

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 27th and 28th November 2014

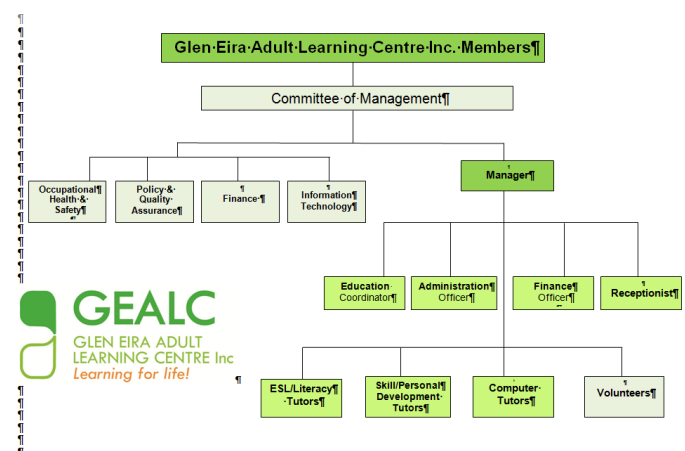
**RTO:** Glen Eira Adult Learning Centre

Applicant Details			
Applicant Name	Glen Eira Adult Learning Centre	TOID	6511
Address	419 North Road, Ormond Vic 3204		
	Website	www.gealc.org.au	
Registration Contact	Ms Ann Burgess		
Phone Number	03 9587 8996	Email	manager@gealc.org.au
Audit Team			
Audit Firm	Moore Stephens	Auditor/s	Anna-Louise Allen
Auditor/s		Other Attendees	
Registering Body Details			
Contact Person	Emma Hickingbotham		
Phone Number	9032 1562	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	<b>Re-registration Audit</b>		
Conditions Audited	1, 3, 6, 7, 8, 9		
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
VRQA Guidelines Audited	1,2,3,4,5		
Audit Date/s	27th and 28th November 2014		
RTO Background			
<p>Glen Eira Adult Learning Centre Inc. (GEALC) is a community owned and managed, Registered Training Organisation (RTO) that has been operating for over 20 years. GEALC offers a wide range of quality programs for adults who want to improve their English language, literacy, computer and employment skills, and extend their involvement in activities in the community. GEALC is a significant focus of community strengthening in the southern metropolitan region of Melbourne and works actively with all levels of government and community organisations in order to provide affordable and accessible educational opportunities to adults in the Glen Eira area.</p> <p>GEALC operates as an incorporated, not for profit organisation with over 350 members/participants from a wide cross section of the local community. GEALC employs over 14 staff and has a turnover of around \$300,000 per annum but a significant proportion of the organisation's capability and output is derived from the contribution made by many of its members on a voluntary basis.</p> <p>GEALC is governed by a Committee of Management comprising 8 professionals with a broad business and educational experience. The two RTO managers are qualified teachers as well as trainers.</p>			

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GEALC is involved in three main program areas:

- English as a Second Language (ESL) and Literacy Training
- Skill Development Training including Computer, Business Administration and Career Advice
- Personal Development.

GEALC's revenue base includes grant funding from the council for Adult, Community and Further Education (ACFE), Skills Victoria, Adult Migrant English Service (AMES) and Glen Eira City Council along with fee revenue/cost recoup from its client/member base.

Qualifications/Units Audited <sup>1</sup>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
22237VIC	Certificate II in General Education for Adults	Vic
10362NAT	Certificate I in Spoken and Written English	Vic

Interviewee(s) – Staff name and position; employer name and position	
Ann Burgess	Manager
Ann Manning	Education Co-ordinator
Poonam Trivedi	Administration Officer
Ann Manning	Trainer, written and spoken English
Wendy Caswsey	Trainer, written and spoken English

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
If ' No', please provided amended details below:		

<sup>1</sup> Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

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Glen Eira Adult Learning Centre Inc are currently in consultation with Elwood Neighbourhood House and Yarra Neighbourhood house with the view to sharing resources and providing programs relevant to common community groups who attend the three centres.

Once confirmed an MOU will be signed and VRQA notified.

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### Audit Summary - AQTF Conditions of Registration

AQTF Conditions		Compliant	Non - Compliant	Not audited
1	Governance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Interactions with the Registering Body	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3	Compliance with Legislation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Insurance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5	Financial Management	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6	Certification & Issuing of Qualifications & Statements of Attainment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7	Recognition of Qualifications Issued by other RTOs	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	Accuracy and Integrity of Marketing	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	Transition to Training Packages/Expiry of Accredited Courses	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Summary of Non-Compliance<sup>2</sup></b>				
<b>CF6.1</b>				
The Template for the Statement of Attainment does not meet the Australian Qualifications Framework (AQF) requirements.				
<b>Strengths</b>				
GEALC provides quality, affordable, educational opportunities to enable members of their local community to fully participate in Australian society and create pathways to further education and employment.				

<sup>2</sup> CF = Condition Finding. Finding references are aligned to the Detailed Findings section of this report.

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### Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<b>Standard 1</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.1 – Continuous Improvement Strategy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2 – Training and Assessment Strategies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3 – Training and Assessment Resources	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4 – Trainer and Assessor Competency	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.5 – Assessment Strategies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Standard 2</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1 – Meeting the Needs of Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2 – Continuous Improvement of Client Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3 – Provision of Information to Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4 – Third-Party Engagement in Training and Assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.5 – Provision of Support Services to Clients	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.6 – Learner Access to Records of Participation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.7 – Complaints and Appeals Strategy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Standard 3</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.1 – Operations Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2 – Continuous Improvement of Operations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3 – Third-Party Training and/ or Assessment Services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3.4 – Records Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Summary of Non-Compliance<sup>3</sup></b>			
<b>SF 1.4.1</b>			
The trainers audited did not hold the TAE40110 or have records of demonstrated equivalence.			
<b>SF1.5.1</b>			
Assessment to support the 22237VIC Certificate II in General Education for Adults did not meet the requirements of the unit of competency.			

<sup>3</sup> SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.

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**Audit Summary – VRQA Guidelines for VET Providers**

VRQA Guidelines	Compliant	Non - Compliant	Not audited
<b>1. Governance, Probity and Compliance</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.1 – Strategic Plan and Business Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.2 – Financial Viability	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.3 – Management Systems	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.4 – Organisational Governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.5 – Academic/Educational Governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.6 – Change Reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>2. Quality Assurance, Review and Evaluation Processes</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1 – Course Quality	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2 – Cheating and Plagiarism	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3 – Quality Education and Training	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>3. Student Enrolment Records and Certification</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3.4 – Provision of Courses to Domestic Students	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>4. Student Learning Outcomes and Welfare Services</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.1 – Maximum Daily Hours of Attendance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2 – Out of Hours Attendance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.4 – Student Safety	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>5. Teaching, Learning and Assessment</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5.1 – Capacity to Deliver Scope of Registration	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**Summary of Non-Compliance<sup>4</sup>**

**GF1.3.1**

Trainer files do not contain a trainer matrix as required by this guideline.

**GF5.1.1**

Mapping documents consistent with the Guideline were not in place for the Certificate II in General Education for Adults.

<sup>4</sup> GF = Guideline Finding. Finding references are aligned to the Detailed Findings section of this report.

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**Detailed Findings - AQTF Conditions of Registration**

<b>CONDITION 1 - Governance</b>			<b>Compliant</b>
<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>	
<p><b>Condition 1 was Compliant</b></p> <p>The RTO has appropriate governance arrangements to ensure that experiences of Trainers / Assessors are considered in the decision making of senior management.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> <li>• Organisational Chart</li> <li>• Interview with RTO Manager</li> <li>• Monthly Teacher meetings</li> <li>• Monthly Committee of Management meetings</li> <li>• Committee of Management minutes</li> <li>• Teacher meeting minutes</li> <li>• Fit and Proper Person declaration and police checks for all Committee of Management members and two RTO managers</li> </ul>	<p>No rectification required.</p>	

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CONDITION 3 – Compliance with Legislation			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Non-Compliant</b> with <b>Condition 3</b>.</p> <p>The RTO has a systematic process to review and manage compliance with relevant Commonwealth, State or Territory legislation and regulatory requirements.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Compliance with Commonwealth, Victorian Legislation and Regulatory Requirements policy and procedure</li> <li>• Staff Handbook</li> <li>• Student Handbook 2014</li> </ul> <p>Access is provided to the following legislation:</p> <ul style="list-style-type: none"> <li>• Occupational Health &amp; Safety Act 2004</li> <li>• Disability Act 2006</li> <li>• Fair Work Australia Act 2009</li> <li>• Victoria's Equal Opportunity Act 2010</li> <li>• Education and Training Reform Act 2006</li> <li>• Privacy Act 2000</li> </ul>	<p>No rectification required.</p>	

Improvement Opportunities
<p>The Education and Training Reform Act 2006 is referred to in the policies and procedures as the Education and Training Reform Act 2007. Note that the Privacy Law Reform changes went live on 12 March 2014.</p>



CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment			Non-Compliant
CF6.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is <b>Non-Compliant</b> with <b>Condition 6</b>.</p> <p>The RTO has a Certificate of Completion which contains the required AQF requirements. However the RTO scope contains units and accredited courses, so no certificates would ever be issued.</p> <p>The Template for the Statement of Attainment does not meet the Australian Qualifications Framework (AQF) requirements. It contains the following outdated statement 'A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency from a nationally recognised course'.</p> <p>The Statement of Attainment contains reference to the AQF.</p> <p>The RTO is using both the VRQA logo and the statement. Only one is required.</p> <p>The representation of the qualification code and title does not comply with correct nomenclature e.g. (91423NSW) CSWE Certificate 111in Spoken &amp; Written English. This should read 91423NSW Certificate III in Spoken and Written English.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>Issuing Australian Quality Framework Qualifications and Statements of Attainment policy</li> <li>Issuing Australian Quality Framework Qualifications and Statements of Attainment procedure</li> </ul> <p>Forms</p> <ul style="list-style-type: none"> <li>Certificate Request</li> <li>Certificate Template - completion</li> <li>Certificate Template –Attainment</li> <li>Certificate Template – participation</li> <li>Accredited course learning plan</li> <li>Assessment Achievement Summary</li> <li>Assessment Cover Sheet</li> <li>Assessment Task Record Sheet</li> </ul>	<p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>The RTO should make the following amendments to their statement of attainment: <ul style="list-style-type: none"> <li>A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units.</li> <li>Remove reference to the AQF.</li> <li>Use either the VRQA logo or the statement, not both.</li> <li>Make sure that correct nomenclature for all qualifications and units is used on all official documents, policies and procedures, forms and testamurs.</li> </ul> </li> </ul>
	<p><b>Finding</b></p> <p>The RTO is <b>Compliant</b> with this aspect of <b>Condition 6</b>.</p>	<p>Evidence reviewed at audit:</p> <p>Policies</p>	<p>No rectification required.</p>

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<p>The RTO has a mechanism in place to retain client records for a period of 30 years</p> <p>The RTO provides AVETMISS compliant data via Wisenet.</p>	<ul style="list-style-type: none"> <li>• Administration, reception, finances, IT and record keeping</li> <li>• Records management and retention</li> <li>• Issuing Australian Quality Framework Qualifications and Statements of Attainment</li> </ul> <p>Procedures</p> <ul style="list-style-type: none"> <li>• Issuing Australian Quality Framework Qualifications and Statements of Attainment</li> <li>• Enrolment &amp; payment of fees</li> <li>• Student Eligibility Guidelines</li> <li>• Student Management- System Data Entry</li> <li>• SMS Manual &amp; SVTS Reporting</li> </ul> <p>Forms</p> <ul style="list-style-type: none"> <li>• Enrolment Form</li> <li>• Proof of Enrolment</li> <li>• General Retention &amp; Disposal Authority for the Records for Higher and Further Education Institutions</li> </ul> <p>Other resources</p> <ul style="list-style-type: none"> <li>• AMEP Reporting and Management System User Guide</li> <li>• Victorian Student Number Guidelines</li> <li>• Victorian VET Student Statistical Collection Guidelines</li> <li>• Guidelines to determine Student Eligibility</li> </ul>	
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CONDITION 7 - Recognition of Qualifications Issued by other RTOs			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Condition 7</b>.</p> <p>The RTO recognises the AQF Qualifications and Statements of Attainment issued by any other.</p> <ul style="list-style-type: none"> <li>No process in place for recognition of qualifications, statements of attainment issued by other RTO's</li> <li>Potential learners are not informed of national recognition process</li> <li>Information provided to learners is confusing or inaccurate</li> </ul>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>Recognition of Qualifications Issued by Other RTOs Policy</li> <li>Recognition of Qualifications Procedure</li> <li>Student Handbook 2014</li> </ul>	<p>No rectification required.</p>	

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CONDITION 8 - Accuracy and Integrity of Marketing			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Condition 8</b>.</p> <p>The RTO's marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.</p> <p>The NRT logo is used correctly in marketing and advertising of AQF qualifications to prospective clients.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Website www.gealc.org.au</li> <li>• Student Handbook 2014</li> <li>• GEALC Term 1 Course Guide 2015</li> <li>• Student induction session</li> </ul> <p>Policies:</p> <ul style="list-style-type: none"> <li>• Marketing and promotional principles</li> <li>• Use of Logos</li> </ul> <p>Procedures</p> <ul style="list-style-type: none"> <li>• Marketing</li> <li>• Use of Logos</li> </ul>	<p>No rectification required.</p>	

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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Condition 9</b>.</p> <p>The RTO has managed the transition from superseded Training Packages within 12 months of their publication on the Training.gov.au.</p> <p>The RTO has managed the transition from superseded accredited courses so that it delivers only currently endorsed training package. In some cases this has resulted in the RTO choosing to deliver through an external provider.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Systems for Quality Training and Assessment Policy</li> <li>• Extension to scope Procedure</li> <li>• Accredited Training and Delivery Requirements</li> <li>• Course Delivery Matrix</li> <li>• Interview with Training CO-ordinator</li> </ul>	<p>No rectification required.</p>	

Improvement Opportunities
<p>It is suggested that a procedure to support transition from a superseded accredited course be detailed.</p>

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Detailed Findings - AQTF Standards

STANDARD 1

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 1.1</b>.</p> <p>The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.</p> <ul style="list-style-type: none"> <li>No evidence that data has been collected to inform continuous improvement of training and assessment</li> <li>Data on training and assessment is collected by not analyses or acted upon</li> <li>No evidence of actions taken to improve training and assessment</li> </ul>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>Continuous Improvement Policy</li> <li>Continuous Improvement Procedure</li> <li>Continuous Improvement Report</li> <li>Continuous Improvement Register</li> <li>Complaints and appeals Register</li> <li>Incident reports</li> <li>Tutor/volunteer Feedback</li> <li>Student Feedback</li> <li>QI regulator report</li> <li>Website</li> <li>HESG Internal Audit</li> </ul>	<p>No rectification required.</p>	

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ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 1.2</b>.</p> <p>Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course.</p> <p>The strategies have been developed in response to community demand. An individual learning plan is developed for each student, to address their individual language needs.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Delivery and Assessment Strategies policy</li> <li>• CEGA Delivery Matrix</li> <li>• CSWE Delivery Matrix</li> </ul> <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> <li>• Delivery and Assessment Strategy - Certificate I in General Education for Adults (Introductory) – 22235VIC</li> <li>• Delivery and Assessment Strategy - Certificate I in General Education for Adults - 22236VIC</li> <li>• Delivery and Assessment Strategy - Certificate II in General Education for Adults - 22237VIC</li> <li>• Delivery and Assessment Strategy -10361 NAT Course in Preliminary Spoken &amp; Written English</li> <li>• Delivery and Assessment Strategy -10362 NAT Certificate I in Spoken &amp; Written English</li> <li>• Delivery and Assessment Strategy -10363 NAT Certificate II in Preliminary Spoken &amp; Written English</li> <li>• Delivery and Assessment Strategy -10364 NAT Certificate III in Preliminary Spoken &amp; Written English</li> </ul> <p>Forms</p> <ul style="list-style-type: none"> <li>• CSWE Delivery and Assessment Folder and</li> </ul>	<p>No rectification required.</p>	

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	<ul style="list-style-type: none"> <li>• CGEA Delivery Assessment Folder (<i>located in Education Coordinator's Office</i>)</li> <li>• Example of Delivery &amp; Assessment Strategy</li> <li>• Example of Accredited Course Learning Plan</li> <li>• Example of Pre-accredited Course Learning Plan (<i>A-Frame</i>)</li> <li>• Class Attendance Roll Pre-accredited</li> <li>• Class Attendance Roll Accredited</li> </ul>	
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### Improvement Opportunities

The RTO consistently refers to the Certificates and modules from the Spoken and Written English suite as ESL. They are also abbreviating the courses to CSWE, which is the more commonly identified abbreviation. This could be confusing, given there is also a suite of accredited courses in the EAL framework (2225VIC – 22258VIC) (formerly the ESL framework).



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ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 1.3</b>.</p> <p>Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited courses and the RTO's own training and assessment strategies.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Delivery and Assessment Strategies policy</li> <li>• CEGA Delivery Matrix</li> <li>• CSWE Delivery Matrix</li> <li>• Asset Register</li> </ul> <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> <li>• Delivery and Assessment Strategy - Certificate I in General Education for Adults (Introductory) – 22235VIC</li> <li>• Delivery and Assessment Strategy - Certificate I in General Education for Adults - 22236VIC</li> <li>• Delivery and Assessment Strategy - Certificate II in General Education for Adults - 22237VIC</li> <li>• Delivery and Assessment Strategy -10361 NAT Course in Preliminary Spoken &amp; Written English</li> <li>• Delivery and Assessment Strategy -10362 NAT Certificate I in Spoken &amp; Written English</li> <li>• Delivery and Assessment Strategy -10363 NAT Certificate II in Preliminary Spoken &amp; Written English</li> <li>• Delivery and Assessment Strategy -10364 NAT Certificate III in Preliminary Spoken &amp; Written English</li> </ul> <p>Forms</p>	<p>No rectification required.</p>	

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	<ul style="list-style-type: none"> <li>• CSWE Delivery and Assessment Folder and</li> <li>• CGEA Delivery Assessment Folder (<i>located in Education Coordinator's Office</i>)</li> <li>• Example of Delivery &amp; Assessment Strategy</li> <li>• Example of Accredited Course Learning Plan</li> <li>• Example of Pre-accredited Course Learning Plan (<i>A-Frame</i>)</li> <li>• Class Attendance Roll Pre-accredited</li> <li>• Class Attendance Roll Accredited</li> <li>• ICT Training Needs Analysis</li> <li>• Learner and pathway plan</li> </ul>	
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### Improvement Opportunities

No suggested improvement opportunities relating to **Element 1.3**

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ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:		Non-Compliant	
a) Have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and b) Have the relevant vocational competencies at least to the level being delivered or assessed, and c) Can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and d) Continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.			
SF1.4.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is <b>Non-Compliant</b> with <b>Element 1.4</b>.</p> <p>While Trainers and Assessors have extensive teaching experience and the required TESOL qualifications, the two files audited indicated that they do not hold the TAE. One trainer held the BSZ40198 and the other the TAA40104. Both Trainers could demonstrate equivalence to the TAE, however this would need to be documented and retained on file</p> <p>The Professional Development policy states the aims of professional development are to enable participants to:</p> <ul style="list-style-type: none"> <li>• Update their skills and practices in line with current trends</li> <li>• Ensure they have adequate ICT knowledge to perform their role by completing an ICT Training Needs Assessment</li> <li>• Develop leadership skills and professional and innovative work practices</li> <li>• Share knowledge and experiences</li> <li>• Respond to the emerging needs of students</li> </ul>	<p>Evidence reviewed at audit:</p> <p>Policies</p> <ul style="list-style-type: none"> <li>• Recruitment and Employment of Staff</li> <li>• Position Descriptions &amp; Work Agreements for Paid Staff</li> </ul> <p>Procedures</p> <ul style="list-style-type: none"> <li>• Staff Recruitment</li> <li>• Performance Review Procedure.</li> <li>• Tutor performance review</li> </ul> <p>Other</p> <ul style="list-style-type: none"> <li>• Staff Handbook v2</li> <li>• CEGA Delivery Matrix</li> <li>• CSWE Delivery Matrix</li> <li>• Employee induction checklist – no VET reference</li> <li>• Neighbourhood Houses &amp; Adult Community Education Centres Collective Agreement 2010</li> <li>• GEALC Tutor Qualifications Register</li> <li>• ESL_Literacy Tutor Interview Record</li> <li>• Agreement for the Provision of Services</li> </ul>	<p><u>Actions:</u></p> <ul style="list-style-type: none"> <li>• The RTO must ensure that all trainers hold the TAE40110 or demonstrate that they hold equivalent competency. This must be documented and retained on file.</li> <li>• The RTO must ensure that all trainer / assessors undertake Professional Development to develop their VET knowledge and skills.</li> </ul>

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<ul style="list-style-type: none"> <li>• Gain knowledge in quality systems that assist in the continuous improvement of GEALC's operations</li> <li>• Act on opportunities for improvement of skills and practices.</li> </ul> <p>There is no specific reference to the three required areas as outlined in the Standard.</p> <p>Trainer files or wage records did not contain evidence of trainer continuing to develop their knowledge of the VET sector.</p>	<ul style="list-style-type: none"> <li>• Charter of Human Rights and Responsibilities (2006)</li> <li>• Executive Officer Position Description</li> <li>• Education Coordinator Position Description</li> <li>• Finance/Admin Officer Position Description</li> <li>• ESL Tutor Position Description</li> <li>• Literacy Tutor Position Description</li> <li>• Sessional Tutor Position Description</li> <li>• Permanent Part-time Employee Work Agreement (example)</li> <li>• ESL Tutor Employee Work Agreement (example)</li> <li>• Sessional Tutor Work Agreement (example)</li> <li>• Staff Timesheet</li> </ul> <p>Trainer Files</p> <ul style="list-style-type: none"> <li>• Wendy Caswsey</li> <li>• Jenny Boyarski</li> </ul>	
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ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):			Non-Compliant
SF1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>a) Meets the requirements of the relevant Training Package or accredited course</p> <p>b) Is conducted in accordance with the principles of assessment and the rules of evidence</p> <p>c) Meets workplace and, where relevant, regulatory requirements</p> <p>d) Is systematically validated.</p>		
	<p>The RTO is <b>Non-Compliant</b> with <b>Element 1.5</b>.</p> <p>Assessment for 1036NAT Certificate I in Spoken and Written English meets the requirements of the Accredited Course.</p> <p>Assessment for the 22237VIC Certificate II in General Education for Adults, delivered as the 'Improve Your Writing Course, does not meet the requirements of the Accredited Course, in particular the critical requirements for assessment.</p> <p>The RTO delivers both modules from the Certificate in Written and Spoken English and units of competency from the Certificates in General Education for Adults. There appears to be some confusion about the differences between modules and units of competency. Assessment has been focussing on the elements and performance criteria for the units of competency, without addressing and reflecting the essential skills and knowledge and critical aspects of assessment.</p> <p>As a result the assessments for the two units audited did not contain evidence which addressed the essential skills and knowledge. Evidence of two pieces of work was used for assessment, however this did not address</p>	<p>Evidence reviewed at audit:</p> <p>Policies</p> <ul style="list-style-type: none"> <li>• Recognition of Prior Learning (RPL)</li> </ul> <p>Procedure</p> <ul style="list-style-type: none"> <li>• Recognition of Prior Learning (RPL)</li> <li>• Assessment Review</li> <li>• Assessment Moderation</li> <li>• Completion of Assessment &amp; Recording of Results</li> </ul> <p>Forms</p> <ul style="list-style-type: none"> <li>• Assessment Appeal Application V1</li> <li>• Assessment Appeal Review checklist</li> <li>• Accredited course learning plan</li> <li>• Assessment Achievement Summary</li> <li>• Assessment Cover Sheet</li> <li>• Assessment Task Record Sheet</li> <li>• RPL Application</li> <li>• Assessment Review Checklist.</li> <li>• Minutes from Internal Tutor PD &amp; Moderation Sessions (<i>filed in Education Coordinator's Office</i>)</li> </ul>	<p><u>Actions:</u></p> <ul style="list-style-type: none"> <li>• The RTO should review their assessments for the units from the 22237VIC Certificate II in General Education for Adults, to ensure that they address the essential skills and knowledge and the critical aspects of assessment as specified in the unit.</li> </ul>

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<p>the requirement for a range of styles of writing and presenting information for a range of audiences. They also did not provide evidence of drafting and reviewing texts.</p> <p>The critical aspects of assessment require the candidate to identify the purpose and audience for a range of complex personally relevant digital and paper based text types.</p> <p>The candidate must create one complex digital and one paper based personally relevant or learning related text, with each text reflecting a different text type</p> <p>The method of assessment suggested for both units is a portfolio of digital and paper based texts of different text types created by the learner which show evidence of drafting and review.</p>	<ul style="list-style-type: none"> <li>• Assessment Review Checklist</li> </ul> <p>Units audited</p> <ul style="list-style-type: none"> <li>• Module F SWEREC106A Comprehending &amp; telling spoken recounts</li> <li>• Module L SWENEW112A Comprehending short news and information texts</li> <li>• VU21360 Create a range of texts of some complexity for learning purposes</li> <li>• VU21359 Create a range of complex texts for personal purposes</li> </ul>	
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Detailed Findings - AQTF Standards

STANDARD 2

ELEMENT 2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 2.1</b>.</p> <p>The RTO establishes the needs of clients and delivers services to meet these needs.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• ICT Training Needs Analysis</li> <li>• Learner and Pathway plan</li> <li>• Mapping pathway for learner assessment</li> <li>• Student Eligibility Declaration</li> <li>• Student Induction</li> <li>• Learner Assessment</li> <li>• Australian Core Skills Framework</li> <li>• ELLPA Assessment Kit</li> <li>• Individual Learner &amp; Pathway Plan</li> <li>• Learner Induction</li> </ul>	<p>No rectification required.</p>	

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ELEMENT 2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 2.2</b>.</p> <p>The RTO continuously improves client services by collecting, analysing and acting upon relevant data.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Continuous Improvement Policy</li> <li>• Continuous Improvement Procedure</li> <li>• Continuous Improvement Report</li> <li>• Continuous Improvement Register</li> <li>• Complaints and appeals Register</li> <li>• Incident reports</li> <li>• Tutor/volunteer Feedback</li> <li>• Student Feedback</li> <li>• QI regulator report</li> <li>• Website</li> <li>• HESG Internal Audit</li> </ul>	<p>No rectification required.</p>	



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ELEMENT 2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 2.3</b>.</p> <p>Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Website www.gealc.org.au</li> <li>• Student Handbook 2014</li> <li>• GEALC Term 1 Course Guide 2015</li> <li>• Student induction session</li> <li>• ICT Training Needs Analysis</li> <li>• Learner and Pathway plan</li> <li>• Mapping pathway for learner assessment</li> <li>• Student Eligibility Declaration</li> <li>• Student Induction</li> <li>• Learner Assessment</li> <li>• Australian Core Skills Framework</li> <li>• ELLPA Assessment Kit</li> <li>• Individual Learner &amp; Pathway Plan</li> <li>• Learner Induction</li> </ul> <p>Policies:</p> <ul style="list-style-type: none"> <li>• Marketing and promotional principles</li> </ul> <p>Procedures</p> <ul style="list-style-type: none"> <li>• Marketing</li> </ul>	<p>No rectification required.</p>	

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<b>ELEMENT 2.6 - Learners have timely access to current and accurate records of their participation and progress.</b>			<b>Compliant</b>
<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>	
<p><b>Element 2.6 was Compliant</b></p> <p>Learners have timely access to current and accurate records of the participation and progress.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Form A Learner Plan</li> <li>• Administration, reception, finances, IT and record keeping</li> <li>• Enrolment</li> <li>• Student Management System Data Entry</li> <li>• Student Handbook 2014</li> </ul>	<p>No rectification required.</p>	

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ELEMENT 2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 2.7</b>.</p> <p>The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Student Handbook 2014</li> <li>• Complaints and appeals policy</li> <li>• Complaints and appeals procedure</li> <li>• Assessment Appeals procedure</li> <li>• Complaints and appeals Register</li> <li>• Incident reports</li> <li>• Tutor/volunteer Feedback</li> <li>• Student Feedback</li> <li>• QI regulator report</li> <li>• Website</li> </ul>	<p>No rectification required.</p>	

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Detailed Findings - AQTF Standards

STANDARD 3

ELEMENT 3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 3.1</b>.</p> <p>The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</p>	<p>Evidence reviewed at audit:</p> <p>Policies</p> <ul style="list-style-type: none"> <li>• Administration, reception, finances, IT and record keeping</li> <li>• Enrolment</li> <li>• Student Leave and Withdrawal</li> <li>• Student Management System Data Entry</li> <li>• Records Management and Retention</li> </ul> <p>Procedures</p> <ul style="list-style-type: none"> <li>• Invoice Processing</li> <li>• Enrolment &amp; Payment of Fees</li> <li>• Student Eligibility Guidelines</li> <li>• Student Management- System Data Entry</li> </ul> <p>Forms</p> <ul style="list-style-type: none"> <li>• Enrolment Form</li> <li>• Student Eligibility Declaration</li> <li>• Student Induction</li> <li>• Learner Assessment</li> <li>• Australian Core Skills Framework</li> <li>• ELLPA Assessment Kit</li> </ul>	<p>No rectification required.</p>	

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 27th and 28th November 2014

**RTO:** Glen Eira Adult Learning Centre

	<ul style="list-style-type: none"><li>• Individual Learner &amp; Pathway Plan</li><li>• Learner Induction</li></ul>	
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ELEMENT 3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Element 3.2</b>.</p> <p>The RTO uses a systematic and continuous improvement approach to the management of operations.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Administration, reception, finances, IT and record keeping Policy</li> <li>• Student Management System Data Entry Policy</li> <li>• Records Management and Retention Policy</li> <li>• Version control Policy</li> <li>• Risk Management Policy</li> <li>• Continuous Improvement Policy</li> <li>• Continuous Improvement Procedure</li> <li>• Continuous Improvement Report</li> <li>• Continuous Improvement Register</li> <li>• Complaints and appeals Register</li> <li>• Incident reports</li> </ul> <p>Procedures</p> <ul style="list-style-type: none"> <li>• Budget Management</li> <li>• Bookkeeping</li> <li>• Invoice Processing</li> <li>• Payroll Processing</li> <li>• Fraud prevention</li> <li>• Enrolment &amp; Payment of Fees</li> <li>• Student Eligibility Guidelines</li> <li>• Student Management- System Data Entry Procedures</li> <li>• SMS Manual &amp; SVTS Reporting</li> <li>• Version Control</li> </ul>	<p>No rectification required.</p>	

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

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	<ul style="list-style-type: none"> <li>• Document Standards</li> <li>• Archiving Student Records</li> <li>• Archiving Financial Records</li> <li>• Version Control Register</li> <li>• Archiving Register</li> </ul>	
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ELEMENT 3.4 - The RTO manages records to ensure their accuracy and integrity.		Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>The RTO is <b>Compliant</b> with <b>Element 3.4</b>.</p> <p>The RTO manages records to ensure their accuracy and integrity</p>	<p>Evidence reviewed at audit:</p> <p>Policies</p> <ul style="list-style-type: none"> <li>• Administration, reception, finances, IT and record keeping</li> <li>• Enrolment</li> <li>• Student Leave and Withdrawal</li> <li>• Student Management System Data Entry</li> <li>• Records Management and Retention</li> <li>• Version control</li> </ul> <p>Procedures</p> <ul style="list-style-type: none"> <li>• Budget Management</li> <li>• Bookkeeping</li> <li>• Invoice Processing</li> <li>• Payroll Processing</li> <li>• Fraud prevention</li> <li>• Enrolment &amp; Payment of Fees</li> <li>• Student Eligibility Guidelines</li> <li>• Recognition of Prior Learning</li> <li>• Library Guide</li> <li>• Student Management- System Data Entry</li> <li>• SMS Manual &amp; SVTS Reporting</li> <li>• Version Control</li> <li>• Document Standards</li> <li>• Archiving Student Records</li> <li>• Archiving Financial Records</li> </ul>	<p>No rectification required.</p>



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	<p>Forms</p> <ul style="list-style-type: none"> <li>• Enrolment Form</li> <li>• Student Eligibility Declaration</li> <li>• Student Induction</li> <li>• Learner Assessment</li> <li>• Australian Core Skills Framework</li> <li>• ELLPA Assessment Kit</li> <li>• Individual Learner &amp; Pathway Plan</li> <li>• Learner Induction</li> <li>• Indemnity Form</li> <li>• Class Attendance Roll</li> <li>• Client Code of Conduct</li> <li>• Proof of Enrolment</li> <li>• Version Control Register</li> <li>• Archiving Register</li> <li>• General Retention &amp; Disposal Authority for the Records for Higher and Further Education Institutions</li> </ul> <p>Other resources</p> <ul style="list-style-type: none"> <li>• AMEP Reporting and Management System User Guide</li> <li>• Victorian Student Number Guidelines</li> <li>• Victorian VET Student Statistical Collection Guidelines</li> <li>• Guidelines to determine Student Eligibility</li> <li>• VTG Compliance Complaints</li> <li>• Management Guide</li> </ul>	
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Detailed Findings – VRQA Guidelines for VET Providers

GUIDELINE 1.3 - Staff records for each training and assessment staff member must include the following:		Non-Compliant
<ul style="list-style-type: none"> <li>• Verified or certified and/or signed documents are held by the RTO</li> <li>• Trainer skills matrix – signed by trainer/assessor</li> <li>• Trainer and assessor qualifications - verified by RTO or otherwise certified</li> <li>• Vocational qualifications – verified by RTO or otherwise certified</li> <li>• CV –signed by trainer/assessor</li> <li>• Professional development activities verified and/or signed by trainer/assessor</li> <li>• Position description</li> <li>• Employment contract/agreement</li> </ul>		
Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>The RTO is <b>Non-Compliant</b> with <b>Guideline 1.3</b>.</p> <p>Trainer files do not contain a trainer matrix as required by this guideline.</p>	<p>Evidence reviewed at audit:</p> <p>Policies</p> <ul style="list-style-type: none"> <li>• Recruitment and Employment of Staff</li> <li>• Position Descriptions &amp; Work Agreements for Paid Staff</li> </ul> <p>Procedures</p> <ul style="list-style-type: none"> <li>• Staff Recruitment</li> <li>• Performance Review Procedure.</li> <li>• Tutor performance review</li> </ul> <p>Other</p> <ul style="list-style-type: none"> <li>• Staff Handbook v2</li> <li>• CEGA Delivery Matrix</li> <li>• CSWE Delivery Matrix</li> <li>• Employee induction checklist – no VET reference</li> </ul>	<p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• The RTO must ensure that a signed trainer skills matrix is on all trainer/assessor files.</li> </ul>

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	<ul style="list-style-type: none"> <li>• Neighbourhood Houses &amp; Adult Community Education Centres Collective Agreement 2010</li> <li>• GEALC Tutor Qualifications Register</li> <li>• ESL_Literacy Tutor Interview Record</li> <li>• Agreement for the Provision of Services</li> <li>• Charter of Human Rights and Responsibilities (2006)</li> <li>• Executive Officer Position Description</li> <li>• Education Coordinator Position Description</li> <li>• Finance/Admin Officer Position Description</li> <li>• ESL Tutor Position Description</li> <li>• Literacy Tutor Position Description</li> <li>• Sessional Tutor Position Description</li> <li>• Permanent Part-time Employee Work Agreement (example)</li> <li>• ESL Tutor Employee Work Agreement (example)</li> <li>• Sessional Tutor Work Agreement (example)</li> <li>• Staff Timesheet</li> </ul> <p>Trainer Files</p> <ul style="list-style-type: none"> <li>• Wendy Caswsey</li> <li>• Jenny Boyarski</li> </ul>	
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GUIDELINE 2.1 - The provider must demonstrate that it is able to monitor course quality, externally moderate student performance and drive continuous improvement in course delivery.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Guideline 2.1</b>.</p> <p>The RTO monitors course quality.</p> <p>While the RTO is not following a traditional approach to validation, they are regularly reviewing training and assessment and making improvements which are recorded in the continuous improvement register.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Assessment Moderation Policy</li> <li>• Validation and moderation of assessment tools procedure</li> <li>• Validation checklist for assessment tools</li> <li>• Assessment review checklist</li> <li>• Pre-accredited and accredited validation</li> <li>• Elwood and St Kilda Neighbourhood house</li> </ul>	<p>No rectification required.</p>	

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GUIDELINE 2.2 - The provider must demonstrate that it has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Guideline 2.2</b>.</p> <p>The RTO has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Cheating and plagiarism policy</li> <li>• Cheating and plagiarism procedure</li> <li>• Student Handbook 2014</li> </ul>	<p>No rectification required.</p>	

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GUIDELINE 2.3 - The provider must demonstrate that they can provide quality education and training to students		Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>The RTO is <b>Compliant</b> with <b>Guideline 2.3</b>.</p> <p>The RTO is retaining Master copies of assessments and student's assessment to demonstrate that quality education and training has occurred.</p> <p>The RTO currently retains an attendance roll and session plans to demonstrate participation in training. Each student also has an individual Learning plan.</p> <p>If the RTO is to expand into more training within the HESG funded space they should review the Service agreement carefully, and consider retaining samples of student work as well as all of their assessments for a period of 2 years.</p>	<p>Evidence reviewed at audit:</p> <p>Policies</p> <ul style="list-style-type: none"> <li>• Administration, reception, finances, IT and record keeping</li> <li>• Enrolment</li> <li>• Student Leave and Withdrawal</li> <li>• Student Management System Data Entry</li> <li>• Records Management and Retention</li> <li>• Version control</li> </ul> <p>Procedures</p> <ul style="list-style-type: none"> <li>• Budget Management</li> <li>• Bookkeeping</li> <li>• Invoice Processing</li> <li>• Payroll Processing</li> <li>• Fraud prevention</li> <li>• Enrolment &amp; Payment of Fees</li> <li>• Student Eligibility Guidelines</li> <li>• Recognition of Prior Learning</li> <li>• Library Guide</li> <li>• Student Management- System Data Entry</li> <li>• SMS Manual &amp; SVTS Reporting</li> <li>• Version Control</li> <li>• Document Standards</li> <li>• Archiving Student Records</li> <li>• Archiving Financial Records</li> </ul>	<p>No rectification required.</p>

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	<p>Forms</p> <ul style="list-style-type: none"> <li>• Enrolment Form</li> <li>• Student Eligibility Declaration</li> <li>• Student Induction</li> <li>• Learner Assessment</li> <li>• Australian Core Skills Framework</li> <li>• ELLPA Assessment Kit</li> <li>• Individual Learner &amp; Pathway Plan</li> <li>• Learner Induction</li> <li>• Indemnity Form</li> <li>• Class Attendance Roll</li> <li>• Client Code of Conduct</li> <li>• Proof of Enrolment</li> <li>• Version Control Register</li> <li>• Archiving Register</li> <li>• General Retention &amp; Disposal Authority for the Records for Higher and Further Education Institutions</li> </ul> <p>Other resources</p> <ul style="list-style-type: none"> <li>• AMEP Reporting and Management System User Guide</li> <li>• Victorian Student Number Guidelines</li> <li>• Victorian VET Student Statistical Collection Guidelines</li> <li>• Guidelines to determine Student Eligibility</li> <li>• VTG Compliance Complaints</li> <li>• Management Guide</li> </ul>	
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GUIDELINE 4.1 - A provider must not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Guideline 4.1</b>.</p> <p>The RTO does not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Student Handbook 2014</li> <li>• GEALC Term 1 Course Guide 2015</li> <li>• Term 4 English as a Second Language &amp; Literacy Program Timetable</li> <li>• Term 4 Computer skill &amp; Persona Development Programs Timetable</li> <li>• OH&amp;S Policy</li> <li>• OH&amp;S Procedure</li> </ul>	<p>No rectification required.</p>	



Audit Date: 27th and 28th November 2014

RTO: Glen Eira Adult Learning Centre

GUIDELINE 4.2 - A provider must not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Guideline 4.2</b>.</p> <p>The RTO does not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Student Handbook 2014</li> <li>• GEALC Term 1 Course Guide 2015</li> <li>• Term 4 English as a Second Language &amp; Literacy Program Timetable</li> <li>• Term 4 Computer skill &amp; Persona Development Programs Timetable</li> <li>• OH&amp;S Policy</li> <li>• OH&amp;S Procedure</li> </ul>	<p>No rectification required.</p>	

Audit Date: 27th and 28th November 2014

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GUIDELINE 4.4 - Providers must indicate the measures they intend to take to address matters of student safety.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is <b>Compliant</b> with <b>Guideline 4.4</b></p> <p>Both the RTO and School policies are designed to address matters of student wellbeing and Safety.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Student Handbook 2014</li> <li>• GEALC Term 1 Course Guide 2015</li> <li>• Term 4 English as a Second Language &amp; Literacy Program Timetable</li> <li>• Term 4 Computer skill &amp; Persona Development Programs Timetable</li> <li>• OH&amp;S Policy</li> <li>• OH&amp;S Procedure</li> </ul>	<p>No rectification required.</p>	

Audit Date: 27th and 28th November 2014

RTO: Glen Eira Adult Learning Centre

GUIDELINE 5.1 - The provider must demonstrate that they have the capacity to deliver and assess ALL the courses requested/on the scope of registration.			Non-Compliant
GF5.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is <b>Non-Compliant</b> with <b>Guideline 5.1</b></p> <p>Assessment for the unit(s) VU21359 &amp; VU21360 that is not consistent with the requirements of the unit(s) of competency.</p> <p>Assessment does not meet the critical aspects of assessment or essential skills and knowledge.</p> <p>Mapping documents in place only address the elements &amp; performance criteria.</p> <p>Employability skills, contained in Appendix A of the Curriculum Document have not been mapped to the assessment tasks. The students are not necessarily undertaking this course for employment purposes, however, a mapping of the assessment tasks is required for this guideline</p>	<p>Evidence reviewed at audit:</p> <p>Policies</p> <ul style="list-style-type: none"> <li>• Recognition of Prior Learning (RPL)</li> <li>• Delivery and Assessment Strategies policy</li> <li>• CEGA Delivery Matrix</li> <li>• CSWE Delivery Matrix</li> <li>• Asset Register</li> </ul> <p>Procedure</p> <ul style="list-style-type: none"> <li>• Recognition of Prior Learning (RPL)</li> <li>• Assessment Review</li> <li>• Assessment Moderation</li> <li>• Delivery and Assessment Strategies procedure</li> <li>• Completion of Assessment &amp; Recording of Results</li> </ul> <p>Forms</p> <ul style="list-style-type: none"> <li>• Assessment Appeal Application V1</li> <li>• Assessment Appeal Review checklist</li> <li>• Accredited course learning plan</li> <li>• Assessment Achievement Summary</li> <li>• Assessment Cover Sheet</li> <li>• Assessment Task Record Sheet</li> <li>• RPL Application</li> <li>• Assessment Review Checklist.</li> </ul>	<p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• <b>The RTO should map their assessment tasks to the critical aspects of assessment, essential skills and knowledge and employability skills.</b></li> </ul>

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

**Audit Date:** 27th and 28th November 2014

**RTO:** Glen Eira Adult Learning Centre

	<ul style="list-style-type: none"> <li>• Minutes from Internal Tutor PD &amp; Moderation Sessions (<i>filed in Education Coordinator's Office</i>)</li> <li>• Assessment Review Checklist</li> <li>• CEGA Delivery Matrix</li> <li>• CSWE Delivery Matrix</li> </ul> <p>Units audited</p> <ul style="list-style-type: none"> <li>• Module F SWEREC106A comprehending &amp; telling spoken recounts</li> <li>• Module L SWENEW112A comprehending short news and information texts</li> <li>• VU21360 Create a range of texts of some complexity for learning purposes</li> <li>• VU21359 Create a range of complex texts for personal purposes</li> </ul>	
Finding	Evidence/Documentation Reviewed	Required Rectification(s)
The RTO has met the requirements of this aspect of Guideline 5.1	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> <li>• Occupancy permit</li> <li>• Asset Register</li> </ul> <p>Service Agreements</p> <ul style="list-style-type: none"> <li>• Adult Community &amp; Further Education Board</li> <li>• Skills Victoria</li> <li>• Adult Migration Education Services</li> <li>• City Of Glen Eira Council</li> <li>• Ormond Uniting Church</li> <li>• Department of Human Services</li> </ul>	No rectification required.

**Audit Date:** 27th and 28th November 2014

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	<ul style="list-style-type: none"> <li>• Non-recurrent grants applied for on an annual basis.</li> </ul> <p>Record Sheets for:</p> <ul style="list-style-type: none"> <li>• Module F SWEREC106A comprehending &amp; telling spoken recounts</li> <li>• Module L SWENEW112A comprehending short news and information texts</li> <li>• VU21360 Create a range of texts of some complexity for learning purposes</li> <li>• VU21359 Create a range of complex texts for personal purposes</li> </ul>	
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#### **Improvement Opportunities**

The Assessment Record sheet provides a mapping of the assessment tasks to the unit/module requirements. While the Assessments audited for the Certificate in Written and Spoken English were compliant, the record sheet does not actually state the requirement for 2 pieces of evidence. Two tasks are being used for each Learning outcome. This requirement should be added to the Assessment Record sheet.