure that only students who are eligible receive such certificates. The RTO is not compliant with this condition of registration because it does not have a system in place to ensure that certificates remain compliant with the AQF implementation handbook. An annual check, for instance, as part of an internal audit, would be sufficient to detect any changes to AQF requirements, as they tend to change relatively infrequently.</p> <p>Recommendations: It is recommended that the RTO develop and implement a system to check certificates against the current version of the AQF Implementation handbook, at least annually.</p>	Compliant	
	Non-compliant	✓
	Not audited	