

AQTF Essential Conditions and Standards for Continuing Registration AUDIT REPORT

RTO: South West Training Services Pty Ltd

Audit Date: 17/18 October 2013

| RTO DETAILS | | | |
|--------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------|
| RTO Name | South West Training Services Pty Ltd | NTIS Number | 21403 |
| Address | 147-155 Hogan's Road, Hoppers Crossing VIC 2029 | | |
| | Website | www.swts.org.au | |
| Registration Contact | Mr Jurgen Weisner, Director | | |
| Phone Number | 03 9748 9233 | Email | jweisner@swcc.org.au |
| Student Numbers | Enrolments 2012 – 479 students Enrolments 2013 – 449 students | | |
| AUDIT TEAM | | | |
| Lead Auditor | John Molenaar | Auditor/s | |
| Technical Advisor/s | | Observer/s | Tracey Griffiths, Training Manager Smitha Gustav, Quality Manager |
| REGISTERING BODY DETAILS | | | |
| Contact Person | Emma Hickingbotham | | |
| Phone Number | 9032 1562 | Email | vet.audit@edumail.vic.gov.au |
| AUDIT DETAILS | | | |
| Type of Audit | Post-initial/Extension to scope/ Renewal /Monitoring/Complaint/Strategic | | |
| Conditions audited | 1, 3, 4, 6, 7, 8, 9. <i>(Conditions 2 & 5 are not required to be audited, see page 3 below)</i> | | |
| 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 |
| Audit Date/s | 17 and 18 October 2013 | | |
| Other audit notes | <p>South West Training Services (SWTS) was established as a partner of the South West Christian Church and is part of a consortium of organisations including the following community based, non-profit organisations:</p> <ul style="list-style-type: none"> • South West Christian Church • South West Community Services • South West Child Care • South West Bible College • Lighthouse Stores <p>South West Training Services aims to help people pursue a range of career options through the provision of quality vocational education and training and offers people from all walks of life a range of career options through the provision of quality vocational education and training, both in the workplace and at the training centre.</p> <p>Training is delivered with Victorian and Commonwealth Government funding.</p> | | |

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| | <p>South West Training Services was established in 2003 and in 2011 was successful in achieving a Skills Victoria Agreement to offer government funded training to its clients.</p> <p>2011 represented a significant challenge for the organisation and a review of all services was initiated and sustainable structures established to ensure quality training and assessment services most relevant to the client group. This included a review of staff arrangements to ensure that adequate and sufficiently experienced support staff were available to support the increased number of students.</p> <p>Training is offered to learners at its training centre in Hoppers Crossing and also at specific worksites of learners. Online training modes are also offered.</p> <p>South West Training Services has established a committed management team and employs dedicated trainers/assessors to deliver sound training services to the local community and support the development of skills for local employment. The team is very receptive to identifying and implementing areas for improvement.</p> <p>Sound policies and procedures have been developed, though these are at various stages of implementation.</p> | | |
| ACCOMPANYING REPORTS | | Yes | No |
| VRQA Guidelines Audit Report | √ | | |
| VRQA Guidelines – Re-registration Checklist | √ | | |

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| FOCUS OF AUDIT | | |
|----------------------------------------------------|---------------------------------------------------------------------|--------------------------|
| QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE | | |
| NTIS Code | Qualification/Unit of Competence/Accredited Course (as per NTIS) | Delivery Site |
| CHC50908 | Diploma of Children's Services (Early childhood education and care) | SWTS Hoppers Crossing |
| CHC30212 | Certificate III in Aged Care | SWTS Hoppers Crossing |
| HLTCPR211A | Perform CPR | SWTS Hoppers Crossing |
| HLTFA211A | Provide basic emergency life support | SWTS Hoppers Crossing |
| HLTA311A | Apply First Aid | SWTS Hoppers Crossing |

| INTERVIEWEE/S: Staff name and position; employer name and position; students by program (do not list by name) | |
|---------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| Maria Pleitez | Trainer/assessor Certificate III in Aged Care |
| Tracey Griffiths | Trainer/assessor Diploma of Children's Services (Early childhood education and care) |
| Student | Certificate III in Aged Care |
| Student | Certificate III in Aged Care |
| Student | Diploma of Children's Services (Early childhood education and care) |
| Student | Diploma of Children's Services (Early childhood education and care) |

| PERMANENT DELIVERY SITES: |
|---------------------------------------------------------------------------------------------------------------------------------------------------|
| Do the RTO's permanent delivery sites match the information provided by the VRQA? |
| <input checked="" type="checkbox"/> Yes, no further information required. |
| <input type="checkbox"/> No, please provided amended details below and seek evidence of relevant Class 9B certificates for the additional site/s: |
| Only one site |
| Sighted Occupancy Permit prepared by Brian Sherwell, date of issue 11/02/2005, BCA Class 9B, City of |

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Wyndham for ground floor and first floor, use as an assembly hall.
Number of people to be accommodated - ground floor 100 and first floor 50 people.
Included an Essential Maintenance Schedule.

AUDIT SUMMARY

| Conditions of Registration | | Compliant | Non-compliant | Not audited |
|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------------|-------------|
| 1 | Governance 1.1 CEO must ensure the RTO complies with relevant conditions, standards and guidelines 1.2 Fit & Proper Persons Tests 1.3 Input of Trainers and Assessors in senior management decision making | ✓ | | |
| 2 | Interactions with the Registering Body | | | ✓ |
| 3 | Compliance with Legislation | | ✓ | |
| 4 | Insurance | ✓ | | |
| 5 | Financial Management | | | ✓ |
| 6 | Certification & Issuing of Qualifications & Statements of Attainment | | ✓ | |
| 7 | Recognition of Qualifications Issued by other RTOs | | ✓ | |
| 8 | Accuracy and Integrity of Marketing | | ✓ | |
| 9 | Transition to Training Packages/Expiry of Accredited Courses | ✓ | | |

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Summary of non-compliances – Conditions of Registration

Conditions 2 and 5 were not audited.

South West Training Services Pty Ltd was identified as compliant with Conditions 1, 4 and 9.

Condition 3

SWTF had identified legislation relevant to its business operations in the Student Handbook, Staff Handbook and Governance Structure 2013 – Legislation Policy. The information about relevant legislation was inconsistent in each and did not identify the same legislation. The Governance Structure 2013 – Legislation Policy had not identified the Education Training and Reform Act 2006 and amendments 2010, the AQTF or the VRQA Guidelines for VET providers. Specific industry legislation related to the industry areas on scope was not identified.

The Governance Structure 2013 – Legislation Policy identified that four comprehensive internal audits were to be conducted annually – AQTF, Guidelines, Victorian Training Guarantee, however the Quality Calendar for 2013 identified that an internal audit was to be conducted in March 2013 and December 2013. These had not been conducted. A strategy for the periodic review of compliance with all identified legislation (other than the AQTF and VRQA Guidelines) had not been identified or conducted.

Condition 6

SWTS had issued certificates to students completing qualifications that met the requirements of the AQF Handbook, however a unique identifier had not been included and certificates had been issued for completion of individual units rather than the full qualification. The Statements of Attainment issued were not clearly identified as a Statement of Attainment and did not identify that units listed were in partial completion of a qualification.

Condition 7

SWTS had identified that it would recognise qualifications and Statements of Attainment issued by other RTOs and at the pre-training review requested information indication if the student had been issued with any other qualifications or Statements of Attainment. A procedure for national recognition had not been identified in student information, to provide advice on what was required for national recognition.

Condition 8

SWTS had developed and implemented a Marketing Policy and Procedures however the use of the NRT logo had been inappropriately included in newspaper advertising of non-accredited short courses and qualification codes had not been used to identify the qualifications in the advertisements as nationally accredited qualifications. A Marketing Plan had been developed however this was only partially completed.

Recommendations

Condition 3

It is recommended that South West Training Services Pty Ltd:

- Review documentation identifying relevant legislation, including the Governance Structure 2013 – Legislation Policy, Student Handbook and Staff Handbook and ensure that they consistently identify legislation related to responsibilities for implementation, including the ETRA 2006 and Amendment 2010,

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VRQA Guidelines and AQTF.

- Review its procedures for the conduct of internal audits and ensure that they include a strategy for the periodic review of compliance with all identified legislation.
- Review the Governance Structure 2013 – Legislation Policy and the Quality Calendar of scheduled audits and ensure that the frequency of proposed internal audits is consistent.
- Conduct internal audits as scheduled.

Condition 6

It is recommended that South West Training Services Pty Ltd:

- Review the format of the Certificate and Statement of Attainment to ensure that they meet the requirements of the AQF Handbook.
- Include a unique identifier on all Certificates.

Condition 7

It is recommended that South West Training Services Pty Ltd include in student information, details about national recognition and procedures for accessing national recognition of units already achieved.

Condition 8

It is recommended that South West Training Services Pty Ltd:

- Review its procedures for the quality assurance of marketing materials before publication, to ensure that they meet all the quality requirements.
- Ensure that the nationally recognised training logo is only used in marketing in compliance with the Guidelines for the Use of the NRT Logo.
- Review the contents of the Marketing Plan and ensure that these are appropriate to RTO operations and are completed for each year identified in the plan.

Strengths

Opportunities for Improvement

Condition 3

South West Training Services Pty Ltd would benefit from a review of the procedures for the review of legislation and ensure that they are consistent with the scope and scale of the organisation and the regime of audits that are required to be conducted e.g. SVTS, AQTF, VRQA Guidelines for VET Providers and other legislation.

Condition 6

South West Training Services Pty Ltd would benefit from including the student number on all final statement of results issued.

Condition 8

South West Training Services Pty Ltd would benefit from:

- Developing a Marketing Materials Checklist to be completed for all marketing materials prior to publication, for approval by the Director and Quality Manager (as identified in the Marketing Policy and Procedures) and maintained with a sample of the marketing materials in the folder/register.

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- Developing a Marketing Materials Checklist to be completed for all marketing materials, identifying checked by whom and signed and dated.

Condition 9

South West Training Services Pty Ltd had identified and implemented procedures for the transition from superseded Training Packages and related qualifications and would benefit from:

- Including in the procedures that a student's special circumstances would be taken into account if a student's enrolment was to be transitioned to the new qualification, to ensure that no students were disadvantaged by a transition.
- Developing a transition register to identify each course on scope, identifying transition dates and the transition arrangements for each course.

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| Standard 1: The RTO provides quality training and assessment across all of its operations | | | | | | | | | | | | | | |
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| Audit conclusion | Result | ✓ | | | | | | | | | | | | |
| <p>Standard 1.1 SWTS had developed and implemented procedures for the systematic collection and analysis of feedback from stakeholders and for identifying and implementing opportunities for improvement to learning and assessment however a strategy for the periodic review of the effectiveness of actions implemented had not been identified or implemented.</p> <p>Recommendation: <u>It is recommended that South West Training Services Pty Ltd</u> identify and implement strategies for the periodic review of the effectiveness of continuous improvement actions implemented to ensure that continuous improvement actions achieve the intended outcomes.</p> <p>Standard 1.2 CHC50908 Diploma of Children’s Services (Early childhood education and care) A review of the learning and assessment arrangements identified:</p> <ul style="list-style-type: none"> That the Certificate III in Children’s Services would need to be completed to enrol and it was also necessary to have a current Senior First Aid Certificate. These were not Training Package requirements as the Training Package identified a number of Certificate III units for which competency must be demonstrated prior to entry to the Diploma qualification. This requirement should be identified as “it is preferred that”. That preferred entry requirements did not include required level LLN skills, computer literacy requirements and access to a computer. Delivery modes were flexible delivery and correspondence. This did not identify the requirement that learners needed to be with the trainer for 30 minutes as an introduction to each unit, requirement for self-paced learning through workbooks and the requirement for 300 hours of work placement. Validation processes identified 6 monthly reviews through consultative committee meetings. These had not been implemented. That a requirement for 300 hours of work placement had not been identified. The target group was identified as students currently working in or wanting to work in the childcare industry. The course delivery and assessment structure included the completion of tasks in a workplace. This course was not appropriate for new entrants to the industry or people not currently working in the industry. | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;">Compliant</td> <td style="padding: 2px;"></td> </tr> <tr> <td style="padding: 2px;">Non-compliant</td> <td style="padding: 2px; text-align: center;">✓</td> </tr> <tr> <td style="padding: 2px;">Not audited</td> <td style="padding: 2px;"></td> </tr> </table> | Compliant | | Non-compliant | ✓ | Not audited | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;"></td> <td style="padding: 2px; text-align: center;">✓</td> </tr> <tr> <td style="padding: 2px;"></td> <td style="padding: 2px;"></td> </tr> <tr> <td style="padding: 2px;"></td> <td style="padding: 2px;"></td> </tr> </table> | | ✓ | | | | |
| Compliant | | | | | | | | | | | | | | |
| Non-compliant | ✓ | | | | | | | | | | | | | |
| Not audited | | | | | | | | | | | | | | |
| | ✓ | | | | | | | | | | | | | |
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Recommendation:

It is recommended that South West Training Services Pty Ltd review and modify its learning and assessment arrangements to:

- Accurately identify entry requirements consistent with the Training Package.
- Identify SWTS preferred entry requirements including the Certificate III in Children's Services, having a current Senior First Aid Certificate, required level of LLN skills, computer literacy requirements and access to a computer.
- Accurately identify the requirement that learners needed to be with the trainer for 30 minutes as an introduction to each unit, requirement for self-paced learning through workbooks and the requirement for 300 hours of work placement.
- Implement the identified validation processes - 6 monthly reviews through consultative committee meetings.
- The requirement for 300 hours of work placement.
- Accurately identify the target group as students currently working in the childcare industry, to be consistent with the course delivery and assessment structure and requirement for completion of tasks in a workplace.

CHC30212 Certificate III in Aged Care

Training and Assessment Strategy identified units. The unit CHCHC311B was identified as a core unit, when this should have been identified as an elective unit.

Preferred entry requirements were not identified however learners were required to have a level of LLN skills to enable them to read resources and complete written activities and tasks. Evidence of industry consultation in the development of the Training and Assessment Strategy was not provided.

The Training and Assessment Strategy identified trainer requirements which included that the trainer/assessor was to have the qualification Certificate III in Aged Care and Community Services. The identified trainer did not have this qualification.

Recommendation:

It is recommended that South West Training Services Pty Ltd:

- Review its learning and assessment arrangements and accurately identify the core and elective units to be developed.
- Include preferred entry requirements to identify required level of LLN skills.
- Provide evidence of industry input to the development of the learning and assessment strategy
- Review the trainer/assessor qualification requirements and ensure that these are implemented.

Standard 1.3

HC50908 Diploma of Children's Services (Early childhood education and care)

Assessment resources were not complete. Assessment coversheets for each unit did not accurately identify the assessments satisfactorily completed.

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Recommendation:

It is recommended that South West Training Services Pty Ltd review the structure of student assessment records and ensure that unit assessment coversheet accurately identifies the assessment tasks to be completed.

CHC30212 Certificate III in Aged Care

Learner resources included SmallPrint Learner Guides and Suvee Learner Guides. No evidence was available that the learning resources had been reviewed or customised for the target group or that the resources met all the unit requirements. The Learner Guides included assessment tasks, however these were not consistent with the actual assessment tasks conducted for units.

Recommendation:

It is recommended that South West Training Services Pty Ltd

- Provide evidence of the review and customisation of learning resources to ensure that they are suitable for the identified target group.
- Develop information for learners for each unit to clearly identify the assessment tasks to be completed, including those from learner guides and additional assessment tasks.

Standard 1.4

Trainer/assessor files had not been consistently maintained. Resumes and position descriptions had not been signed and dated by the trainer/assessor.

The Learning and Assessment Strategies identified that trainers were required to hold the qualification that they were delivering, however trainers had been appointed who did not hold the qualification.

Copies of qualifications on file had not been consistently certified as copies of the originals.

Recruitment and interview information on file was not fully completed.

Recommendation:

It is recommended that South West Training Services Pty Ltd:

- Review the trainer/assessor qualification requirements, ensure that these are accurately identified in the Training and Assessment Strategies and ensure that these are implemented.
- Review procedures for maintaining trainer/assessor files and ensure that they include all required information and that documentation has been appropriately endorsed and dated.
- Ensure that recruitment procedures have been implemented and documentation has been fully completed.

Standard 1.5

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CHC50908 Diploma of Children's Services (Early childhood education and care)

For the units sampled the assessment evidence did not include direct observation assessments, conducted over a range of conditions over a range of situations, as required by the unit assessment requirements. Assessment coversheets did not identify the specific assessments completed and did not provide evidence that all unit assessment requirements had been completed.

Master files of assessments to be completed, for each group of learners were not available.

Observations were to be made through workplace visits, however not all students were visited in the workplace for these observations to be made by the assessor.

Student files had not been consistently maintained to include all completed assessment requirements and assessment coversheets had not been fully completed to confirm that all assessment requirements had been completed, including endorsement signatures of the assessor and the student.

Recommendation:

It is recommended that South West Training Services Pty Ltd:

- Review the assessment requirements for all units and modify assessment instruments and assessment tools to record direct observation assessments, conducted over a range of conditions over a range of situations, as required by the unit assessment requirements.
- Modify assessment coversheets to accurately identify the required assessments for each unit.
- Review workplace observation assessment requirements and ensure that, where required, assessors conduct observation assessments in the student's workplace.
- Maintain master files of assessment tasks to be completed for each unit in the qualification, for each group of students completing the qualification.
- Review procedures for maintaining student files and ensure that all student files are consistently maintained and include all required completed assessments and that all documentation had been thoroughly completed.

CHC30212 Certificate III in Aged Care

SmallPrint learner resource identified a third party report. This was not used as assessment evidence. At audit it was identified that other resource were used. Information to learners about the assessment requirements for units was not available to provide clear information to learners about the required assessment tasks for each unit.

Student files included unit assessment coversheets however these were not accurate and did not identify all assessments competently completed yet identified as unit being completed.

Accurate mapping of unit content to assessment tasks was not provided to confirm that all areas were assessed.

Workplace diary was completed during work placement. The criteria were the performance criteria of the units. Specific observations in the workplace were not identified.

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Student files sampled had not been consistently maintained. Coversheets did not identify all the required assessments to be completed.

Recommendation:

It is recommended that South West Training Services Pty Ltd:

- Review the assessment requirements for each unit and provide informational materials for students that clearly identify the required assessments tasks that need to be completed for each unit.
- Develop a mapping of unit content to assessments to confirm that all unit assessment requirements have been incorporated in assessment tasks.
- Review the observation criteria in the Learner's Workplace Diary and ensure that they clearly identify the specific tasks to be completed in the work place.
- Maintain master files of assessment tasks to be completed for each unit in the qualification, for each group of students completing the qualification.
- Review procedures for maintaining student files and ensure that all student files are consistently maintained and include all required completed assessments and that all documentation has been thoroughly completed.

HLTCPR211A Perform CPR

HLFA211A Provide basic emergency life support

HLTA311A Apply first Aid.

A Master File of assessments for each unit or for the three units collectively were not available to identify.

A clear and consistent guide for students and trainers, to identify the required assessments to be completed was not available. Assessment requirements identified in the Training and Assessment Strategy, Unit Mapping Tools and completed assessments maintained on student files were inconsistent.

Student files were not consistently maintained and did not include all the required completed assessments.

Observation assessments did not identify the specific tasks that the student was required to demonstrate.

Not all completed assessments maintained on student files, provided evidence that they had been marked by the assessor.

Recommendation:

It is recommended that South West Training Services Pty Ltd:

- Develop and maintain a master set assessments for each unit or for the three units collectively, to identify the required assessments for each unit.
- Develop and provide a clear and consistent guide for students and trainers, to identify the required assessments to be completed for each unit.

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- Review required assessment tasks for each unit and modify documentation to ensure that required assessment tasks identified in the Training and Assessment Strategy, Unit Mapping Tools and guide for students and trainers, are consistent.
- Review procedures for maintaining student files and review all student files to ensure that files include completed all required and completed assessment tasks, marked by the assessor and endorsed by the assessor and student.
- Review and modify observation assessments and related checklists to ensure that they identify the specific tasks that the student was required to demonstrate.

Strengths

Opportunities for Improvement

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| Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients | | |
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| Audit conclusion | Result | ✓ |
| <p>South West Training Services Pty Ltd was identified as compliant with the requirements of Standards 2.1, 2.3, 2.5 and 2.6.</p> | Compliant | ✓ |
| <p>Standard 2.2 No specific strategies were identified to obtain feedback from clients on the effectiveness of student services available and accessed, to identify areas for improvement to services. Recommendation: <u>It is recommended that South West Training Services Pty Ltd</u> identify and implement a strategy for obtaining feedback on the effectiveness of client services provided.</p> | Non-compliant | ✓ |
| <p>Standard 2.3 South West Training Services Pty Ltd had identified a number of preferred entry requirements for each qualification which were not included in the Training and Assessment Strategies and pre-enrolment information. These included the required level of LLN skills, computer literacy requirements, requirement for access to a computer, and for some qualifications, the requirement to be currently employed in the industry. Recommendation It is recommended that South West Training Services Pty Ltd review the preferred entry requirements for each qualification and unit on scope and ensure that pre enrolment information clearly identified these requirements for qualification and unit to be delivered and assessed..</p> | Not audited | |
| <p>Standard 2.4 Employers were involved in the review of training and assessment strategies through industry consultation, to provide feedback on the intended learning and assessment strategies to be implemented, however evidence of the consultation, feedback provided by employers and how this impacted on the development of the Training and Assessment Strategies was not available. Employers supported learners through work placement for a number of qualifications on scope. Information materials had been developed to inform employers of their responsibilities while students were on placement and the support to be provided for learners. These were included in the Student Workplace Diaries – Practical Placement Guide for Students and Supervisors, and the Practical Placement Agreement. However the practical placement agreement did not address all the requirements of the Amended Guidelines for Registered Training Organisations and Employers in relation to students of technical and further education undertaking Practical Placement (the amended Practical Placement Guidelines</p> | | |

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<http://www.education.vic.gov.au/training/providers/rto/Pages/workplacelearn.aspx>), made under the *Education and Training Reform Act 2006* (ETRA) and replacing the previous practical placement guidelines issued under ETRA on 6 September 2010. The Agreement did not include information about Workcover provisions or how to claim under workcover.

Recommendation:

It is recommended that South West Training Services Pty Ltd reviews the Practical Placement Agreement ensure that it includes all the requirements as identified in the Amended Guidelines for Registered Training Organisations and Employers in relation to students of technical and further education undertaking Practical Placement, made under the *Education and Training Reform Act 2006* (ETRA) and replacing the previous practical placement guidelines issued under ETRA on 6 September 2010.

Standard 2.7

SWTS had identified and implemented a complaints and appeals management procedure which included an informal procedure and formal procedure and identified an external, independent party for addressing unresolved complaints and appeals. A clear procedure for appealing a complaints outcome decision had not been identified to provide information to the learner that they were able to appeal a complaints outcome decision. The procedures and student information referred to "grievance" and "complaint" interchangeably, without providing a clear definition of each.

Recommendation:

It is recommended that South West Training Services Pty Ltd:

- Review and modify its Complaints and Appeals Management Procedures and include a clear procedure for appealing a complaints outcome decision and review the use of the terminology of "grievance" and "complaint" and ensure consistent use in the policy and procedures, student information and staff information.
- Review and modify student and staff information, to ensure that the information is consistent with the modified policy and procedures.

Strengths

Opportunities for Improvement

Standard 2.2

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South West Training Services Pty Ltd would benefit from implementing a strategy that obtains feedback from clients on:

- The student support services that they have accessed.
- The effectiveness of these services in supporting their needs.
- Areas in which student support services may be improved.
- Identifying other areas in which support may be provided.

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| Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates | | |
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| Audit conclusion | Result | ✓ |
| <p>South West Training Services Pty Ltd was identified as compliant with the requirements of Standards 3.3 and 3.4.</p> <p>Standard 3.1 SWTS had provide pre-enrolment information to learners, to confirm the services to be provided which were consolidated through an agreed Training Plan and the completion of the Enrolment Form and signing of the Student Declaration. The Enrolment Form did not accurately identify the qualification or unit that the student was to be enrolled in by including the accurate unit title or the qualification or unit code, to confirm the specific course that the student was enrolled in. Policies and procedures for the implementation of quality procedures to ensure that students received the services detailed in the Training Plan and Enrolment Form had been developed, however, as identified in this audit report, had not been consistently implemented.</p> <p>Recommendation: <u>It is recommended that South West Training Services Pty Ltd:</u></p> <ul style="list-style-type: none"> • Review the Enrolment Form and ensure that it accurately identifies the course the student is to be enrolled in and includes the qualification and unit codes and titles. • Review procedures for the implementation of policies and procedures and ensure that they are consistently implemented across the organisation to ensure that students receive the services agreed to. • Address the non-compliances identified in the re-registration audit report. <p>Standard 3.2 SWTS had developed policies and procedures for quality and compliance. These included the conduct of an annual self-assessment of compliance with AQTF Standards and Conditions and VRQA Guidelines for VET providers. An annual Quality Calendar 2013 had been developed and had identified that a self-assessment was to be conducted in March 2013 and a self-assessment template was to be completed. The identified procedures and schedule had not been implemented. A review of compliance with other legislation relevant to the SWTS operations had not been identified to ensure currency and compliance. Though a systematic and continuous improvement approach to the management of operations had been identified, this had not been implemented.</p> <p>Recommendation: <u>It is recommended that South West Training Services Pty Ltd:</u></p> <ul style="list-style-type: none"> • Review its Quality and Compliance Procedures and ensure that they are consistent with the proposed implementation procedures for the | <p>Compliant</p> <hr/> <p>Non-compliant</p> <hr/> <p>Not audited</p> | <p>✓</p> <hr/> <p>✓</p> |



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| <p>conduct of self-assessment.</p> <ul style="list-style-type: none">• Implement the Quality and Compliance Procedures identified for self-assessment to ensure compliance with the AQTF Conditions and Standards and VRQA Guidelines, according to the timeline identified in the SWTS Quality Calendar 2013.• Identify and implement strategies for reviewing compliance with all legislation and regulations under which it is registered and relevant to the SWTS business operations. |
| Strengths |
| |
| Opportunities for Improvement |
| |