

AQTF Re-registration-Audit**RTO: Duke Street Community House Association Inc****Audit Date: 19th November 2009**

RTO DETAILS			
RTO Name	Duke Street Community House Association Inc	NTIS Number	3779
Address	27 Duke Street Sunshine VIC 3020		
	Website	www.dscha.org.au	
Registration Contact	Bronwen Merrigan		
Phone Number	03 – 9311 9973	E-mail	bronsch@vicnet.net.au
Student Numbers	144		
AUDIT TEAM			
Lead Auditor	Sandra Surguy	Auditor/s	
Technical Advisor/s		Observer/s	
REGISTERING BODY DETAILS			
Contact Person	Jerzy Gill		
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AUDIT DETAILS			
Type of Audit	Renewal		
Standards audited	1, 2, 3		
Conditions audited	6		
Audit Date/s	19 th November 2009		
Other audit notes	This training provider delivers nationally recognised and non nationally recognised programs to a wide ranging target audience, nationally recognised programs are supported with ACFE funding.		
FOCUS OF AUDIT			
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE			
NTIS Code	Qualification/Unit of Competence/Accredited Course (as per NTIS)	Delivery Site	
ICA20105	Certificate II in Information Technology	Sunshine	
21933VIC	Certificate III in ESL (Access)	Sunshine	

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INTERVIEWEE/S (Staff -name and position; employer name and position ; students (by program, do not list by name)	
Bronwen Merrigan	Director
Dale Pobega	Trainer and Assessor
Jenny Meloury	Administrative Assistant

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AQTF 2007 AUDIT REPORT

Standard 1: The RTO provides quality training and assessment across all of its operations		
Audit conclusion	Result	•
The RTO is not complaint in Standard 1. Please also note Opportunities for Improvement section.	Compliant	
Element 1.1 Continuous improvement of training and assessment Processes related to stakeholder feedback are not formally detailed, information outlined verbally by RTO representatives:	Non-compliant	V
Course participants: Data is collected as part of written surveys/checklists one of which is internal and occurs at the end of each course, the other is completed annually on behalf of ACFE.	Not audited	
Staff: complete an annual survey; and feedback is also gained via a two yearly joint (RTO – staff member) review meeting. Industry/Employers: complete a written survey, though timeframe for this survey is not specified. In terms of data management, there is no formalised process for the collating, analysis, actioning, recording or reporting of stakeholder feedback. Stakeholder feedback is an important vehicle for identifying areas for improvement, of equal importance is how this data is managed by the RTO. Recommendations – It is recommended that: • clear and comprehensive stakeholder feedback mechanisms including key stakeholders, feedback methods, timeframes and data management to be detailed in the relevant policy/procedure, for example the Continuous Improvement policy/procedure. Element 1.2 Training and Assessment Strategies One qualification, ICA20105 Certificate II in Information Technology and one accredited course 21933VIC Certificate III in ESL (Access) sampled at audit. ICA20105 Certificate II in Information Technology A training and assessment strategy is in place, listed units of competency meet required packaging rules. Course duration is stipulated as 1.5 semesters and on querying this it was stated that this should be noted as ‘terms’. The course is offered in part time mode though this is not stated, neither is course hours or how these hours will be structured. Unit structure is not included. A delivery schedule is in place for the course as a whole; however an assessment schedule is not in place. Delivery and assessment mapping at element		

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and performance criteria level is not in place. The purpose of being able to articulate delivery and assessment at this level is two fold, firstly to ensure that all components of the unit of competency as detailed in the Training Package are being addressed in a training context (macro level), and secondly to ensure that training and learning materials, and assessment processes and instruments are developed in accordance with requirements (micro level). Industry consultation: There has been no industry consultation in the development of this course.

Two units of competency audited.

ICAU2006B Operate computer packages

A delivery schedule at unit level is in place; however facilitator guides to direct training are not - as such potentially compromising consistency across student cohorts and also presents a potential risk should the current trainer be unavailable.

ICAW2001B Work effectively in an IT environment

A delivery schedule is in place at unit level; however facilitator guides to direct training are not. Delivery mode for this unit is totally off the job (classroom based), and as such does not meet the focus or critical requirements of this unit i.e. *working* in an IT environment.

21933VIC Certificate III in ESL (Access)

A Training and Assessment Strategy is not in place, Mr. Pobega presented a Delivery and Assessment Plan which provided some information as to the qualification as a whole. The course is offered part time though this is not documented; course duration is stated as one year though Mr. Probega indicated that the duration is usually longer. Total hours and how hours are structured are not detailed. Course organisation is not stipulated. A delivery and assessment schedule is not in place, delivery and assessment is not mapped at element and performance criteria level. Industry consultation: There has been no industry consultation in the development of this course.

Recommendations – It is recommended that:

- comprehensive strategies for training and assessment are developed and implemented for all qualifications/courses on scope.
- existing strategies for training and assessment are reviewed for accuracy, currency and comprehensiveness.
- across all qualifications and units on scope, there is clear articulation of delivery and assessment modes and activities with unit requirements, for example via mapping documents.
- delivery and assessment methods and documentation, including training, learning and assessment materials, be in place for all qualifications/courses on scope, and such methods and documentation address the critical knowledge, skills and evidence requirements of each unit of competency.
- facilitator guides/session plans be developed across all delivery sessions.

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- clear delivery and assessment schedules are developed at both qualification and unit level, utilised by trainers/assessors, and monitored by the RTO.
- industry stakeholders be consulted in the development of training and assessment strategies and details of this consultation recorded, and where appropriate actioned.

Element 1.3 Staff, facilities, equipment, training and assessment materials are consistent with the requirements of the Training Package and the RTO's training and assessment strategies

Refer to Elements 1.2, 1.4 and 1.5.

Element 1.4 Qualifications of trainers and assessors

ICA20105 Certificate II in Information Technology

Evelyn Archer – Trainer & Assessor

CV sighted – no relevant vocational experience.

21933VIC Certificate III in ESL (Access)

Dale Pobega – Trainer & Assessor

Graduate Diploma in Education (Includes TESOL unit), University of Melbourne, NB Results only.

Recommendations - It is recommended that:

- for all trainers and assessors and across all qualifications/courses on the RTO scope of registration, verified copies of qualifications be retained by the RTO.
- resumes clearly outline specific vocational experience as relevant to the field in which the individual is training and/or assessing.

Element 1.5 Assessment

ICA20105 Certificate II in Information Technology

Evidence gathering techniques for the qualification as a whole, and as detailed in the Training and Assessment Strategy (TAS), include demonstration, questioning, case study, and written test. As previously stated there is no assessment schedule in place, and assessments are mapped at unit level only i.e. not at element and performance criteria level.

Two units of competency audited.

ICAU2006B Operate computer packages

Evidence gathering techniques identified in the TAS include demonstration, questioning, and a written test. Apart from a unit assessment outcome sheet, there is no assessment processes, information or documentation in place for any of these activities i.e. no participant instructions/information, no assessment tools to direct the assessment, no assessment

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criteria/marketing guides.

ICAW2001B Work effectively in an IT environment

Assessment for this unit is via participant response to written questions for which there is no marking guide. This unit has specific requirements regarding the context of assessment i.e. in the IT environment of an organisation, which are not met by the current approach to assessment. Furthermore, one assessment, in one format also raises challenges around sufficiency and validity.

21933VIC Certificate III in ESL (Access)

A wide range of evidence gathering techniques are identified in the Delivery and Assessment Plan including group participation; practical exercises; simulation; observation; comprehension activities and tasks; speaking and listening activities and class tasks. However these are not reflected in practice, as detailed in the sample below.

Two units of competency audited:

VPAU502 Engage in casual conversation and straightforward spoken transactions

A range of assessment methods are identified within the Delivery and Assessment Plan, in reality participants complete a Listening and Speaking Exercise (the latter is recorded). There are no participant instructions/information provided in relation to this assessment, and no assessment criteria to guide the assessment judgment and to ensure reliability and fairness across participants. Furthermore, the assessment is formally conducted once and as such lacks sufficiency.

VBQU130 Develop and document a learning plan and portfolio.

As previous a range of assessment methods are identified within the Delivery and Assessment Plan, in reality participants submit a portfolio. There are no participant instructions/information provided in relation to this assessment, unit performance criteria are utilised as assessment criteria which is inappropriate. Unit performance criteria are not appropriate as the sole basis on which to judge evidence, assessment criteria need to be formulated which reflect the specific nature of the assessment activity; the target group/s; essential knowledge and skills and range statement as stipulated in the unit of competency; whether the assessment is formative or summative, and be written so as to be understandable to all parties including participants.

Assessment Validation: There is no assessment validation process in place. RTO representatives described internal validation occurring twice per year and 'ongoing' throughout the year. Ms Merrigan presented a written report of a moderation meeting held 22.09.09, and stated that moderation occurs in conjunction with Yarraville Community Centre and Victoria University TAFE section. It should be noted moderation and validation are linked but separate processes, current processes are addressing moderation only and need to be expanded to include essential components of validation.

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Recognition of Prior Learning/Recognition of Current Competence

A RPL policy and procedure is in place. Applicants receive a brief explanation of RPL via the Information for Intending Students – there is disparity in fee information between this document and the policy.

Recommendations – It is recommended that:

- evidence gathering techniques as identified within the Training and Assessment Strategy reflect current assessment practice, and the legend key be amended to reflect valid assessment methods.
- assessment processes, tools and documentation are developed for all units of competency ensuring these meet essential knowledge, skill and evidence requirements.
- existing assessment processes, tools and documentation are reviewed across all qualification/course/units to ensure assessment meets critical requirements of evidence.
- for each assessment activity, clear and comprehensive instructions to participants are developed and distributed.
- develop assessor/marking guides and/or criteria checklists for all assessment components.
- clear and consistent procedures, including timeframes for both internal and external assessment validation need to be established, documented in the relevant TAS and policy, implemented and recorded.
- fee information related to RPL is consistent across RTO and participant documentation.

Strengths

Opportunities for Improvement

With specific reference to RPL assessment process, and given the focus of qualifications provided by the RTO i.e. IT and ESL, the inclusion of a practical component would strengthen validity.

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Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients		
Audit conclusion	Result	•
<p>The RTO is not complaint in Standard 2. Please also note Opportunities for Improvement section.</p> <p>Element 2.1 Improvement of client services through the collection, analysis and actioning of client data.</p> <p>Data related to client services is collected as part of participant internal surveys conducted at the end of each course and an ACFE survey conducted annually – however there is no fomalised process for data management i.e. the who, how and when of data collation, analysis, actioning, recording and reporting.</p> <p>Recommendation – It is recommended that:</p> <ul style="list-style-type: none"> • a formalised process for collating, analysing, actioning, recording and disseminating student feedback be introduced, and that the process is inclusive of feedback regarding service provision. <p>Element 2.2 Pre-enrolment/Pre-contract Information</p> <p>There are no specific course flyers or information which provide a course description or details of course requirements. For those individuals enquiring about nationally recognised courses, an Information for Intending Students sheet is provided which has general information about the RTO, RPL, refunds, and complaints/grievances. With specific reference to Refunds – there is disparity in the information provided across documentation i.e. Information for Intending Students – Refund Policy – Student Handbook.</p> <p>Recommendations – It is recommended that:</p> <ul style="list-style-type: none"> • in order to make an informed choice and be fully cognizant of course requirements, applicants receive comprehensive course information prior to enrolment. • details of refund processes are consistent across RTO and course participant documentation. <p>Element 2.6 Complaints and Appeals</p> <p>A Complaints & Grievance procedure is in place, appeals are not addressed in the procedure. Course participants are informed of the process via the Student Handbook, information is also available via the RTO web site, notice board and reception – though these communication strategies are not included within the procedure. Furthermore, there is no inclusion in these communiqués of an external independent mediatory body to hear any complaint or appeal matter, to advise and support the student during the process, and/or for the final resolution of any compliant/appeal.</p>	Compliant	
	Non-compliant	•
	Not audited	

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Recommendations – It is recommended that:

- the procedure be expanded to include information regarding appeals.
- the procedure and participant information be amended to include details of an independent external advisory/mediatory body.

Strengths

Opportunities for Improvement

Remove all references to 'Grievance' from RTO documentation, and replace with Complaints and Appeals.

Inform course participants of the full range of locations for accessing complaint and appeal information.

Include details of special consideration in assessment in the student handbook including process for applying, timeframes (if applicable) and in what contexts special consideration will be considered.

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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

Audit conclusion

The RTO is not compliant in Standard 3. In addition, please note Opportunities for Improvement section.

Element 3.3 Record Management

A Record Keeping & Data Back Up policy and procedure is in place. Archiving procedures are established in terms of student files and documents pertaining to centralised RTO operations. However a significant proportion of course documents, including training, learning and assessment materials, at sessional level are managed and maintained independently by individual trainers and assessors which poses a potential short and long term risk.

Based on a range and number of documents sighted version control is inconsistent in application and style across RTO operations. Version control is an important component of record management, since it gives confidence to RTO staff that they are using the most up-to-date information about delivery, assessment and administrative/operational functions.

Recommendations - It is recommended that:

- the record management procedure be extended to include materials developed and/or utilised by contract staff, and that contract staff are made aware of their obligations regarding record management.
- version control in a standardised format be consistently applied across all operational and course documentation, and be applied to both electronic and hard copy documents/files.

Strengths

Opportunities for Improvement

Include the conduct of and process for an annual internal AQTF2007 audit within the Continuous Improvement procedure.

Result

Compliant
Non-compliant
Not audited

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Condition 6 – Certification And Issuing Of Qualifications And Statements Of Attainment		
Audit conclusion	Result	•
The RTO is not compliant in Condition of Registration 6. Statement of Attainment: The template does not have the required AQF explanatory statement. Recommendation – It is recommended that: • the Statement of Attainment template is updated to reflect AQF requirements.	Compliant	
	Non-compliant	V
	Not audited	
Strengths		
Opportunities for Improvement		