

**Audit Date: 26/27 November 2019**

**RTO: Yarraville Community Centre Inc.**

<b>Applicant Details</b>			
Applicant Name	Yarraville Community Centre Inc.	TOID	4207
Address	59 Francis St., Yarraville VIC 3013		
	Website	www.ycc.net.au	
Registration Contact	Ms Christine McCall		
Phone Number	(03) 9687 1560	Email	yarracc@ycc.net.au
<b>Audit Team</b>			
Audit Firm	ShineWing Australia	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Christine McCall, CEO Melissa Gifford, Education Manager Heather Naylor, Foundation Coordinator
<b>Registering Body Details</b>			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
<b>Audit Details</b>			
Type of Audit	<b>Re-registration Audit</b>		
Conditions Audited	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, 3.4
2016 VRQA Guidelines Audited	3.1, 3.2	4.1, 4.2	
Audit Date/s	26/27 November 2019		
<b>RTO Background</b>			
<p><b>Organisation background</b></p> <p>Yarraville Community Centre Inc. (YCC) is a not-for-profit organisation that is managed by an independent Board comprising people who live and work in the area. The Centre is managed by a CEO and employs a team of support staff and full time and sessional trainers/assessors. The team is assisted by a team of dedicated volunteers.</p> <p>YCC is a registered training organisation, Adult Community and Further Education provider, Learn Local provider, Adult Migrant English Program (AMEP) provider, Neighbourhood House, and Skills for Education and Employment program (SEE) provider. YCC is also registered to provide occasional care. YCC programs and services are supported by the City of Maribyrnong and by Federal and State Governments.</p> <p>The centre delivers a diverse range of courses each year from migrant English and computer courses through to arts, cooking, music and health.</p> <p>It operates as a community hub that provides education, training and support to more than 2000 people each week. The centre has been operating for over 45 years.</p>			

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It offers a range of government funded, accredited and pre-accredited training programs and is Centrelink approved, including:

- Accredited training in the Certificates of General Education for Adults and Certificates in English as an Alternative Language at levels introductory to Certificate IV, supported by Skills First funding
- Pre-accredited training support by ACFE funding
- English language classes through the skills for Education and Employment (SEE) and the Adult Migrant English program (AMEP) with programs supported by the Department of Education and Training and the Department of Home Affairs

and

- Short courses including IT, arts, gardening, dance, hospitality, computers and business, health and wellbeing.
- Support for disadvantaged learners
- Classes for asylum seekers.

Training is delivered at locations in Maribyrnong, Maidstone, Footscray, West Footscray and Yarraville.

The Centre is part of a well-connected community, including the Angliss and Wynham Neighbourhood Houses and the learning for employment consortium. This group has joined together to manage compliance, with the aim to strengthen delivery and compliance. They have also developed an intranet portal for students and trainers containing teaching and learning resources.

The centre's main site in Francis Street, Yarraville was originally home to the Yarraville State School, which was established in 1866. When the building was destroyed by fire in 1888 the current site was redeveloped. The primary school closed in the early 1970s and became the YCC in 1975, amalgamating with the Blackwood Street Neighbourhood House in 2000. Serious deterioration put the original building (and the YCC) in jeopardy. In 2006, a major community campaign was launched to secure funding to restore the building and expand the programs and services. The Blackwood Street site is another heritage building in a unique setting. Originally an old quarryman's cottage built in the 1800s, it sits in the middle of tranquil Beaton Park. New premises in Victoria Street, Footscray have been fitted out with six brand new classrooms which are ideal for meetings, conferences or courses.

### **RTO operations**

Yarraville Community Centre Inc. registered as a registered training organisation in 1996 and has been operating for almost 25 years, delivering training in foundation skills programs.

The CEO has been working with the organisation for 25 years, initially as a Course Coordinator and Neighbourhood House Coordinator, has been the CEO for the past 10 years and has extensive experience in community development and education through her role as a member of numerous organisational Boards, Committees, Regional Council and committee member for specialist programs. The manager is supported by two key positions – Education Manager and Foundation Skills Coordinator.

The Foundation Skills Coordinator has been with the organisation for 18 months and has extensive experience as a foundation skills teacher, having delivered training with AMES and community participation through local Councillor and local library development. She has experience in setting up Skype learning platforms. The Education Manager has been with the Centre for three years, having previously worked in other Community Colleges and with eight years as a secondary teacher, teaching experience overseas and as a TAFE teacher for 22 years, delivering legal programs.

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The centre employees approximately 40 staff, in various capacities, including full-time and sessional trainers/assessors, tutors and mentors. The Centre manages a volunteer program, training volunteers to participate in classes to support learners.

The RTO client cohorts include mainly disadvantaged learners, including new arrivals to Australia who often have barriers to learning, are keen to learn English and who wish to re-engage with education.

The current scope of registration includes courses in Certificates I – IV in English as an Alternative Language and the course and Certificates in General Education for Adults I – III.

Accredited training is delivered with support through the Victorian Skills First program and ACFE Learn Local funding.

Enrolments in 2018 included approximately 700 learners and to date in 2019, 614 learners.

Training is delivered in a range of locations in the western metropolitan region of Melbourne. Training locations include Maribyrnong, Braybrook, Maidstone, Footscray, West Footscray and Yarraville.

In response to community interests and needs, the centre plans to increase its scope of registration in 2020 and has submitted an application for increase in scope to include a number of community services Certificate III qualifications.

### **Summary of audit findings.**

The centre has employed a team of skilled coordinators with extensive skills in education and training and compliance management which has resulted in developing and maintaining a quality management system, providing leadership for its range of experienced full-time and part-time/sessional trainers/assessors and support for its diverse range of learners.

Trainers/assessors were well qualified and experienced in teaching in the community education setting and participated in activities to further develop their skills and remain current with changes in courses.

The audit identified that Yarraville Community Centre Inc. had not developed and implemented a systematic approach to the continuous improvement of its operations, however the level of compliance identified at audit confirmed that this was not a high-risk area.

Assessment Outcome Records do not clearly identify the required assessment tasks satisfactorily completed and that the student was deemed competent for the unit, based on the satisfactory completion of assessment tasks. For the student files reviewed at audit, it was confirmed that students had completed required assessment tasks with evidence maintained on file, therefore this non-compliance did not indicate a high risk.

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Qualifications/Units Audited <sup>1</sup>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
<b>22484VIC</b>	<b>Certificate I in EAL (Access)</b> Units: VU22591 Participate in short simple exchanges VU22593 Read and write short simple messages and forms.	Maribymong, Braybrook, Maidstone, Footscray, West Footscray and Yarraville.
<b>22473VIC</b>	<b>Certificate II in General Education for Adults</b> Units: VU22424 - Investigate and use simple mathematical formulae and problem solving techniques VU22420 - Create a range of complex texts to participate in the workplace HLTAID003 Provide first aid	Maribymong, Braybrook, Maidstone, Footscray, West Footscray and Yarraville.
<b>22487VIC</b>	<b>Certificate IV in EAL (Access)</b> Units: VU22411 - Research pathways and produce a learning plan and portfolio VU22626 - Research events in Australian history post 1770	Maribymong, Braybrook, Maidstone, Footscray, West Footscray and Yarraville.

Interviewee(s) – Staff name and position; employer name and position	
Class of ten students	Certificate I in EAL (Access)
Despina Davatzis	Trainer: Certificate I and II EAL, Skills First (two years), Maidstone, Maribymong
Geoff Marshall	Trainer: Certificate I EAL, AMEP (ten years), Footscray

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
Training was delivered at five locations in Maribymong, Maidstone, Footscray, West Footscray and Yarraville.		

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

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Third party Arrangements –	Yes	No
Do the RTO's third party arrangements match the information provided by the VRQA?	X	
No third party or auspice arrangements had been entered into for the delivery and assessment of units.		

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**Audit Summary - AQTF Conditions of Registration**

<b>AQTF Conditions</b>		<b>Compliant</b>	<b>Non - Compliant</b>	<b>Not audited</b>
<b>Place an X in the appropriate column</b>				
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation	X		
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	X		
7	Recognition of Qualifications Issued by other RTOs	X		
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses	X		

**Audit Summary - AQTF Standards**

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<b>Standard 1</b>	<b>X</b>		
1.1 – Continuous Improvement Strategy	X		
1.2 – Training and Assessment Strategies	X		
1.3 – Training and Assessment Resources	X		
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies		X	
<b>Standard 2</b>	<b>X</b>		
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services		X	
2.3 – Provision of Information to Clients	X		
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy	X		
<b>Standard 3</b>	<b>X</b>		
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations		X	
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management	X		
<b>Summary of Non-Compliance<sup>2</sup></b>			
<p><b>SF.1.5.1</b> For the unit assessments reviewed at audit, the recording and reporting of assessment outcomes were included on a Unit Outcome Sheet. The Outcome Sheet did not identify the assessment task satisfactorily completed and did not included the outcome of Competent or Not Yet Competent for the unit, based on the satisfactory completion of each assessment task.</p> <p><b>SF.2.2.1</b> Yarraville Community Centre Inc. did not have mechanisms in place to collect relevant data to support continuous improvement of client services that included strategies for the collection of appropriate data and analysis of the data to identify improvement opportunities.</p> <p><b>SF.3.2.1</b> Yarraville Community Centre Inc. had not developed or implemented a systematic and continuous improvement approach to the management of operations.</p>			

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

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**Audit Summary – 2016 VRQA Guidelines for VET Providers**

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
<b>1. Governance, Financial viability and Management systems</b>			<b>X</b>
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
<b>2. Transparency and oversight of third parties</b>			<b>X</b>
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
<b>3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)</b>	<b>X</b>		
3.1 – Vocational & Industry skill requirements	X		
3.2 – Training and Assessment (TAE) skill requirements	X		
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
<b>4. Delivery of training and assessment services</b>		<b>X</b>	
4.1 – Training and assessment practices	X		
4.2 – Amount of training		X	
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
<b>5. Annual Declaration of Compliance</b>			<b>X</b>
5.1 – Annual Declaration of Compliance			X

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**Summary of Non-Compliance<sup>3</sup>**

**GF.4.2.1**

Though Yarraville Community Centre Inc. had identified a duration for each qualification reviewed at audit, and had determined the amount of training it provided, a rationale to identify and confirm that the duration and amount of training was sufficient for each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery was not included in the training arrangements.

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

**Detailed Findings - AQTF Conditions of Registration**

<b>CONDITION 1 - Governance</b>		<b>Not audited in Phase 2 audit</b>
<b>Evidence/Documentation Reviewed</b>		
Not audited as part of this Re-registration Audit.		
<b>CF.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Not audited as part of this Re-registration Audit.	N/A
<b>CONDITION 2 - Interactions with the Registering Body</b>		<b>Not audited in Phase 2 audit</b>
<b>Evidence/Documentation Reviewed</b>		
Not audited as part of this Re-registration Audit.		
<b>CF. 2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Not audited as part of this Re-registration Audit.	N/A

<b>CONDITION 3 - Compliance with Legislation</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Sample of emails providing staff legislation updates</li> <li>• Sample of minutes – Monthly Staff Meetings</li> <li>• Student Information Handbook - legislation, learner requirements and expectations</li> <li>• Sample of files - X drive –folders with policies legislation related</li> <li>• Teacher/trainer Handbook for Skills First</li> <li>• General Information for Students at Yarraville Community centre 2019.</li> <li>• Trainer/assessor Position Descriptions</li> </ul>		
<b>CF.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Yarraville Community Centre Inc. had identified and implemented relevant Commonwealth, State or Territory legislation and regulatory requirements that were relevant to its operations and its scope of registration. It ensured that its staff and clients were fully informed of these requirements that affected their duties or participation in vocational education and training through staff meetings, email updates, access X-Drive policies and procedures the Student Information Handbook and the General Information for Students at Yarraville Community Centre 2019.</p>	N/A

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<b>CONDITION 4 - Insurance</b>		<b>Not audited in Phase 2 audit</b>
<b>Evidence/Documentation Reviewed</b>		
Not audited as part of this Re-registration Audit.		
<b>CF. 4</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Not audited as part of this Re-registration Audit.	N/A

<b>CONDITION 5 - Financial Management</b>		<b>Not audited in Phase 2 audit</b>
<b>Evidence/Documentation Reviewed</b>		
Not audited as part of this Re-registration Audit.		
<b>CF. 5</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Not audited as part of this Re-registration Audit.	N/A

<b>CONDITION 6 - Certification &amp; Issuing of Qualifications &amp; Statements of Attainment</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Pre-enrolment interview – collection of information and provision of information</li> <li>• Student Information Handbook – RPL and Credit Transfer</li> <li>• Sample Copy of Certificate</li> <li>• Sample copy of Statement of Attainment</li> <li>• Sample of VETtrak entries – Certificates and Statements of Attainment</li> <li>• Register of Certificates and Statements of Attainment issued</li> <li>• Records Management Policy</li> <li>• VETtrak Student Data Management System</li> <li>• Monthly SVTS reporting</li> <li>• Enrolment form</li> <li>• VETtrak entries</li> <li>• Sample of SVTS monthly reports</li> <li>• USI Enrolment Form</li> <li>• Sample of VETtrak entries</li> </ul>		
<b>CF.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Yarraville Community Centre Inc. had issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF) TGA. The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.		N/A
<b>CF.6.2.</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
Yarraville Community Centre Inc. had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years.		N/A

<b>CF.6.3.</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. had a student records management system in place that had the capacity to provide the registering body with AVETMISS compliant data.	N/A
<b>CF.6.4.</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2019 through monthly SVTS reporting.	N/A
<b>CF.6.5.</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. met the requirements for implementation of a national unique student identifier.	N/A

<b>Improvement Opportunities</b>
<p><b>CF.6.1</b> Yarraville Community Centre Inc. would benefit by:</p> <ul style="list-style-type: none"> <li>• Ensuring the correct name is used on the Certificate by including the word 'Inc.'</li> <li>• Using the current VRQA logo or not using the VRQA on the Certificate.</li> <li>• Checking the source of the NRT logo to ensure that it is used in compliance with its conditions of use.</li> </ul>

<b>CONDITION 7 - Recognition of Qualifications Issued by other RTOs</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Student Information Handbook</li> <li>• Enrolment Forms</li> <li>• Teacher/trainer Handbook for Skills First</li> </ul>		
<b>CF.7.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. had procedures in place for the recognition of AQF Qualifications and Statements of Attainment issued by any other RTO. Students were informed in the Student Handbook 2019.	N/A
<b>Improvement Opportunities</b>		
Yarraville Community Centre Inc. would benefit by including in the Teacher/trainer Handbook information about Credit Transfer and RPL.		



<b>CONDITION 8 - Accuracy and Integrity of Marketing</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
Marketing: <ul style="list-style-type: none"> <li>• Website</li> <li>• Word of mouth</li> <li>• Brochures</li> <li>• Trifold of list of courses</li> <li>• Student Individual Training Plan – progress information.</li> </ul>		
<b>CF.8.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. had ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration. The NRT logo was employed in accordance with its conditions of use.	N/A
<b>Improvement Opportunities</b>		
Yarraville Community Centre Inc. would benefit by reviewing website course information and pre-enrolment informational materials, to ensure that there is an accessible source of information about course content and delivery, for students to access prior to enrolment and ensure that the information includes information about duration, weekly training requirements, course content, delivery methods, assessment methods.		

CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses		Compliant
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Course Transition Policy and Procedures</li> <li>• Current Scope of Registration</li> </ul>		
CF.9.1	Finding	Required Rectification(s)
	<p>Yarraville Community Centre Inc. had provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA. The Course Transition Policy and Procedures outlined the steps to be taken to ensure that teach out occurred within 12 months of the new endorsement and to provide credit transfer to the new qualification. The transition information for the transition of accredited courses did not identify that students will not be enrolled in an accredited course, after its expiry date.</p>	N/A
<b>Improvement Opportunities</b>		
<p>Yarraville Community Centre Inc would benefit by elaborating on arrangements for the transition from superseded accredited courses and including in procedures that students will not be enrolled in an accredited course after its expiry date.</p>		

**Detailed Findings - AQTF Standards**

<b>ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Validation schedule Yarraville Community Centre Inc. 2019 – 2023 Validation Schedule</li> <li>• Continuous Improvement Register</li> <li>• Website – Quality Indicator Report 2019</li> <li>• Samples of completed Internal Student Survey</li> <li>• Sample of staff meeting minutes – feedback on learning and assessment arrangements – areas for improvement</li> <li>• Sample of assessment validation reports – areas for improvement</li> <li>• Sample feedback received form Footscray Employers' Association, local council officers, job information, ACFE information, Job Active, Centrelink</li> <li>• Community of practice meeting minutes – ACFE programs- areas for improvement.</li> </ul>		
<b>SF.1.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. collected, analysed and acted on relevant data for continuous improvement of training and assessment. Feedback had been sought from a number of sources. Networks provided valuable input to effective delivery and assessment. Student feedback was sought through surveys and verbal discussions, however, the feedback was not recorded.	N/A

<b>Improvement Opportunities</b>
<p>Yarraville Community Centre Inc. would benefit from:</p> <ul style="list-style-type: none"> <li>• Including on the Continuous Improvement Register and in staff meeting minutes, proposed dates for the periodic review of effectiveness of actions implemented.</li> <li>• Conducting periodic focus group meetings of a representative sample of students to review learning and assessment arrangements and how these may be improved.</li> <li>• Developing an Annual Schedule to identify the feedback and data collections strategies to be implemented over the year, and the dates that these will be implemented.</li> </ul>

<b>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.</b>	<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>	
<p>Learning and assessment strategies for the following qualifications and units:</p> <p><b>22484VIC Certificate I in EAL (Access)</b> Units:</p> <ul style="list-style-type: none"> <li>• VU22591 Participate in short simple exchanges</li> <li>• VU22593 Read and write short simple messages and forms</li> </ul> <p><b>22473VIC Certificate II in General Education for Adults</b> Units:</p> <ul style="list-style-type: none"> <li>• VU22424 - Investigate and use simple mathematical formulae and problem solving techniques</li> <li>• VU22420 - Create a range of complex texts to participate in the workplace</li> <li>• HLTAID003 Provide first aid</li> </ul> <p><b>22487VIC Certificate IV in EAL (Access)</b> Units:</p> <ul style="list-style-type: none"> <li>• VU22411 - Research pathways and produce a learning plan and portfolio</li> <li>• VU22626 - Research events in Australian history post 1770</li> </ul> <p>Training and assessment strategies for each course            Program scheduling and sequencing – including Summary of Learning Approaches and Assessment Evidence Methods            Unit Lesson Plans for units sampled at audit            Industry consultation – network meetings</p>	

<b>SF.1.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Strategies for training and assessment met the requirements of the relevant or accredited courses and were developed in consultation with industry. Though the training and assessment strategies identified Reasonable Adjustment and Student Support, the specific strategies and areas of adjustment and support were not identified. The training and assessment strategies did not include a rationale for the Amount of Training, based on the experiences and capabilities of students. (See Guideline 4.2)</p>	<p>N/A</p>
<b>Improvement Opportunities</b>		
<p>Yarraville Community Centre Inc. would benefit from including in Training and Assessment Strategies:</p> <ul style="list-style-type: none"> <li>• The Reasonable adjustment strategies that could be applied, based on the cohorts of learners</li> <li>• The specific areas of student support that the centre provides to learners and to also include this in informational materials for students</li> <li>• A rationale for the Amount of Training, based on the experiences and capabilities of students. (See Guideline 4.2)</li> </ul>		

<p><b>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.</b></p>	<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<p>Staff, facilities, equipment and training and assessment materials for the following qualifications and units:</p> <p><b>22484VIC Certificate I in EAL (Access)</b> Units:</p> <ul style="list-style-type: none"> <li>• VU22591 Participate in short simple exchanges</li> <li>• VU22593 Read and write short simple messages and forms</li> </ul> <p><b>22473VIC Certificate II in General Education for Adults</b> Units:</p> <ul style="list-style-type: none"> <li>• VU22424 - Investigate and use simple mathematical formulae and problem solving techniques</li> <li>• VU22420 - Create a range of complex texts to participate in the workplace</li> <li>• HLTAID003 Provide first aid</li> </ul> <p><b>22487VIC Certificate IV in EAL (Access)</b> Units:</p> <ul style="list-style-type: none"> <li>• VU22411 - Research pathways and produce a learning plan and portfolio</li> <li>• VU22626 - Research events in Australian history post 1770</li> </ul> <p>Learning resources included:</p> <ul style="list-style-type: none"> <li>• Session plans for each unit identifying specific resources for each unit</li> <li>• Books and references available – library resources</li> <li>• Learning activities and revision tasks</li> </ul> <p>Assessment resources included:</p> <ul style="list-style-type: none"> <li>• Specific assessment activities for each unit – student activities and trainer guides</li> </ul>	

Trainers/assessor information identified:

2018 - 2019 Register of Trainers and Assessors for foundation skill courses – 19 part-time trainers/assessors (18 EAL and 1 CGEA)

Training facilities included:

- Training locations at Maribyrnong, Braybrook, Maidstone, Footscray, West Footscray and Yarraville.
- Each included equipped training rooms, computer lab, staff preparation facilities, office/reception, student lounge/dining facilities, outdoor recreation facilities.

**HLTAID003 Provide first aid**

Resources:

- Emergency First Aid, John Haines
- Theory Assessment Workbook
- Part of the teacher workbook – Topic 13
- Session Plan – 2 days (13 hours class based plus 3 hours self-study)
- Candidate Instructions
- Assessor Instructions

SF.1.3.1	Finding	Required Rectification(s)
	<p>Staff, facilities, equipment and training and assessment materials used by the RTO were consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies. Training was delivered at six locations, each had allocated training rooms, computer lab and library resources. Nineteen part time trainers/assessors were identified. Learning and assessment resources were reviewed for each unit sampled at audit. These were developed by YCC staff and collective with network members.</p>	<p>N/A</p>

<p><b>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</b></p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	<p><b>Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<p>Trainer/assessor information for the following qualifications and units:</p> <p><b>22484VIC Certificate I in EAL (Access)</b>  Units:  VU22591 Participate in short simple exchanges  VU22593 Read and write short simple messages and forms</p> <p><b>22473VIC Certificate II in General Education for Adults</b>  Units:  VU22424 - Investigate and use simple mathematical formulae and problem solving techniques  VU22420 - Create a range of complex texts to participate in the workplace  HLTAID003 Provide first aid</p> <p><b>22487VIC Certificate IV in EAL (Access)</b>  Units:  VU22411 - Research pathways and produce a learning plan and portfolio  VU22626 - Research events in Australian history post 1770</p> <p>Register of Trainers/assessors 2018 and 2019.  Current Trainers/assessors: Currently 19 part time trainers, 18 EAL and 1 CGEA</p>	



<p>Trainer files reviewed:</p> <ul style="list-style-type: none"> <li>• Despina Davatzis, delivering Certificate I and II EAL, Skills First (two years), Maidstone, Maribyrnong</li> <li>• Geoff Marshall, delivering Certificate I EAL, AMEP (ten years), Footscray</li> <li>• Freya Don Santos, delivering Certificates in EAL</li> <li>• Steven Hal, delivering Certificates in EAL</li> <li>• Ana Ibaniz, delivering Certificates in EAL</li> <li>• Sharyn Maude, delivering Certificates in EAL</li> <li>• Clare Watts, delivering vocational units - Certificates in CGEA</li> <li>• Michelle Ryan, delivering Certificates in EAL</li> </ul>		
SF.1.4.1	Finding	Required Rectification(s)
	<p>Training and assessment was delivered by trainers and assessors who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed, could demonstrate current industry skills directly relevant to the training/assessment being undertaken and continued to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p> <p>Yarraville Community Centre Inc. employed a combination of nineteen fulltime and part-time Trainers/assessors across its six training locations. In addition to holding the pre-requisite trainer/assessor qualifications and industry currency, all the trainers/assessors held the required vocational qualifications as identified in the relevant course documentation.</p>	N/A

Improvement Opportunities
<p>Yarraville Community Centre Inc. would benefit by further developing its register of trainers/assessors so that it identifies, for each trainer/assessor, the qualifications/courses that they deliver and the relevant vocational qualifications that they hold, consistent with requirements identified in the relevant course documentation.</p>

<p><b>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):</b></p> <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><b>Non-Compliant</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>	
<p>Assessment strategies for the following qualifications and units:</p> <p><b>22484VIC Certificate I in EAL (Access)</b></p> <p>Units:</p> <ul style="list-style-type: none"> <li>• VU22591 Participate in short simple exchanges</li> <li>• VU22593 Read and write short simple messages and forms</li> </ul> <p><b>22473VIC Certificate II in General Education for Adults</b></p> <p>Units:</p> <ul style="list-style-type: none"> <li>• VU22424 - Investigate and use simple mathematical formulae and problem solving techniques</li> <li>• VU22420 - Create a range of complex texts to participate in the workplace</li> <li>• HLTAID003 Provide first aid</li> </ul> <p><b>22487VIC Certificate IV in EAL (Access)</b></p> <p>Units:</p> <ul style="list-style-type: none"> <li>• VU22411 - Research pathways and produce a learning plan and portfolio</li> <li>• VU22626 - Research events in Australian history post 1770</li> </ul> <p><b>22484VIC Certificate I in EAL (Access)</b></p> <p><b><i>VU22591 Participate in short simple exchanges</i></b></p>	

**Audit Date: 26/27 November 2019**

**RTO: Yarraville Community Centre Inc.**

Task A - Text message

Task B – Library form

Completed student assessments - Teacher Sharyne Maude 4/6/2019 (West Footscray)

Student files:

- Tu Trinh Aa 4/6/2019, C/NYC
- Quan Binh Lu, C
- Thuan Minh Bui, C
- Tuyet Tran, NYC
- Tam Phan, C

***VU22593 Read and write short simple messages and forms.***

Task A - Read and write a message and card

Task B - Read and complete a form

Completed student assessments - Teacher Sharyne Maude 4/6/2019 (West Footscray)

- Tu Trinh Aa 4/6/2019, NYC
- Quan Binh Lu, NYC
- Thuan Minh Bui, C
- Tuyet Tran, NYC
- Tam Phan, C

**22473VIC Certificate II in General Education for Adults**

***VU22424 - Investigate and use simple mathematical formulae and problem solving techniques***

Assessment Activity 25, Individual Plan, 3

Client enrolment reports for and completed files:

- Amber Naeem, start 1/5/2019, end 20/9/2019 (18 – 20 weeks) C, 11 of 12 units
- Ann Gradkowskil, start 1/5/2019, end 20/9/2019 (18 – 20 weeks) C, 11 of 12 units
- Joy Rudd, start 1/5/2019, end 20/9/2019 (18 – 20 weeks) C, 11 of 12 units
- Henry Eraza, start 1/5/2019, end 20/9/2019 (18 – 20 weeks) C, 11 of 12 units

**Audit Date: 26/27 November 2019**

**RTO: Yarraville Community Centre Inc.**

***VU22420 - Create a range of complex texts to participate in the workplace***

Assessment Tasks 9, 10, 15, 18, 21, 22. Assessment activities 37 – 45, 64, 67, 72 – 77.

- Amber Naeem, start 1/5/2019, end 20/9/2019 (18 – 20 weeks) C, 11 of 12 units
- Ann Gradkowskil, start 1/5/2019, end 20/9/2019 (18 – 20 weeks) C, 11 of 12 units
- Joy Rudd, start 1/5/2019, end 20/9/2019 (18 – 20 weeks) C, 11 of 12 units
- Henry Eraza, start 1/5/2019, end 20/9/2019 (18 – 20 weeks) C, 11 of 12 units

***HLTAID003 Provide first aid***

Resources:

- Emergency First Aid, John Haines
- Theory Assessment Workbook
- Part of the teacher workbook – Topic 13
- Session Plan – 2 days (13 hours class based plus 3 hours self-study)
- Candidate Instructions
- Assessor Instructions
- Workbook Answer Sheet
- Workbook answer Sheet Overlay

No students had completed assessment.

***22487VIC Certificate IV in EAL (Access)***

***VU22411 - Research pathways and produce a learning plan and portfolio***

Assessment Task 25, Activities 3, 4, 5

Assessment Task 1, Activity 3 - Evaluating your project

Assessment Task 2, Activity 11 - Organisations that you have interacted with

Assessment Task 3, Activity 13 What do you really want to do

Assessment Task 4, Roadmap of life so far

Assessment Task 25, Developing a budget

Assessment Task 6, Project budget

Assessment Task 7, Activity 30, filling out your claims

Assessment Task 8, Activity 33 Practice your communication skills

No students had completed assessments.

***VU22626 - Research events in Australian history post 1770***

Assessment Tasks:

1. A. Examine coastal exploration. B. Present findings.
2. Describe role of convicts. No completed student assessments in the European settlement of Australia.
3. Investigate a major event and describe impact on settlement.
4. Prepare a research report on the findings of the major event.

No students had completed assessments.

SF.1.5.1	Finding	Required Rectification(s)
	<p>Assessments met the requirements of the relevant accredited course and were conducted in accordance with the principles of assessment and the rules of evidence, met the workplace regulatory requirements and were systematically validated. Assessment tasks assessed unit assessment requirements and completed student assessments were retained to confirm satisfactory completion.</p> <p>For the unit assessments reviewed at audit, the recording and reporting of assessment outcomes were included on a Unit Outcome Sheet. The Outcome Sheet did not identify the assessment task satisfactorily completed and did not included the outcome of Competent or Not Yet Competent for the unit based of the satisfactory completion of each assessment task. The Unit Outcome Sheet identified 'satisfactory' against each unit element and performance criteria rather than the completed assessment tasks.</p>	<p><b><u>VRQA Comment</u></b> <b>This item has been amended from the draft report</b></p> <p>Yarraville Community Centre Inc. is required to:</p> <ul style="list-style-type: none"> <li>• Develop a template Unit Assessment Outcome form that may be used as a coversheet for all completed and marked student assessments, and that identifies:               <ul style="list-style-type: none"> <li>• The unit (Code and Title)</li> <li>• Assessment tasks completed and provision for including a 'satisfactory' or 'not satisfactory' outcome for each task with a date and trainer/assessor initials</li> <li>• A clear statement that the assessor has made a professional judgement of the competence of the student for the unit, signed and dated by the assessor</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>Provision for the student to sign to confirm that they have been provided with feedback on the unit outcome.</li> </ul>
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2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> <li>Samples of documentation related to pre-training reviews conducted, for the sample of student files reviewed at audit</li> <li>Samples of completed pre-training review checklists</li> <li>Student Handbook – Student support, welfare and guidance services identified:               <ul style="list-style-type: none"> <li>Occasional childcare</li> <li>Referral to social and government services – ask a staff member</li> <li>Access to kitchen facilities and tea and coffee is provided</li> <li>Photocopying</li> <li>Access to computer and internet</li> <li>Translation and interpreting services</li> </ul> </li> <li>Academic support information</li> <li>Volunteer support – working in the classroom</li> <li>Notes maintained on the sample of student files reviewed at audit</li> <li>Interview of a class of students – Certificate I in EAL</li> </ul>		
SF.2.1.1	Finding	Required Rectification(s)
	Yarraville Community Centre Inc. had established the needs of clients through the conduct of pre-training reviews to identify learner needs and delivered services to meet these needs as confirmed by documentation maintained on student files. Student support for academic support was identified.	N/A



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

**Audit Date: 26/27 November 2019**

**RTO: Yarraville Community Centre Inc.**

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Non-Compliant
Evidence/Documentation Reviewed		
<p>No evidence provided to confirm that Yarraville Community Centre Inc continuously improved client services by collecting, analysing and acting upon relevant data.</p> <p>Mechanisms in place to collect relevant data to support continuous improvement of client services and consider whether it covered the following requirements:</p> <ul style="list-style-type: none"> <li>a) Collection of appropriate data</li> <li>b) Analysis of the data to identify improvement opportunities</li> <li>c) How the RTO monitored implementation of the improvement opportunities</li> </ul>		
SF.2.2.1	Finding	Required Rectification(s)
	<p>Yarraville Community Centre Inc. did not have mechanisms in place to collect relevant data to support continuous improvement of client services that included strategies for the collection of appropriate data and analysis of the data to identify improvement opportunities. Yarraville Community Centre Inc. had not collected data for the continuous improvement of client services to enable the analysing and acting upon relevant information to ensure that student services met student needs.</p>	<p><b><u>VRQA Comment</u></b> <b>This item has been amended from the draft report</b></p> <p>Yarraville Community Centre Inc. is required to develop and implement a systematic and continuous improvement approach to the management of operations and ensure that it has mechanisms in place to collect relevant data to support continuous improvement of management of operations and consider whether it covers the following requirements:</p> <ul style="list-style-type: none"> <li>a) Collection of appropriate data.</li> <li>b) Analysis of the data to identify improvement opportunities.</li> <li>c) How the RTO monitors implementation of the improvement opportunities.</li> </ul>



### **Improvement Opportunities**

Yarraville Community Centre Inc. would benefit by conducting periodic student focus groups, involving a representative number of students, to discuss the effectiveness of student support services and how these may be improved.

<b>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.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<p>Pre-enrolment interview program.          Induction procedure:</p> <ul style="list-style-type: none"> <li>• Pre training review – summary and outcomes</li> <li>• Course information</li> <li>• Comments</li> </ul> <p>Course information:</p> <ul style="list-style-type: none"> <li>• Individual Training Plan documentation</li> <li>• Enrolment letter</li> </ul> <p>Enrolment Form          Student Information Booklet 2019          General information for Students Enrolled at Yarraville Community Centre 2019          Training Plan - completed within four weeks of start, included units, learning methods.          Student interviews at the time of audit</p>		
<b>SF.2.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. had provided sufficient information, before students enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.	N/A

### **Improvement Opportunities**

Yarraville Community Centre Inc. would benefit by reviewing website course information and pre-enrolment informational materials, to ensure that there is an accessible source of information about course content and delivery for students to access prior to enrolment and ensure that the information includes information about duration, weekly training requirements, course content, delivery methods, assessment methods.

<b>2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Training and Assessment Strategies – Industry Consultations</li> <li>• Course development commitment research</li> <li>• Australia research – employment of migrants in Australia is strongly correlated with their knowledge of the English language</li> </ul>		
<b>SF.2.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	The employer contributed to the development of learning and assessment through local networks and municipal committee meetings. Industry engagement was achieved through networking, course develop committee research and professional research into the needs of migrants and new Australians.	N/A

<b>2.5 - Learners receive training, assessment and support services that meet their individual needs.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Student interviewed – 10 EAL learners</li> <li>• Student files – notes on progress</li> <li>• NDIS notes</li> <li>• Volunteer program – observations and support</li> </ul>		
<b>SF.2.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs. This was confirmed through interviews with students at the time of audit and review of student file notes and records.	N/A

<b>2.6 - Learners have timely access to current and accurate records of their participation and progress.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Induction – discussion – access to information.</li> <li>• Enrolment form privacy information.</li> </ul>		
<b>SF.2.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress. Students were informed of their right to access records and to request access through administration.	N/A

<b>Improvement Opportunities</b>
<p>Though students were verbally informed that they could access their records, documented information about how to access records was not provided. Yarraville Community Centre Inc. would benefit by including in the <i>General Information for Students Enrolled at Yarraville Community Centre 2019</i>, information about the fact that students may access their records and how they can go about accessing their records.</p>

<b>2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Policy and procedures – Complaints and Appeals</li> <li>• General Information for Students Enrolled at Yarraville Community Centre 2019 – complaints and appeals</li> <li>• Student Information Handbook 2019 – Complaints and Appeals Policy and Procedure</li> <li>• Complaints Register 2018 - 2019 ten entries and records of processing</li> <li>• Sample of complaint received and processed</li> </ul>		
<b>SF.2.7.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Yarraville Community Centre Inc. provided appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. The complaints and appeals procedures included procedures for students to appeal a complaints decision and the source for an independent external mediator was identified. The complaints procedures were identified in a number of informational sources including the Policy and Procedures – Complaints and Appeals, General Information for Students Enrolled at Yarraville Community Centre 2019 – Complaints and Appeals, Student Information Handbook 2019 – Complaints and Appeals Policy and Procedure and the website.</p>		N/A

<b>Improvement Opportunities</b>
<p>The complaints procedures were identified in a number of informational sources including the Policy and Procedures – Complaints and Appeals, General Information for Students Enrolled at Yarraville Community Centre 2019 – Complaints and Appeals, Student Information Handbook 2019 – Complaints and Appeals Policy and Procedure and the website. Information in each was not complete and provided some of the arrangements. Terminology such as complaint/grievance and appeal were not used consistently in documentation.</p>

**Audit Date: 26/27 November 2019**

**RTO: Yarraville Community Centre Inc.**

The website link for complaints and appeals went to the fee charges and refund policy.

Yarraville Community Centre Inc. would benefit by:

- Reviewing all documentation that referred to the complaints and appeals procedures and ensure that terminology used is consistent and that each source clearly identifies the informal, formal, appeal and external mediation procedures.
- Informing learners of the VRQA complaints resolution procedures as identified on the VRQA website.
- Reviewing links on the website to ensure that they link to the intended documentation.



<b>3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Contents page of Policy and Procedures</li> <li>• List of Policies and Procedures</li> <li>• Sampling of Policies and Procedures at audit</li> <li>• IT system – folders and directories of Policies and Procedures</li> <li>• Enrolment form</li> <li>• Letter of Acceptance into a course</li> <li>• Student Information Handbook 2019 – rights and responsibilities</li> <li>• Fees and Refunds Policy and Procedures</li> <li>• Student Training Plans</li> <li>• Student Individual Learning Programs</li> <li>• Teacher/trainer Handbook for Skills First funded courses 2019 – responsibilities and procedures</li> <li>• Trainer/assessor Position Descriptions</li> </ul>		
<b>SF.3.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. management of its operations ensured clients received the services detailed in their agreement with the RTO through the development of policies and procedures and informing staff through the Teacher/trainer Handbook for Skills First funded courses 2019, identifying responsibilities and procedures.	N/A

<b>3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.</b>		<b>Non-Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Conduct of internal audit – Skills First</li> <li>• Communities of practice – generic review notes</li> </ul>		
<b>SF.3.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. had not developed or implemented a systematic and continuous improvement approach to the management of operations.	Yarraville Community Centre Inc. is required to develop and implement a systematic and continuous improvement approach to the management of operations and ensure that it has mechanisms in place to collect relevant data to support continuous improvement of management of operations and consider whether it covers the following requirements: <ul style="list-style-type: none"> <li>d) Collection of appropriate data.</li> <li>e) Analysis of the data to identify improvement opportunities.</li> <li>f) How the RTO monitors implementation of the improvement opportunities.</li> </ul>
<b>Improvement Opportunities</b>		
Yarraville Community Centre Inc. would benefit by reviewing its AQTF audit document and Skills First template and identifying its suitability for the conduct of an annual internal audit or to identify another template that would assist in the periodic review of operations to ensure ongoing compliance with the AQTF and VRQA RTO Guidelines.		

<b>3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.</b>		<b>Not audited</b>
<b>Evidence/Documentation Reviewed</b>		
Yarraville Community Centre Inc. does not have third parties delivering training on its behalf.		
<b>SF.3.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. does not have third parties delivering training on its behalf.	N/A

<b>3.4 - The RTO manages records to ensure their accuracy and integrity.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
<ul style="list-style-type: none"> <li>• Records Management Policy and Procedures</li> <li>• Version Control Procedures</li> <li>• Back up Procedures</li> <li>• Retention Procedures</li> <li>• Review of a sample of student files – see Standard 1.5</li> </ul>		
<b>SF.3.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. managed records to ensure their accuracy and integrity.	N/A

**Detailed Findings – 2016 VRQA Guidelines for VET Providers**

**GUIDELINE 1.1 - An RTO must ensure that it has a current strategic plan and a detailed business plan which have been approved by its governing body.**

**Not Audited in  
Phase 2 audit**

- a) An RTO ensures the strategic plan details the overall vision, mission, board of directors and strategic directions of the RTO and clearly indicates that provision of vocational education is a primary purpose of the RTO.
  - b) An RTO ensures the business plan details the operational and workforce development arrangements for a three year period that incorporates:
    - i. description of the business including an organisation chart, courses, location(s) and facilities
    - ii. a continuous improvement plan or risk management strategy
    - iii. a work force development plan
    - iv. strategic alliances with other education or service providers or third party arrangements
    - v. training and assessment delivery including proposed facilities and delivery hours

Not audited as part of this Re-registration Audit.

GF 1.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit.	N/A

**Audit Date: 26/27 November 2019**

**RTO: Yarraville Community Centre Inc.**

<p><b>GUIDELINE 1.2 - An RTO demonstrates its financial viability and its capacity to sustain quality VET into the future by ensuring it has a three year financial plan that includes:</b></p> <ul style="list-style-type: none"> <li>a) projected student enrolments by qualifications</li> <li>b) a range of financial indicators, including             <ul style="list-style-type: none"> <li>i. cash flow</li> <li>ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1)</li> <li>iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1)</li> </ul> </li> <li>c) the VET provider shows that it has a financial guarantor with the capacity to service the guarantee and/or to demonstrate sufficient working capital to operate for at least 6 months without tuition fees.</li> <li>d) details about whether any person involved in the management or provision of courses by the RTO meets any of the descriptions listed in section 4.3.11(2) of the Act.</li> </ul>		<p><b>Not audited in Phase 2 audit</b></p>
<p>Not audited as part of this Re-registration Audit.</p>		
<b>GF 1.2</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Not audited as part of this Re-registration Audit.</p>	<p>N/A</p>

**GUIDELINE 1.3 - An RTO ensures that it has management systems that include:**

- a) management information including:
  - I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds)
  - II. a physical address of the company in Victoria for the purposes of serving notices
  - III. details of the directors, CEO/PEO and senior management members with associated police checks and Working With Children Checks if students are under 18 years of age
  - IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria
  - V. contact arrangements for the CEO/PEO including during holidays and other closure periods
  - VI. a physical addresses for the location of financial, student and staff records including archives and computer back up storage
- b) a financial management system including a system for managing student fee payments and student refunds
- c) a student records management system that includes the capacity to provide the VRQA with AVETMISS compliant data and to ensure that copies of student records are
  - I. not able to be withheld from the RTO; and
  - II. able to be provided in electronic and print versions, at no cost to the VRQA in the event that the VET provider ceases operations
- d) a staff records management system including arrangements which ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills.

**Not Audited in Phase 2 audit**

Not audited as part of this Re-registration Audit.

GF 1.3.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit.	N/A

<p><b>GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:</b></p> <ul style="list-style-type: none"> <li>a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management</li> <li>b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that: <ul style="list-style-type: none"> <li>i. for an RTO with anticipated ongoing operation of less than 150 equivalent full time students or an annual student fee turnover of less than \$1.5m per annum, persons are appointed with suitable qualifications and experience; and</li> <li>ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience</li> </ul> </li> <li>c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience.</li> </ul>		<p><b>Not audited in Phase 2 audit</b></p>
<p>Not audited as part of this Re-registration Audit.</p>		
<b>GF 1.4</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Not audited as part of this Re-registration Audit.</p>	<p>N/A</p>



<p><b>GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.</b></p> <ul style="list-style-type: none"> <li>• A <i>third party</i> means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO.</li> <li>• <i>Services</i> mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services.</li> </ul>		<p><b>Not audited</b></p>
<p><b>Evidence/Documentation Reviewed</b></p>		
<p>Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<p><b>GF 2.1.1</b></p>	<p><b>Finding</b></p>	<p><b>Required Rectification(s)</b></p>
<p>Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		<p>N/A</p>

<b>GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:</b>		<b>Not audited</b>
<ul style="list-style-type: none"> <li>a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and</li> <li>b) for the purposes of the conduct of any audit or monitoring of its operations.</li> </ul>		
<b>Evidence/Documentation Reviewed</b>		
<p>Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<b>GF 2.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

<b>GUIDELINE 2.3 – An RTO notifies the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:</b>		<b>Not audited</b>
<ul style="list-style-type: none"> <li>a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and</li> <li>b) within 30 calendar days of the agreement coming to an end.</li> </ul>		
<b>Evidence/Documentation Reviewed</b>		
<p>Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<b>GF 2.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

<p><b>GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:</b></p> <ul style="list-style-type: none"> <li>a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and</li> <li>b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party.</li> </ul>		<b>Not audited</b>
<p><b>Evidence/Documentation Reviewed</b></p> <p>Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<b>GF 2.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

<p><b>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO t provides, in print or through referral to an electronic copy, current and accurate information that:</b></p> <ul style="list-style-type: none"> <li>a) enables the student to make informed decisions about undertaking training with the RTO and</li> <li>b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf</li> </ul>		<p><b>Not audited</b></p>
<p><b>Evidence/Documentation Reviewed</b></p> <p>Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
<b>GF 2.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

<b>GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.</b>		<b>Not audited</b>
<b>Evidence/Documentation Reviewed</b>		
Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
<b>GF 2.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

**Audit Date: 26/27 November 2019**

**RTO: Yarraville Community Centre Inc.**

<b>GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:</b>		<b>Not audited</b>
<ul style="list-style-type: none"> <li>a) the RTO, its trainers, assessors or other staff;</li> <li>b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or</li> <li>c) a student of the RTO.</li> </ul>		
<b>Evidence/Documentation Reviewed</b>		
Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
<b>GF 2.7.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A

<b>GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.</b>		<b>Not audited</b>
<b>Evidence/Documentation Reviewed</b>		
Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.		
<b>GF 2.8.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.	N/A



<p><b>GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:</b></p> <ul style="list-style-type: none"> <li>a) vocational competencies at least to the level being delivered and assessed;</li> <li>b) current industry skills directly relevant to the training and assessment being provided; and</li> <li>c) current knowledge and skills in vocational training and learning that informs their training and assessment.</li> </ul> <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
See Standard 1.4		
<b>GF 3.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	A review of trainer/assessor information confirmed that training and assessment was conducted by trainers/assessors who had vocational competencies at least to the level being delivered and assessed, current industry skills directly relevant to the training and assessment being provided, and current knowledge and skills in vocational training and learning that informed their training and assessment.	N/A

Audit Date: 26/27 November 2019

RTO: Yarraville Community Centre Inc.

<b>GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
See Standard 1.4		
<b>GF 3.2.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Training and assessment was delivered by appropriately qualified trainers/assessors.	N/A

Audit Date: 26/27 November 2019

RTO: Yarraville Community Centre Inc.

<b>GUIDELINE 3.3 Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.</b>		<b>Not audited</b>
<b>Evidence/Documentation Reviewed</b>		
Yarraville Community Centre Inc. does not provide assessment only services.		
<b>GF 3.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. does not provide assessment only services.	N/A

<b>GUIDELINE 3.4 Where the RTO, in delivering training and assessment, engages an individual who is not a qualified trainer and/or assessor, the individual works under the supervision of a qualified trainer and/or assessor and must not determine assessment outcomes.</b>		<b>Not audited</b>
<b>Evidence/Documentation Reviewed</b>		
Yarraville Community Centre Inc. does not have trainers/assessors working under supervision.		
<b>GF 3.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. does not have trainers/assessors working under supervision.	N/A

**Audit Date: 26/27 November 2019**

**RTO: Yarraville Community Centre Inc.**

<b>GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:</b>		<b>Not audited</b>
<ul style="list-style-type: none"> <li>a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines;</li> <li>b) has vocational competencies at least to the level being delivered and assessed; and</li> <li>c) has current industry skills directly relevant to the training and assessment being provided.</li> </ul>		
<b>Evidence/Documentation Reviewed</b>		
Yarraville Community Centre Inc. does not have trainers/assessors working under supervision.		
<b>GF 3.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. does not have trainers/assessors working under supervision.	N/A

<b>GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</b>		<b>Compliant</b>
<b>Evidence/Documentation Reviewed</b>		
See Standard 1.2		
<b>GF 4.1.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. training and assessment strategies and practices were consistent with the requirements of the Accredited courses and enabled each student to meet the requirements for each unit of competency in which the student was enrolled. Students were provided with additional time to complete their course if required and had the course durations extended.	N/A

<b>GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:</b>	<b>Non-Compliant</b>
<ul style="list-style-type: none"> <li>a) the existing skills, knowledge and the experience of the student;</li> <li>b) the mode of delivery; and</li> <li>c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.</li> </ul>	

**Evidence/Documentation Reviewed**

See Standard 1.2

<b>GF 4.2.1 Finding</b>	<b>Required Rectification(s)</b>
<p>Though Yarraville Community Centre Inc. had identified a duration for each qualification reviewed and had determined the amount of training it provided, a rationale to identify and confirm that the duration and amount of training was sufficient for each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery was not included in the training arrangements.</p>	<p>Yarraville Community Centre Inc. is required to provide a rationale for the amount of training delivered, for each course, to confirm that the duration and amount of training is sufficient for each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.</p>

**Improvement Opportunities**

Yarraville Community Centre Inc. would benefit from including in each course training and assessment strategy, a rationale for the amount of training to confirm that the amount of training is sufficient for each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery, identifying the link between the cohort of learners, selection criteria, pre-training needs assessment, student support services available, small class sizes, access to volunteers to support learners and the attributes of the teacher.

<b>GUIDELINE 4.3 - From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), an RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation) of these Guidelines.</b>		<b>Not audited</b>
<b>Evidence/Documentation Reviewed</b>		
<p>Yarraville Community Centre Inc. does not deliver a qualification or assessor skill set from the Training and Education Training Package.</p>		
<b>GF 4.3.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
<p>Yarraville Community Centre Inc. does not deliver a qualification or assessor skill set from the Training and Education Training Package.</p>		<p>N/A</p>



<b>GUIDELINE 4.4 - From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor), an RTO ensures that all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered, or have demonstrated equivalence of competencies.</b>		<b>Not audited</b>
<b>Evidence/Documentation Reviewed</b>		
Yarraville Community Centre Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
<b>GF 4.4.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A

<p><b>GUIDELINE 4.5 - From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 of these Guidelines, or any assessor skill set from the Training and Education Training Package (or its successor), an RTO ensures all trainers and assessors delivering the training and assessment:</b></p> <p>a) hold the qualification specified in Item 5 of Schedule 1 of these Guidelines; or b) work under the supervision of a trainer that holds the qualification specified in Item 5 of Schedule 1 of these Guidelines.</p>		<p><b>Not audited</b></p>
<p><b>Evidence/Documentation Reviewed</b></p> <p>Yarraville Community Centre Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>		
<b>GF 4.5.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	<p>Yarraville Community Centre Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.</p>	<p>N/A</p>

<b>GUIDELINE 4.6 - An RTO ensures that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 of these Guidelines and does not determine assessment outcomes.</b>		<b>Not audited</b>
<b>Evidence/Documentation Reviewed</b>		
Yarraville Community Centre Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.		
<b>GF 4.6.1</b>	<b>Finding</b>	<b>Required Rectification(s)</b>
	Yarraville Community Centre Inc. does not have a TAE qualification on scope and/or deliver an AQF qualification or skill set from the Training and Education Training Package.	N/A

<b>GUIDELINE 4.7 - An application to add any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor) to an RTO's scope of registration has only be granted if an RTO has:</b>	<b>Not audited</b>
<ul style="list-style-type: none"> <li>a) held registration for at least two years continuously at the time of adding the qualification and/or skill set to scope; and</li> <li>b) from 1 January 2016, undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with Guideline 4.3.</li> </ul>	

Not audited as part of this Re-registration audit.

GF 4.7	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A

<b>GUIDELINE 5.1 - An RTO registered with the VRQA has provided an annual declaration of compliance with the AQTF Essential Conditions and Standards for Continuing Registration (the AQTF Standards) and these Guidelines, and in particular whether it:</b>	<b>Not audited</b>
<ul style="list-style-type: none"> <li>a) currently meets the requirements of the AQTF Standards and these Guidelines across all of its existing scope of registration; and</li> <li>b) has met the requirements of the AQTF Standards for all AQF certification documentation which it has issued in the previous 12 months; and</li> <li>c) has training and assessment strategies and practices in place that ensure that all current and prospective students are or will be trained and assessed in accordance with the requirements of the AQTF Standards and these Guidelines.</li> </ul>	

Not audited as part of this Re-registration audit.

GF 5.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A