

VRQA Guidelines for VET Providers

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				
Guidelines audited	1.2.3, 1.3.3, 1.3.4, 1.4.1, 1.5	2.1, 2.2, 2.3	3.4	4.1, 4.2, 4.4	5.1
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</p>				

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

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<p>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.</p>

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AUDITOR DECLARATION

I have examined the application from the above named organisation against the *VRQA Guidelines for VET Providers* for the purpose of re-registration. It is my opinion that the organisation ~~meets~~ *does not meet* the requirements in the VRQA Guidelines for the training identified in their application.

Name of Auditor:John Molenaar.....



Signed:Date 23/10/2013

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AUDIT SUMMARY

Guideline 1: Governance, Probity and Compliance with Statutory Requirements		
Audit conclusion	Result	
<p>South West Training Services Pty Ltd was identified as compliant with Guidelines 1.4 and 1.5.</p> <p>Guideline 1.3.3 SWTS had implemented sound student data management systems, however the Enrolment Form completed by students identified qualification by title by not by qualification code. Units available for enrolment was identified by a short course title not a unit title and code. As the Enrolment Form formed part of the student agreement, an accurate identification of the qualification or the unit that students had requested enrolment for needed modification.</p> <p>Recommendation: <u>It is recommended that South West Training Services Pty Ltd</u> review the Enrolment Form and modify to include the actual qualification codes and titles and the unit codes and titles that the student is enrolled in.</p> <p>Standard 1.4 Trainer/assessor files had not been consistently maintained. Resumes and position descriptions had not been signed and dated by all trainers/assessors. Copies of qualifications on file had not been consistently certified as copies of the originals.</p> <p>Recommendation: <u>It is recommended that South West Training Services Pty Ltd</u> review procedures for maintaining trainer/assessor files and ensure that documentation has been appropriately endorsed and dated and that files they include all required information including:</p> <ul style="list-style-type: none"> • A trainer skills matrix – thoroughly completed to provide evidence of the currency of competence to deliver and assess each identified unit. • CV signed by the trainer/assessor (should be in most circumstances the original and not a copy) • Position description • Employment contract or agreement • Certified copies of qualifications held. 	<p>Compliant</p> <p>Non-compliant</p> <p>Not audited</p>	<p>✓</p> <p></p> <p>✓</p> <p></p>

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Strengths
Opportunities for Improvement
Guideline 1.3.3 Opportunity for improvement: Although the organisation is small and staff knew all the students, it would be beneficial to include in student access to records the necessity to provide evidence of identity.

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Guideline 2: Quality Assurance, Review and Evaluation Processes		
Audit conclusion	Result	✓
<p>Guideline 2.1.2 SWTS had conducted validation activities to review and validate student performance. A validation procedure had been identified and schedule of validation activities for each course had been implemented. A clear and consistent strategy for involving external people in validation had not been identified or implemented.</p> <p>Recommendation: <u>It is recommended that South West Training Services Pty Ltd</u> identify and implement a strategy for the consistent involvement of external parties in the validation of student performance, for each qualification on scope.</p> <p>Guideline 2.2 SWTS had identified a strategy for dealing with plagiarism which included a strategy for identifying where plagiarism may have occurred and preventative strategies. Information about how trainers/assessors may detect plagiarism was not identified and the procedures for dealing with a case of plagiarism were not identified. Consequences were identified. Student handbook informed students of the seriousness of plagiarism, however no information was provided on what could happen if they were identified as having plagiarised. The trainer/assessor guide did not identify their responsibilities for managing plagiarism. Consequence of plagiarism activity and the opportunities for re-submission of evidence were not consistent in the trainer/assessor handbook.</p> <p>Recommendation: <u>It is recommended that South West Training Services Pty Ltd:</u></p> <ul style="list-style-type: none"> • Review the Plagiarism Policy and Procedures for consistency and modify to include the SWTS strategy for identifying if plagiarism is suspected and the procedures to follow if plagiarism is detected. • Update Student Handbook to ensure that the information on plagiarism and cheating is consistent with the modified policy and procedure. • Update and review Trainer/assessor handbook to ensure that the information is consistent with modified policy and procedure. 	Compliant	
	Non-compliant	✓
	Not audited	
Strengths		
Opportunities for Improvement		

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Guideline 3: Student Enrolment Records and Certification		
Audit conclusion	Result	
<p>Guidelines 3.1, 3.2, 3.3 and 3.5 were not audited.</p> <p>Guideline 3.4 SWTS was identified as compliant with fees and charges and refund arrangements, in terms of protection of student fees however the information on fees identified on the website for each courses was not consistent with the fees in the brochure – January 2013.</p> <p>Recommendation: <u>It is recommended that South West Training Services Pty</u> update the website fee information to be consistent with the information on fees provided to students in the 2013 brochure.</p>	<p>Compliant</p> <p>Non-compliant</p> <p>Not audited</p>	<p>✓</p> <p></p> <p>✓</p> <p></p>
Strengths		
Opportunities for Improvement		

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Guideline 4: Student Learning Outcomes and Welfare Services		
Audit conclusion	Result	
Guideline 4.3 was not audited. South West Training Services Pty Ltd was identified as complaint with Guidelines 4.1, 4.2 and 4.4.	Compliant	✓
	Non-compliant	
	Not audited	
Strengths		
Opportunities for Improvement		

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Guideline 5: Teaching, Learning and Assessment		
Audit conclusion	Result	
<p>For the qualifications sampled:</p> <ul style="list-style-type: none"> evidence of industry consultation in the development of the Training and Assessment Strategy was not provided. Assessment resources were not complete. Assessment coversheets for each unit did not accurately identify the assessments satisfactorily completed. For the learner resources reviewed, no evidence was available that the learning resources had been reviewed or customised for the target group. The Learner Guides included assessment tasks, however these were not consistent with the actual assessment tasks conducted for units. Required assessment tasks were not consistently identified in the qualification documentation including Training and Assessment Strategies, mapping documentation and student information. Master Files of assessment tools for each unit assessed, for each group of learners were not available. For a number of units, the assessments did not meet 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. 	Compliant	
	Non-compliant	✓
	Not audited	
<p>Recommendation:</p> <p><u>It is recommended that South West Training Services Pty Ltd:</u></p> <ul style="list-style-type: none"> Provide evidence of industry input to the development of the learning and assessment strategy Review the structure of student assessment records and ensure that unit assessment coversheet accurately identifies the assessment tasks to be completed. 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. Develop and maintain master sets of assessment tools for each unit, for each group of students. Review the assessment requirements for all units and modify assessment instruments and assessment tools to ensure that they meet all the unit assessment requirements. (See AQTF re-registration Audit report Standard 1.5) 		

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Strengths
Opportunities for Improvement