

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

**Audit Date: 30 May 2017**

**RTO: Preston Reservoir Adult Community Education Inc.**

Applicant Details			
Applicant Name	Preston Reservoir Adult Community Education Inc.	TOID	4036
Address	35 Sturdee Street, Reservoir VIC 3073		
	Website	www.PRACE.vic.edu.au	
Registration Contact	Ms Libby Barker		
Phone Number	03 9462 6077	Email	libby@prace.vic.edu.au
Audit Team			
Audit Firm	ShineWing Australia	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Patrick McVeigh, Executive Officer Libby Barker, Education Manager
Registering Body Details			
Contact Person	Simon Thorn		
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, 3.4
2016 VRQA Guidelines Audited	1.3	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8 (If applicable)	
	3.1, 3.2	4.1, 4.2	
Audit Date/s	30 May 2017		
RTO Background			
<p>Preston Reservoir Adult Community Education, Inc. (PRACE) is a registered not-for-profit charitable organisation committed to meeting the language, literacy and numeracy, vocational training and further education needs of the local community. PRACE has been running programs to achieve this since 1993. PRACE is an English as an additional language and literacy and numeracy adult education provider in the Northern Metropolitan Region of Melbourne and has developed a range of literacy resources including paper based and online learning materials. PRACE also runs a number of youth programs, vocational education and training, and is registered as an independent school - PRACE College. PRACE delivers training at a number of venues including Merrilands Community Centre, Reservoir Neighbourhood House and 309 Spring Street.</p> <p>PRACE is governed by a Board of Management comprised of local community members with strong representation in all key operational areas. Board members generously volunteer their time and expertise to the governance of PRACE.</p> <p>PRACE has a steady workforce which has contributed to the sustainability of its programs and initiatives. The organisation's Education Manager maintains a focus on organisational compliance with the numerous regulatory and funding bodies that register and support the Centre including the VRQA, ACFE, DET and DHS. Three Program Area Managers develop and manage learning programs and are part of networks for review of industry programs, assessment validation and industry consultation.</p>			

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The Centre currently operates as:

- A learn local centre – delivering adult education and training programs through ACFE.
- A Registered Training Organisation registered by the Victorian Registration and Qualifications Authority as a provider of accredited education and training programs.
- Victorian Certificate of Applied Learning (VCAL) provider.
- A funded Neighbourhood House.
- A charity registered with the Australian Charities and Not-for-Profit Commission.
- An independent school - PRACE College.

The Centre employs over 20 staff and 27 sessional teachers, across the diversity of its programs and activities. In addition, over 20 volunteers and Board of Management members support the Centre.

The Education Manager has maintained sound networks with Neighbouring Learn Local Centres, providing a leadership role through its compliance network.

The Centre also has a partnership with Melbourne Polytechnic for the delivery of Northern Adult Migrant English Program (AMEP) and Skills for Education and Employment (SEE).

The RTO had prepared thoroughly for the Re-registration Audit, drawing on its experience in providing leadership to local Neighbourhood Houses in compliance management. It has established a sound Quality Management System appropriate to its scope and scale of operations.

Interviews with staff and students confirmed that the Centre focuses on sound student experiences and the provision of support to enable all learners to achieve their goals and qualifications, appropriate to their needs.

The RTO was found to be compliant with all areas of operation, and a number of areas for improvement were identified. The requirements for delivering an appropriate amount of training for the Certificate III in Education Support were not clearly defined which has impacted on the compliance requirements for the VRQA Guidelines 4.1 and 4.2.

<b>Qualifications/Units Audited<sup>1</sup></b>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
10363NAT	Certificate II Spoken and Written English	Merrilands Centre and Spring Street
CHC30213	Certificate III in Education Support	Merrilands Centre

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

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<b>Interviewee(s)</b> – Staff name and position; employer name and position	
Ancy Kurban	VET Coordinator:
Margaret Gardner	Trainer/assessor: Certificate III in Education Support
Zoe Phillips	Trainer/assessor: Certificate II Spoken and Written English
Yvonne Jelley	Trainers/assessor: Certificate II Spoken and Written English
Class of four students	Certificate IV Spoken and Written English

<b>Permanent Delivery Sites –</b>	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	

<b>Third party Arrangements –</b>	Yes	No
Do the RTO's third party arrangements match the information provided by the VRQA?	X	
If 'No', please provided amended details below:		

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### Audit Summary - AQTF Conditions of Registration

AQTF Conditions		Compliant	Non - Compliant	Not audited
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		

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

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### 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		

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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>2</sup>**

**GF.4.1.1**

**CHC30213 Certificate III in Education Support**

The Training and Assessment Strategy for the qualification CHC30213 Certificate III in Education Support, did not clearly identify the strategies to be implemented to ensure that each student was able to meet the requirements for each unit of competency in which the student was enrolled.

**GF.4.2.1**

**CHC30213 Certificate III in Education Support**

The Training and Assessment Strategy for the qualification CHC30213 Certificate III in Education Support, did not clearly identify the amount of training it provided to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.

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<sup>2</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**

CONDITION 1 - Governance			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The Chief Executive had ensured that PRACE complied with the AQTF Essential Conditions and Standards for Continuing Registration and any national guidelines through delegation of all RTO compliance responsibilities to the Education Manager	<ul style="list-style-type: none"> <li>• Condition 1 Evidence Guide.</li> <li>• Position description of the CEO.</li> <li>• Position description of the Education Manager.</li> <li>• Position description of trainers/assessors.</li> <li>• Position description of VET Coordinator and Organisation Chart.</li> <li>• Samples of teacher meetings minutes and responses in senior management meetings.</li> <li>• Sample of Coordinator Meeting minutes.</li> <li>• Delegation Policy and Procedures.</li> <li>• Completed Fit and Proper Person Declarations – Board members and senior managers.</li> <li>• AQTF Internal Audit reports – Nov 2015 and Nov 2016.</li> <li>• Governance Management Policy and Procedures.</li> <li>• Working with Children Checks for sample of trainers/assessors.</li> </ul>	N/A	



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CONDITION 3 - Compliance with Legislation			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
PRACE had demonstrated an understanding of and compliance with relevant Commonwealth, State or Territory legislation and regulatory requirements that were relevant to its operations and its scope of registration. It had ensured that its staff were informed through the staff intranet and clients were informed through the Student Information Book, of these requirements that affected their duties or participation in vocational education and training.	<ul style="list-style-type: none"> <li>• Condition 3 Evidence Guide.</li> <li>• Risk Management Policy and Procedures.</li> <li>• Staff Induction checklist.</li> <li>• Staff Intranet – sample</li> <li>• Student Information Handbook 2017.</li> <li>• Sample Staff Meeting minutes.</li> <li>• Appendix 5 – Victorian legislation, Commonwealth legislation, Standards and Guidelines.</li> </ul>	N/A	

Improvement Opportunities
<p><b>CI.3.1</b> PRACE would benefit by identifying the Education and Training Reform Further Amendment Act 2010 in Appendix 5 and information for staff and learners.</p>

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<b>CONDITION 6 - Certification &amp; Issuing of Qualifications &amp; Statements of Attainment</b>			<b>Compliant</b>
<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>	
<p>PRACE had issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF). The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.</p>	<ul style="list-style-type: none"> <li>• Condition 6 Evidence Guide.</li> <li>• Certificate and Record of Results Policy and Procedures.</li> <li>• Records Management Policy and Procedures.</li> <li>• Student selection, enrolment and induction procedures (SVTS uploads and USI).</li> <li>• Sample of VETtrak records – enrolment and achievement of results.</li> <li>• Screenshot – upload of recent ISI upload.</li> <li>• Certificate register.</li> <li>• Template Certificate</li> <li>• Template record of results enrolled.</li> <li>• Template Statement of Attainment.</li> </ul>	N/A	
<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>	
<p>PRACE had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years.</p>	<ul style="list-style-type: none"> <li>• Records Management Policy and Procedures.</li> <li>• Records Management Procedure – Secure Storage and Electronic Records.</li> <li>• Certificate and Record of Results Policy and Procedures.</li> </ul>	N/A	

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Finding	Evidence/Documentation Reviewed	Required Rectification(s)
PRACE had implemented a student records management system that had the capacity to provide the registering body with AVETMISS compliant data.	<ul style="list-style-type: none"> <li>• Samples - VETtrak Student Data Management System – AVETMISS data.</li> <li>• Enrolment Form.</li> <li>• Screenshot SVTS Validation History – 18/5/2017 – 29/9/2016 - 18 lodgements.</li> </ul>	N/A
Finding	Evidence/Documentation Reviewed	Required Rectification(s)
PRACE had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2016.	<ul style="list-style-type: none"> <li>• Client records of attainment of units of competency and qualifications - 2016 Screenshot SVTS Validation History – 18/5/2017 – 29/9/2016 - 18 lodgements.</li> </ul>	N/A
Finding	Evidence/Documentation Reviewed	Required Rectification(s)
PRACE had met the requirements for implementation of a national unique student identifier.	<ul style="list-style-type: none"> <li>• Student selection, enrolment and induction.</li> <li>• USI Privacy Form.</li> <li>• Student Information Handbook – Unique Student Identifier.</li> </ul>	N/A

Improvement Opportunities
<p><b>CI.6.1</b> PRACE would benefit by including in the Records Management Procedures, the procedures implemented for assisting students to access/obtain a USI.</p>

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CONDITION 7 - Recognition of Qualifications Issued by other RTOs			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
PRACE 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 Information Handbook 2017.	<ul style="list-style-type: none"> <li>• Condition 7 – Evidence Guide.</li> <li>• Recognition Policy and Procedures for recognising qualifications and statements of attainment.</li> <li>• Information about recognising qualifications and Statements of Attainment issued by other RTOs.</li> <li>• Information to staff on the PRACE Intranet (Policy and Procedures).</li> <li>• Fees and charges schedule</li> <li>• Application form for national recognition.</li> <li>• Student Services, Welfare and Duty of Care Policy and Procedures.</li> <li>• Student Selection, Enrolment and Induction Policy and Procedures.</li> <li>• Student Handbook – national recognition and RPL.</li> </ul>	N/A	

Improvement Opportunities
<p><b>CI.7.1</b> PRACE would benefit by modifying the Student Information Handbook to identify Credit Transfer rather than National Recognition. (Note: This has implications for references in other related documents).</p>

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CONDITION 8 - Accuracy and Integrity of Marketing			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>PRACE 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</p>	<ul style="list-style-type: none"> <li>• Condition 8 Evidence Guide.</li> <li>• Marketing Policy and Procedures.</li> <li>• Examples of marketing materials – 2017 Course Guide Semester 1 Jan – Jun. Certificate II in Transition Education Brochure, Certificate III in Education Support Brochure.</li> <li>• 2016 Annual Report, 'Like us on Facebook' card.</li> <li>• Permission to use images of learners in marketing – sample of 17 completed forms.</li> <li>• Email communications to staff on use of images.</li> <li>• Marketing Procedures</li> <li>• Marketing and Advertising Checklist procedure.</li> <li>• Template Marketing Materials checklist.</li> <li>• Register of materials checked and implemented 16/11/2015 – 26/5/2017.</li> <li>• Use of logos for marketing – Schedule 1 – marketing procedure.</li> </ul>	N/A	

Improvement Opportunities
<p><b>CI.8.1</b> PRACE would benefit by modifying its general authorisation and release form for students/staff to sign off on use of photographic, video, audio or any other form of electronic recording, to include the specific purpose of use and dates (date span) when the image will be used.</p>

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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
PRACE had provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA.	<ul style="list-style-type: none"> <li>• Condition 9 Evidence Guide.</li> <li>• Training Package and Accredited Course Transition Policy – identified requirement for transition within 12 months.</li> <li>• Education Support Transition Schedule.</li> <li>• Scope of Registration Register showing current qualifications and accredited courses.</li> <li>• Sample of current marketing materials.</li> <li>• TGA RTO Record 20/5/2017.</li> <li>• Course Guide 2017 Jan – Jun.</li> </ul>	N/A	

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**Detailed Findings - AQTF Standards**

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)	
PRACE had implemented strategies for the collection, analysis and acting on relevant data for continuous improvement of training and assessment.	<ul style="list-style-type: none"> <li>• Standard 1 Evidence Guide.</li> <li>• Continuous Improvement Policy and Procedures.</li> <li>• Continuous Improvement Register Jun 2016 – Aug 2016.</li> <li>• Sample – AQTF Quality Indicator Survey.</li> <li>• Sample student complaint processing.</li> <li>• Sample employer survey.</li> <li>• Complaint and Appeals Register - three entries 2015 and 2016.</li> <li>• Sample student focus group - data, analysis and improvements made.</li> <li>• Student interviews - data, analysis and improvements made.</li> <li>• Teacher feedback - data, analysis and improvements made.</li> <li>• Summary report – registering body 4/3/2016 student surveys.</li> <li>• Industry Consultation Certificate III in Education Support – five completed forms.</li> <li>• Sample Certificate III in Education Support employer feedback sheets completed by employer 22/3/2016.</li> </ul>	N/A	

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	<ul style="list-style-type: none"> <li>• Industry consultation questionnaire template and six responses – collated.</li> <li>• Emails related to feedback received on course delivery.</li> <li>• Sample of Student feedback surveys - completed Term 4, 2016 – 11 responses.</li> </ul>	
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#### **Improvement Opportunities**

##### **SI.1.1**

PRACE would benefit by identifying in the Continuous Improvement Register:

- The source of feedback received and date received.
- Proposed date for reviewing the effectiveness of improvement actions implemented.



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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)	
Strategies for training and assessment met the requirements of the relevant Training Package and accredited course and were developed in consultation with industry.	<p>Training and assessment arrangements for the following qualifications and sampled units:</p> <p><b>Certificate II Spoken and Written English (10363NAT)</b> Units: <i>SWEDIV216A Comprehending and performing multiplication and division with decimal whole numbers</i> <i>SWESTO209A Comprehending and composing story texts</i></p> <p><b>CHC30213 Certificate III in Education Support</b> Units: <i>CHCEDS021 Assist in facilitation of student learning</i> <i>CHCEDS002 Assist implementation of planned educational programs</i></p>	N/A	
Improvement Opportunities			
<p>SI.1.2 <i>CHC30213 Certificate III in Education Support</i></p>			

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PRACE would benefit by reviewing and modifying the information included in the Training and Assessment Strategy to include a clear rationale for the amount of training and assessment to be delivered based on the cohort of intended learners, their experience and skills, AQF levels, nominal hours for the units, industry consultation, work placement providers and feedback from past students. (See VRQA Guideline 4.1 and 4.2).

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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)	
PRACE had ensured that adequate staff, facilities, equipment and training and assessment materials were maintained and were consistent with the requirements of the Training Package and accredited course and the RTO's own training and assessment strategies.	<p>Training and assessment arrangements for the following qualifications and sampled units which identified the learning and assessment resources required and training facilities:</p> <p><b>Certificate II Spoken and Written English (10363NAT)</b> Units: <b><i>SWEDIV216A Comprehending and performing multiplication and division with decimal whole numbers</i></b> <b><i>SWESTO209A Comprehending and composing story texts</i></b></p> <p><b>CHC30213 Certificate III in Education Support</b> Units: <b><i>CHCEDS021 Assist in facilitation of student learning</i></b> <b><i>CHCEDS002 Assist implementation of planned educational programs</i></b></p> <ul style="list-style-type: none"> <li>• Training facilities, which included classrooms with Apple compatible audio-visual systems.</li> <li>• Computer labs</li> <li>• Apple iPads – class sets for student use.</li> <li>• Library – Foundation Skills learning resources.</li> </ul>	N/A	

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	<ul style="list-style-type: none"><li>• Administration offices.</li><li>• Teacher preparation areas.</li><li>• Recreation facilities.</li><li>• Student kitchen and lounge.</li></ul> <p>Sample of four trainer/assessor files (See Standard 1.4).</p>	
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ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:			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.			
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
PRACE had employed teachers (trainers/assessors) who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed. They 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.	Personnel files of the following teachers:  <b>Certificate II Spoken and Written English (10363NAT)</b> <ul style="list-style-type: none"> <li>• Margaret Gardner</li> <li>• Zoe Phillips</li> </ul> <b>CHC30213 Certificate III in Education Support</b> <ul style="list-style-type: none"> <li>• Margaret Gardner</li> </ul>	N/A	

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ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):			Compliant
a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated.			
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>PRACE had ensured that assessment, including Recognition of Prior Learning (RPL), met the requirements of the relevant Training Package and accredited course and was conducted in accordance with the principles of assessment and the rules of evidence. They met the workplace regulatory requirements and were systematically validated.</p>	<p>Assessment arrangements, resources and completed student assessments for the following qualifications and sampled units:</p> <p><b>Certificate II Spoken and Written English (10363NAT)</b> Units: <b><i>SWEDIV216A Comprehending and performing multiplication and division with decimal whole numbers</i></b></p> <ul style="list-style-type: none"> <li><b><i>SWESTO209A Comprehending and composing story texts</i></b></li> </ul> <p>Sample of three student files.</p> <p><b>CHC30213 Certificate III in Education Support</b> Units:  <ul style="list-style-type: none"> <li><b><i>CHCEDS021 Assist in facilitation of student learning</i></b></li> <li><b><i>CHCEDS002 Assist implementation of planned educational programs</i></b></li> </ul> </p>	N/A	

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	Sample of three student files.	
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### **Improvement Opportunities**

#### **SI.1.5**

#### **Certificate II Spoken and Written English**

Though unit codes and titles were correct in student training plans, VETtrak records, assessment tools, and the Record of Assessment coversheets for a number of units included incorrect unit codes.

PRACE would benefit by ensuring that all unit Record of Assessment coversheets included both the unit code and title as identified for the unit with the course documentation.

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2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
PRACE had established the needs of clients and delivered services to meet these needs.	<ul style="list-style-type: none"> <li>• Standard 2.1 Evidence Guide.</li> <li>• Pre-training review.</li> <li>• Pre-training assessment procedure.</li> <li>• Student Selection Enrolment and Induction Policy and Procedures.</li> <li>• Template pre-training review checklist.</li> <li>• Student pre-training assessment procedures EAL and pre-training review form.</li> <li>• Education Support LLN Pre-training LLN assessment, ACSF aligned.</li> <li>• EAL pre-training LLN kit.</li> <li>• Individual student interview sample.</li> <li>• Student Information Handbook 2017 - services available to students.</li> <li>• Access and Equity Policy and Procedures.</li> <li>• Student services, Welfare and Duty of Care Policy and Procedures.</li> <li>• Continuous Improvement Policy and Procedures.</li> <li>• Examples of records – student support identification as a result of PTR.</li> </ul>	N/A	



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2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Compliant
	Evidence/Documentation Reviewed	Required Rectification(s)
PRACE had identified and implemented a strategy for the continuous improvement of client services by collecting, analysing and acting upon relevant data.	<ul style="list-style-type: none"> <li>• Standard 2.2 Evidence Guide.</li> <li>• Continuous Improvement Procedure - staff responsibilities.</li> <li>• Student information brochure.</li> <li>• Client services and analysis.</li> <li>• Evidence of Continuous Improvement within the Register.</li> <li>• Learner services evaluation.</li> <li>• Collated student responses to learner services evaluation – Certificate III in Education Support 5/11/2016.</li> <li>• Continuous Improvement Register – Client Services – comments on access to internet, classroom too small, car parking. Actions identified.</li> </ul>	N/A

Improvement Opportunities
<p><b>SI.2.2</b> PRACE would benefit by reviewing how students are informed of student support services.</p>

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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)	
PRACE had provided sufficient information, before clients enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.	<ul style="list-style-type: none"> <li>• Standard 2.3 Evidence Guide.</li> <li>• Student Information Handbook 2017 – course information, fees, credit transfer selection, complaints and appeals.</li> <li>• Z-folds – CSWE II - and Education Support –</li> <li>• Change of date brochures.</li> <li>• Fees schedule.</li> <li>• Enrolment form – agreement.</li> <li>• Student Selection, Enrolment and Induction Policy and Procedures.</li> <li>• Administration task scheduling and updating of annual information.</li> <li>• AQTF internal audit 2016.</li> </ul>	N/A	

Improvement Opportunities
<p><b>SI.2.3</b> Though learners were adequately informed about the requirements to complete a course, through PTR and initial interviews, PRACE would benefit by clearly identifying in course information, the total time requirements to complete the course and course schedule, to ensure that learners are aware of the amount of time they are required to allocate to learning and assessment each week, including independent learning outside of class time.</p>

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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.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The employer contributed significantly to each learner's training and assessment and was engaged in the development, delivery and monitoring of training and assessment.	<ul style="list-style-type: none"> <li>Standard 2.4 Evidence Guide.</li> <li>Placement with Employers Policy and Procedures – referred to guidelines and Ministerial orders 723 band 724 Jan 2014. WorkCover referred to CSU insurance.</li> <li>Practical placement agreement – provision for three signatures.</li> <li>Email – practical placement for Certificate III in Education Support from PRACE to host employer.</li> <li>Template Practical Placement – discussion with employer record.</li> <li>Records of Practical placement interviews with potential employers.</li> <li>Evidence of workplace visits records.</li> </ul>	N/A	

Improvement Opportunities
<p><b>SI.2.4</b> Though PRACE had implemented sound work based training practices and developed appropriate documentation and arrangements in compliance with the Amended Guidelines for Registered Training Organisations and Employers in relation to students of technical and further education undertaking Practical Placement (the amended Practical Placement Guidelines)</p>

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<http://www.education.vic.gov.au/training/providers/rto/Pages/workplacelearn.aspx>), the organisation was not aware of and had not implemented the Guidelines issued by the Department of Education and Training Victoria for Registered Training Organisations and Employers in relation to Post-Secondary Students undertaking Practical Placements (Updated Practical Placement Guidelines) as at 10 April 2017.

PRACE would benefit by modifying its work based training documentation to reflect the updated guidelines, particularly with regard to insurance arrangements.

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2.5 - Learners receive training, assessment and support services that meet their individual needs.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
PRACE had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs.	<ul style="list-style-type: none"> <li>Standard 2.5 Evidence Guide.</li> <li>Student Selection, Enrolment and Induction Policy and Procedures – determining student support.</li> <li>Student pre-training LLN procedure (EAL) and pre-training review form.</li> <li>Student Information Book - student support services.</li> <li>Sample email to teacher informing of learner needs.</li> <li>Sample student contact log – follow up log – dates 25/1/2017 – 25/5/2017 over 100 entries.</li> <li>Sample of support provided to student – Yvonne Jelley, Margaret Gardiner, sample of email communications with learners.</li> </ul>	N/A	

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2.6 - Learners have timely access to current and accurate records of their participation and progress.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
PRACE had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress.	<ul style="list-style-type: none"> <li>• Standard 2.6 Evidence Guide.</li> <li>• Student Information Handbook – access to information application process.</li> <li>• Student Record Access Procedure and application form.</li> <li>• Records Management Policy and Procedures.</li> <li>• Sample student VETtrak record.</li> </ul>	N/A	

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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)	
The complaints and appeals procedures included procedures for students to appeal a complaints decision and the source for an independent external mediator was identified.	<ul style="list-style-type: none"> <li>Standard 2.7 Evidence Guide.</li> <li>Complaints and Appeals Policy and Procedures.</li> <li>Template complaints form.</li> <li>Student Information Handbook – Complaints and Appeals.</li> <li>Complaints and Appeals Register – three entries 2015 and 2016 - name, program, issue, action taken, result.</li> <li>Sample of complaints dealt with for three students.</li> </ul>	N/A	

Improvement Opportunities
<p><b>SI.2.7</b> PRACE would benefit by:</p> <ul style="list-style-type: none"> <li>Reviewing all documentation related to its complaints and appeals procedures and clarify formal complaints procedures.</li> <li>Consider the benefits of referring to 'grievances'. If found appropriate, this could be consistently referred to in all documentation, including the Student Information Handbook.</li> </ul>

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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)	
The PRACE management of its operations ensured clients received the services detailed in their agreement with the RTO.	<ul style="list-style-type: none"> <li>• Standard 3.1 Evidence Guide.</li> <li>• Marketing policy and procedures – rights of students.</li> <li>• Fees and charges policy and procedures – provision of statement of fees prior to enrolment.</li> <li>• Refund arrangements.</li> <li>• Student Selection Enrolment and Induction Procedures – provision of relevant information.</li> <li>• Template enrolment form.</li> <li>• Template training plan.</li> <li>• Statement of fees.</li> <li>• Continuous Improvement Policy and Procedures.</li> </ul>	N/A	



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3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
PRACE had used a systematic and continuous improvement approach to the management of operations.	<ul style="list-style-type: none"> <li>• Standard 3.1 Evidence Guide.</li> <li>• Policy and Procedures Index – Management Operations.</li> <li>• Sample policies and procedures.</li> <li>• Internal AQTF Audit Nov 2016.</li> <li>• Continuous Improvement Register – Management Systems - six items – 2015 and 2016.</li> <li>• Sample communications about changes between staff and management of operations.</li> <li>• Agenda 25/1/2017 – 13/9/2016 - compliance.</li> <li>• Communication email 15/3/2017, Critical Incident Procedure.</li> <li>• Position description/role statements</li> <li>• Organisational chart.</li> </ul>	N/A	

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3.4 - The RTO manages records to ensure their accuracy and integrity.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
PRACE had managed records to ensure their accuracy and integrity.	<ul style="list-style-type: none"> <li>• Standard 3.4 Evidence Guide.</li> <li>• Records Management Policy and Procedures.</li> <li>• Records Management Procedure – Appendix 1 – records Storage and Retention Schedule</li> <li>• Certificate and Records of Results Policy and Procedures.</li> <li>• VETtrak certificate register.</li> <li>• Validation Policy and Procedures.</li> <li>• Student Selection, Enrolment and Induction Procedures.</li> <li>• Complaints and Appeals Procedures.</li> <li>• Risk Management Policy and Procedures.</li> <li>• Continuous Improvement Policy and Procedures.</li> <li>• Teacher requirements for maintaining records – position descriptions, administration requirements checklist, staff induction checklist.</li> <li>• Accuracy of records - AQTF internal audit, HESG/skills first annual internal audit.</li> <li>• PRACE Risk Register.</li> </ul>	N/A	

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

<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>			<b>Compliant</b>
a) vocational competencies at least to the level being delivered and assessed; b) current industry skills directly relevant to the training and assessment being provided; and c) current knowledge and skills in vocational training and learning that informs their training and assessment.			
Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.			
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
PRACE had ensured that training was delivered by teachers 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.	See Standard 1.4	N/A	

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<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>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>	
PRACE had ensured that training was delivered by teachers who held the required qualifications.	See Standard 1.4	N/A	

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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.			Non-Compliant
GF.4.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p><b>CHC30213 Certificate III in Education Support</b> The Training and Assessment Strategy for the qualification CHC30213 Certificate III in Education Support, did not clearly identify the strategies to be implemented to ensure that each student was able to meet the requirements for each unit of competency in which the student was enrolled.</p>	<ul style="list-style-type: none"> <li>Training and assessment arrangements for the qualification CHC30213 Certificate III in Education Support.</li> </ul>	<p><b>CHC30213 Certificate III in Education Support</b> PRACE is required to identify in the Training and Assessment Strategy for the qualification CHC30213 Certificate III in Education Support, the strategies to be implemented to ensure that each student is able to meet the requirements for each unit of competency in which the student is enrolled.</p>

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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:			Non-Compliant
a) the existing skills, knowledge and the experience of the student; b) the mode of delivery; and 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.			
GF.4.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<b>CHC30213 Certificate III in Education Support</b> The Training and Assessment Strategy for the qualification CHC30213 Certificate III in Education Support, did not clearly identify the amount of training it provided to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.	<ul style="list-style-type: none"> <li>Training and assessment arrangements for the qualification CHC30213 Certificate III in Education Support.</li> </ul>	<b>CHC30213 Certificate III in Education Support</b> PRACE is required to identify in the Training and Assessment Strategy for the qualification CHC30213 Certificate III in Education Support, the amount of training it provides to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery.

Improvement Opportunities
<b>GF4.2</b> PRACE would benefit by: <ul style="list-style-type: none"> <li>Identifying in the TAS, the specific training and assessment that each learner will receive, relevant to their existing skills, knowledge and experience, including the two alternative programs, the One Day program and the Two Day program and the student support that will be available to each group of learners.</li> <li>Reviewing and modifying the information included in the Training and Assessment Strategy to include a clear rationale for the amount of training and assessment to be delivered based on the cohort of intended learners, their experience and skills, AQF levels, nominal hours for the units, industry consultation, work placement providers and feedback from past students. (See VRQA Guideline 4.1 and 4.2).</li> </ul>