

AQTF Essentials Conditions and Standards for Continuing Registration AUDIT REPORT

RTO: 21765 YNH Services Inc.

Audit Date: 16/17 February, 2012

RTO DETAILS			
RTO Name	YNH Services Inc.	NTIS Number	21765
Address	1 Hargreave Crt, Yarrowonga VIC 3730		
	Website	www.ynhservices.org.au	
Registration Contact	Ms Heather Kelly		
Phone Number	03 45744 3911	Email	manager@ynhservices.org.au
Student Numbers	50 students enrolled to date for 2012		
AUDIT TEAM			
Lead Auditor	John Molenaar	Auditor/s	
Technical Advisor/s		Observer/s	Heather Kelly, Manager Pauline Wilson, Training Coordinator
REGISTERING BODY DETAILS			
Contact Person	Katherine Papastathopoulos		
Phone Number	9651 3225	Email	vet.audit@edumail.vic.gov.au
AUDIT DETAILS			
Type of Audit	Post-initial/Extension to scope/ <u>Renewal</u> /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	16/17 February, 2012		
Other audit notes	<p>YNH Services is a community based organisation providing VET qualifications for people who wish to return to work, people in employment and wish to upgrade their qualifications.</p> <p>The organisation has established sound relations with employers and community groups in the area and is part of the Hume Continuous Improvement Group which includes regional training providers and business and provides a sound source for the validation of delivery and assessment plans, assessment strategies and the moderation of assessment tools.</p> <p>YNH Services was able to demonstrate that it implements sound strategies for training and assessment, meeting the requirements of the qualifications and related Training Packages and has strategies in place for obtaining feedback from learners and employers on the effectiveness of programs.</p> <p>Trainers/assessors interviewed provided evidence of sound training and industry experience and the ability to identify individual learners' needs and provide support and</p>		



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	<p>referral to specialist services.</p> <p>During the latter half of 2011 the organisation had conducted a thorough internal audit of its operations and compliance with legislation which resulted in identifying opportunities to review and redevelop policies and procedures and learning and assessment support arrangements. At the time of audit the updating processing had commenced but had not been completed or fully implemented. As a result a number of policies and procedures were still to be updated.</p> <p>Following a number of rectifications at the time of audit, a number of minor compliances remained and were still to be addressed. These were addressed by the attachments provided with the Acceptance Form and Provider Comments.</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
CHC30208	Certificate III in Aged Care	Yarrawonga Cobram Myrtleford Numurkah
CHC30708	Certificate III in Children's Services	Yarrawonga
TAE40110	Certificate IV in Training and Assessment	Yarrawonga

INTERVIEWEE/S: Staff name and position; employer name and position; students by program (do not list by name)	
Leica McLoud	Tutor, Certificate III in Children's Services
Judith Dhosi	Tutor, Certificate IV in Training and Assessment
Trudi Butts	Tutor, Certificate III in Aged Care
Kim	Student, Certificate III in Aged Care
Alison	Student, Certificate III in Children's Services
Anne	Student, Certificate III in Aged Care

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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

YNH Services Inc was identified as being compliant with Conditions 1, 3, 4, 6, 7 and 9.

Conditions 2 and 5 were not audited as part of the re-registration audit.

Condition 8

Finding

Term Guide - Brochure for Certificate Courses and Units includes qualifications and units identifying qualification/unit codes and titles and the application of the NRT logo. Some units include the NRT logo, however no unit code or correct unit title is provided. 'Hygiene for handlers' and 'Responsible service of alcohol' is an inappropriate use of the NRT logo.

The Marketing Brochure '*Certificates and Short Course 2012*' identifies the course Construction Induction OHS CPCCOHS1001A. This is delivered by ACHIEVE however students are not informed that they will need to enrol with ACHIEVE to complete this course.

Recommendations

Condition 8

It is recommended that YNS Services:

- Clearly identify in marketing materials, courses that are delivered by other RTOs, through the provision of a clear heading – Course delivered by other RTOs.
- Reviews marketing materials and ensures the NRT logo is used within the Requirements of the Guidelines for the use of the NRT Logo, and only applied where the unit code and title is included.

Rectification evidence sent with Acceptance Form and attached to the provider Comments 1-3-2012

Sighted:

Amended Term Guide (pages scanned) with correct NRT application, and clearly identifying courses delivered by other RTO's

Amended Aged Care flyer (file – Cert III in Aged Care Feb 2012)

Amended Children's Services flyer (file - Cert III in Children's Services Feb 2012)

Amended Certificates and Short Courses flyer (file – Youth flyer inside)

YNH Services is now compliant with the requirements of Condition 8

Strengths

Opportunities for Improvement

Condition 3

YNS Services would benefit from:

- including on internal audits the date that the audit was conducted and the people involved in the audit process
- including in the Business Plan when internal audits are to occur (annually, every six months, progressively)
- developing an annual schedule that identifies when the internal audit is to be conducted.

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Condition 7

YNS Services would benefit from referring to National Recognition in documentation related to Recognition of Qualifications issued by other RTOs and including in the Student Handbook information about National Recognition when describing Recognition of Qualifications issued by other RTOs and the organisation's procedures for recognition e.g. 'complete the relevant section of the Enrolment Form' or 'raise this at the pre-enrolment interview.'



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AUDIT REPORT

Standard 1: The RTO provides quality training and assessment across all of its operations	Result				
<p>Audit conclusion</p> <p>YNH Services Inc was identified as being compliant with Standards 1.1, 1.2, 1.3 and 1.5.</p> <p>Standard 1.4 The Trainer Vocational Skills Matrix, prepared by trainers/assessors, did not provide sufficient information to confirm that they had the required currency of competency to deliver the units that they have been allocated to deliver. For the qualifications identified and held by the trainer/assessor, the units within the qualifications were not aligned with the units to be delivered. The subjects/modules/units of Higher Education level qualifications held by trainers/assessors were not identified or aligned with units to be delivered/assessed. The specific current vocational experience of a number of trainers/assessors was not identified for units to be delivered/assessed. (See Recommendation, VRQA Guidelines Report, Standards 2).</p> <p>Recommendation: It is recommended the YNH Services Inc ensure that all trainers/assessors have completed a Trainer Skills Matrix that identifies that they have the currency of competency to deliver and assess the units within the qualification, identifying the units that they currently have and the related current industry experience.</p> <p>Rectification evidence sent with Acceptance Form and attached to the provider Comments 1-3-2012 Sighted Wise.net entries for trainers/assessors Judy Dhosi, Pauline Wilson, Shauna Farey, Sheffie-Lee Crawford, Trudi Butts, which identifies updated Trainer Skills Matrices.</p> <p>YNH Services is now compliant with the requirements of Guideline 1.4</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">✓</td> </tr> <tr> <td style="text-align: center;">Compliant</td> </tr> <tr> <td style="text-align: center;">Non-compliant</td> </tr> <tr> <td style="text-align: center;">Not audited</td> </tr> </table>	✓	Compliant	Non-compliant	Not audited
✓					
Compliant					
Non-compliant					
Not audited					
Strengths					
Opportunities for Improvement					
Standard 1.1					

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YNS Services Inc would benefit from:

- reviewing current practices and procedures for implementing continuous improvement strategies to ensure that they include the strategies that are actually implemented and
- identifying a way of effectively reviewing actions implemented and
- scheduling of continuous improvement activities, to identify when strategies will be implemented to ensure systemic implementation.

Standard 1.2

CHC30208 Certificate III in Aged Care

Nominal hours identified in the Purchasing Guide for selected units total 528 hours. Actual delivery and assessment duration is identified as 2 days a week for 6 weeks or 1 day a week for 13 weeks, plus 150 hours work placement and out of class activities identified as requiring 6 hours a week, which totals 312 hours. Additional hours are required for assignments, homework tasks and internet research and professional reading. These hours have not been identified. YNH Services would benefit from clearly identifying for each unit, the actual hours required to complete the unit.

Red Cross delivers the First Aid unit. Sighted Memorandum of Understanding. This identifies requirements and obligations for maintaining AQTF Standards. Monitoring of the agreement to ensure compliance with AQTF Standards was not identified to ensure that Red Cross deliver according to quality requirements. YNH Services would benefit from including the YNH monitoring arrangements in the Memorandum of Understanding with Red Cross.

Marketing materials do not identify that Red Cross delivers the First Aid unit.

YNS Services would benefit from including in marketing materials that Red Cross will deliver the First Aid unit; enrol students and provide a Statement of Attainment for the unit that will be recognised by YNH. (See Standard 2.4).



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Standard 2: The RTO adheres to principles of access and equity and maximises outcomes for its clients	Result				
<p>Audit conclusion</p> <p>YNH Services Inc was identified as being compliant with Standards 2.1, 2.2, 2.3, 2.4, 2.5 and 2.6.</p> <p>Standard 2.7 The complaints procedures and information provided to students were not consistent and were both incomplete.</p> <p>Recommendation: <u>It is recommended that YNH Services Inc review:</u></p> <ul style="list-style-type: none"> • the complaints procedures and information provided to students and ensure that the complaints procedure identifies an: <ul style="list-style-type: none"> - informal procedure - formal procedure - appeals procedure - independent, external arbitrator for hearing unresolved complaints. • update information in the Student Handbook and Tutor Handbook, to ensure that it is consistent with the revised policy. <p>Rectification evidence sent with Acceptance Form and attached to the provider Comments 1-3-2012 Sighted Revised Complaints Policy, Appeals Policy, Complaints Form, Appeals Form, Complaints Register. These now include: and informal procedure, formal procedure, appeals procedure and identify an independent, external arbitrator for hearing unresolved complaints. Sighted modified Student handbook and Tutor Induction Handbook. The complaints and appeals information is now consistent with the Complaints Policy and the Appeals policy.</p> <p>YNH Services is now compliant with the requirements of Guideline 2.7</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="text-align: center; height: 20px;">✓</td></tr> <tr><td style="text-align: center; height: 20px;">Compliant</td></tr> <tr><td style="text-align: center; height: 20px;">Non-compliant</td></tr> <tr><td style="text-align: center; height: 20px;">Not audited</td></tr> </table>	✓	Compliant	Non-compliant	Not audited
✓					
Compliant					
Non-compliant					
Not audited					
Strengths					
Opportunities for Improvement					
<p>Standard 2.1 YNH Services would benefit from identifying in pre-enrolment information, all the services that YNH Services is able to provide to learners.</p>					

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Standard 2.5
YNH Services Inc would benefit from reviewing the course durations and, where appropriate, to extend the course duration to provide additional time for students to complete required tasks.

Standard 3: Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates	Result
Audit conclusion	✓
YNH Services Inc was identified as being compliant with Standards 3.1 and 3.2. Following the rectifications at the time of audit with regards to Partnerships Agreement, YNH was identified as compliant with Standard 3.	Compliant
	Non-compliant
	Not audited

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Standard 3.3

Red Cross delivers the First Aid unit. Sighted Partnership Agreement that identifies the role of each party. Red Cross enrolls the students in the unit and provides a Statement of Attainment at the satisfactory completion of the unit.

The Agreement does not include the monitoring requirements of YNH Services to ensure that all training and assessment meets the quality requirements of the AQTF. Improvements to arrangements for the establishment, monitoring and implementation of the agreement were not demonstrated.

Marketing materials and information provided to students does not identify that Red Cross delivers the First Aid unit and that they will be enrolled with Red Cross for the delivery and assessment of the unit and that Red Cross will provide a Statement of Attainment at the satisfactory completion of the unit.

Recommendation:

It is recommended that YNH Services Inc:

- Review the Partnership Agreement entered into with Red Cross and modify it to include monitoring requirements of YNH Services to ensure that all training and assessment meets the quality requirements of the AQTF.
- Identify and implement a strategy for identifying improvements to arrangements for the establishment, monitoring and implementation of the agreement.
- Include in marketing materials and information provided to students that the First Aid unit will be delivered by Red Cross and that students will be enrolled with Red Cross for the delivery and assessment of the unit and that Red Cross will provide a Statement of Attainment at the satisfactory completion of the unit, which is recognised through National Recognition by YNH Services.

Rectification evidence sent with Acceptance Form and attached to the provider Comments 1-3-2012

Sighted modified memorandum of understanding entered into between Australian Red Cross and YNH Services. The Agreement now includes monitoring requirements of Australian Red Cross and identifies a strategy for identifying improvements to arrangements for the establishment, monitoring and implementation of the agreement. Sighted Work Instructions: Monitoring Training Delivered by another RTO. This identifies that the Executive Officer will review the MOU at least annually, meet with external Tutor at least once per term to discuss delivery and assessment and identify any improvements that can be undertaken, offer assistance with implementing improvements and monitor student feedback via Learner Satisfaction Survey.

Sighted amended AgedCare flyer. This now clearly identifies that the First Aid unit will be delivered by Red Cross and that students will be enrolled with Red Cross for the delivery and assessment of the unit and that Red Cross will provide a Statement of Attainment at the satisfactory completion of the unit, which is recognised through National Recognition by YNH Services.

The Agreement identifies that the Australian Red Cross will provide a Statement of Attainment for the First Aid for all students who satisfactorily complete the unit, **however it does not identify that the Australian Red Cross, as an RTO, also has the responsibility of enrolling students in the First Aid unit, through the use of an AVETMISS Compliant Enrolment Form. Sighted amended MOU.**

YNH Services is now compliant with the requirements of Guideline 3.3

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Further recommendation.

It is recommended that YNH Services Inc. review the Memorandum of Understanding that it entered into with the Australian Red Cross for the delivery of the First Aid unit and negotiate with the Australian Red Cross modification to the agreement to include the responsibility for the Australian Red Cross to also enrol the students in the First Aid unit, through the use of an AVETMISS Compliant Enrolment Form.

Standard 3.4

YNH Services has developed a comprehensive Records Management Procedure – *Administration and Records Management Policy and Procedure*. This procedure has only been partially implemented and does not reflect the actual procedures implemented by YNH Services. Student records are to be maintained electronically, however the procedures do not identify wise.net as the Student Data Management System. Version Control Procedures are identified however a Version Control Register, which is to be maintained, has not been developed. The footer of all documents does identify version information. Retention procedures do not identify the length of time for which all classes of documentation and records will be maintained and do not identify provision of document destruction dates. A backup procedure has been implemented; however this procedure is not included in the *Administration and Records Management Policy and Procedure*. The inconsistent implementation of the *Administration and Records Management Policy and Procedure* does not ensure a systematic and consistent approach to records management.

Recommendation:

It is recommended that YNH Services Inc reviews its *Administration and Records Management Policy and Procedure* and the procedures that it currently implements, and develop a consistent *Administration and Records Management Policy and Procedure* and ensure that this revised procedure is effectively implemented, including the maintenance of a Version Control Register.

Rectification evidence sent with Acceptance Form and attached to the provider Comments 1-3-2012

Sighted modified *Administration and Records Management Policy and Procedure* which is now identified as *Records Management Policy*. This now identifies procedures that is consistent with the current implementation strategies. and the procedures that it currently implements. Also sighted Version Control Register. In the form of file identifications as maintained in iQals. Which identifies documents, version number, review date.

YNH Services is now compliant with the requirements of Guideline 3.4

Strengths

Opportunities for Improvement