

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

Audit Date: 12th and 13th October 2015

RTO: Bass Coast Adult Education Centre Inc.

Applicant Details			
Applicant Name	Bass Coast Adult Education Centre Inc.	TOID	3720
Address	239 White Road, Wonthaggi Vic 3995		
	Website	www.basscoastadulted.org.au	
Registration Contact	Marianne Rankin		
Phone Number	5672 3115	Email	manager@basscoastadulted.org.au
Audit Team			
Audit Firm	Shinewing Australia	Auditor/s	Anna-Louise Allen
Auditor/s		Other Attendees	
Registering Body Details			
Contact Person	Emma Hickingbotham		
Phone Number	9032 1562	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
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, 2.6, 2.7	3.1, 3.2, 3.4
VRQA Guidelines Audited	1,2,4,5		
Audit Date/s	12th and 13th October 2015		
RTO Background			
<p>Bass Coast Adult Education (BCAE) is an RTO and a Learn Local provider. They deliver accredited and pre-accredited training to their local community. They also deliver from a hired site in Cowes.</p> <p>BCAE provides Maths and English classes, Hospitality and Tourism Work Skills and First Aid.</p> <p>Australian Safe T Training delivers Construction Induction White Card, Forklift Licence and Traffic Control to BCAE clients.</p> <p>The Centre experienced a major disruption to the continuity of operations early in 2015 with the death of the long term Manager. Marianne Rankin stepped in as Caretaker Manager and has since been appointed to this position.</p>			

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

Audit Date: 12th and 13th October 2015

RTO: Bass Coast Adult Education Centre Inc.

Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
SIT20213	Certificate I in Hospitality	Vic
HLTAID003	Provide first aid	Vic
22236VIC	Certificate I in General Education for Adults	Vic

Interviewee(s) – Staff name and position; employer name and position	
Marianne Rankin	RTO Manager
Vicki Love	CEGA Trainer
Bill Street	IT Trainer Administration
Maria Smith	CEGA Trainer

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
If ' No' , please provided amended details below: The RTO delivers from the Wonthaggi site and from a hired venue in Cowes.		

¹ Samples have been selected in accordance with the *VRQA VET Audit Sampling Methodology*

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

Audit Date: 12th and 13th October 2015

RTO: Bass Coast Adult Education Centre Inc.

Audit Summary - AQTF Conditions of Registration

AQTF Conditions		Compliant	Non - Compliant	Not audited
1	Governance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Interactions with the Registering Body	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3	Compliance with Legislation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Insurance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5	Financial Management	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6	Certification & Issuing of Qualifications & Statements of Attainment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7	Recognition of Qualifications Issued by other RTOs	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	Accuracy and Integrity of Marketing	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	Transition to Training Packages/Expiry of Accredited Courses	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Summary of Non-Compliance²				
CF6.1				
<ul style="list-style-type: none"> • Certificates and Statements of attainment do not meet the AQF requirements. 				

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

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

Audit Date: 12th and 13th October 2015

RTO: Bass Coast Adult Education Centre Inc.

Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.1 – Continuous Improvement Strategy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2 – Training and Assessment Strategies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3 – Training and Assessment Resources	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4 – Trainer and Assessor Competency	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.5 – Assessment Strategies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Standard 2	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1 – Meeting the Needs of Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2 – Continuous Improvement of Client Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3 – Provision of Information to Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4 – Third-Party Engagement in Training and Assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.5 – Provision of Support Services to Clients	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.6 – Learner Access to Records of Participation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.7 – Complaints and Appeals Strategy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Standard 3	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.1 – Operations Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2 – Continuous Improvement of Operations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3 – Third-Party Training and/ or Assessment Services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3.4 – Records Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Summary of Non-Compliance³			
<p>SF1.4.1</p> <ul style="list-style-type: none"> Inadequate evidence of the professional development to develop VET knowledge and skills of trainers / assessors, otherwise the RTO meet requirements. <p>SF1.5.1</p> <ul style="list-style-type: none"> Assessment for some units does not meet all the unit requirements. <p>SF1.5.2</p> <ul style="list-style-type: none"> Assessment tools do not support collection of evidence in line with the rules of evidence 			

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

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

Audit Date: 12th and 13th October 2015

RTO: Bass Coast Adult Education Centre Inc.

Audit Date: 12th and 13th October 2015

RTO: Bass Coast Adult Education Centre Inc.

Audit Summary – VRQA Guidelines for VET Providers

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

Summary of Non-Compliance⁴

GF1.3.1

- The Trainer/assessor files did not contain the evidence required by this guideline

GF5.1.1

- Assessment tools and processes are not supported by clear instructions to the student and assessor.

GF5.1.2

- Assessment tools and recording mechanisms do not support consistent assessor decision making. .

GF5.1.3

- Mapping documents in place did not always include the critical assessment requirements.

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

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Condition 1</p> <p>The RTO has appropriate records in place to demonstrate governance structures that are responsive to the experiences of Trainers / Assessors are considered in the decision making of senior management</p>	<p>No evidence reviewed during the audit</p> <p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Organisational Chart • Interview with RTO Manager • Monthly Committee of Management meetings • Monthly Manager Report to the Committee • Staff meeting once per term • Business plan 2016 – 2018 • Strategic plan 2016 – 2018 • Fit and Proper Person declaration for Centre Manager, Bookkeeper and Administrator • Fit and Proper Person declaration for Chair person, Treasurer and 2 Stakeholder Representatives on the Committee of Management • Internal audit against the AQTF and the VRQA Guidelines. 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

CONDITION 3 – Compliance with Legislation			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Condition 3.</p> <p>The RTO applies a systematic approach to the review and management of compliance with relevant Commonwealth, State or Territory legislation and regulatory requirements.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Trainer and assessor induction checklist • Staff Handbook and induction Manual • Guidelines and AQTF summarised in the Handbook <p>Policies and procedures</p> <ul style="list-style-type: none"> • Committee of Management • Centre Manager • Administration – Advertising , marketing, website, Answering telephone, taking messages, computer use, correspondence, emergency procedures, expectation of visitors, files and records, first aid, general enquiries, legislation, lunchroom facilities, opening hours, privacy, public notices, room hire, stationery, telephone and fax use • Finances • Grounds, equipment and maintenance • Staff – continuous improvement, induction & information to new staff, job descriptions, leave, legislation, performance monitoring, police and working with children , professional development, moderation and validation, qualification of staff, records, recruitment, staff meetings, supervision , use of equipment, VET manager, Volunteer staff, weekend classes, workplace harassment, workplace bullying • Stakeholders – access & equity, AMES, AMEP, VTP, Centre users, child protection, communication , complaints & appeals, discrimination, referral protocol, stakeholders, 	<p>No rectification required.</p>	

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

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

	<p>surveys, community garden, community VCAL, woodcrafters, U3A</p> <ul style="list-style-type: none"> • Policy and Compliance – audits, continuous improvement, legislation, privacy, reporting, registering body/VET regulator, reporting, student management system, skills Victoria Training Systems, USI, VSN, VTG, Workplace health and safety • Training and Assessment - accredited VET delivery, AMEP, Assessment/pre-assessment, Certificates and statements of attainment, course cancellations, foundation skills training & assessment, legislation, LLN, Pre-accredited delivery program, RPL, CT, RCC, Resources, subcontracting, scope of registration/training package transition, training and assessment strategies • Students – enrolment induction, enrolment – accredited, enrolment non accredited, excursions/student placement, fees, legislation, monitoring/analysis, plagiarism, safety of students/study hours, student surveys, student behaviour/misconduct, student cancellation, student files, travel in private cars, welfare/support <p>Internal Professional Development – Compliance</p> <ul style="list-style-type: none"> • Minutes 16/3/15 • Minutes 8/4/15 • Staff meeting 21/9/15 • 2015 Pre-assessment process ISLPR levels May 2015 • Home Journals 2015 May 2015 	
--	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment			Non-Compliant
CF6.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with Condition 6.</p> <p>Templates for certificates and statements of attainment do not meet the Australian Qualifications Framework (AQF) requirements.</p> <p>The RTO uses a pre-printed card which contains the RTO logo and watermark. This contains pre-printed logos for VRQA and NRT. It also contains reference to the AQF, VRQA and the employability skills statement.</p> <p>The Statement of Attainment is printed on this card. The Statement of Attainment should not include reference to the AQF.</p> <p>A record of results is issued to support the Certificate. This record of results does not include the enrolment date.</p> <p>The Statement of Attainment currently contains the old statement.</p> <p>The RTO's policies and procedures do not include information regarding the issuance of replacement certificates. The student information booklet includes re-printing of Certificates and Statement of Attainments.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Privacy • Reporting • Reporting to registering body • Student management system – VET Trak • USI • VSN • Certificates & Statements of Attainment <p>Statement of Attainment for:</p> <ul style="list-style-type: none"> • William Harley <p>Certificate and Record of Results</p> <ul style="list-style-type: none"> • Carly Wright 	<p>Actions:</p> <ul style="list-style-type: none"> • The RTO should remove the statement issued under the authority of the VRQA and the employability skills statement • the Statement of Attainment must not include reference to the AQF • The Record of results should include the enrolment date. • The Statement of Attainment should include the following statement 'A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'. • The RTO should revise their policies and procedures to make sure they include information regarding the issuance of replacement certificates
	<p>The RTO is Compliant with this aspect of Condition 6.</p> <p>The RTO has a mechanism in place to retain client records for a period of 30 years</p> <p>The RTO provides AVETMISS compliant data via VET Trak.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Privacy • Reporting • Reporting to registering body • Student management system – VET Trak • USI 	<p>No rectification required.</p>

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

	<ul style="list-style-type: none"> • VSN • Certificates & Statements of Attainment 	
--	----------------------------------------------------------------------------------------------------------------	--

CONDITION 7 - Recognition of Qualifications Issued by other RTOs			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Condition 7.</p> <p>The RTO recognises the AQF Qualifications and Statements of Attainment issued by any other.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Recognition of prior learning/ Credit Transfer/ Recognition of current competencies • Enrolment information • Student information booklet • Student information brochure 	No rectification required.	

Improvement Opportunities
Remove reference to RCC as this is outdated terminology and only causes confusion.

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

CONDITION 8 - Accuracy and Integrity of Marketing			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Condition 8.</p> <p>The RTO's marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.</p> <p>The NRT logo is used appropriately in marketing and advertising of AQF qualifications to prospective clients.</p> <p>External RTO providing training at Bas Coast Adult Education is appropriately identified.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Website: www.basscoastadulthood.org.au • Bas Coast Adult Education brochures – on website • Short Course Guide • Course information sheets • Student information booklet • Advertising/marketing/website 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Condition 9.</p> <p>The RTO has managed the transition from superseded Training Packages within 12 months of their publication on the Training.gov.au.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Scope of registration/Training package transition 	<p>No rectification required.</p>	
Improvement Opportunities			
<p>It is suggested that the RTO document their procedure for managing transition.</p>			

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

Detailed Findings - AQTF Standards

STANDARD 1

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 1.1.</p> <p>The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Compliance & Quality/Risk Management • Staff responsibilities – Continuous improvement • Policy 7 Stakeholders • Compliance – continuous improvement • Complaints and appeals Policy and procedure • Student surveys • Student Feedback form • QI survey • QI regulator report • Website www.basscoastadulted.org.au • Internal Audits 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.		Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>The RTO is Compliant with 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.</p>	<p>Evidence reviewed at audit: Training and assessment strategies for:</p> <ul style="list-style-type: none"> • 22234VIC Course in Initial General Education for Adults • 22235VIC Certificate I in General Education for Adults (Introductory) • 22236VIC Certificate I in General Education for Adults • 22237VIC Certificate II in General Education for Adults • 22238VIC Certificate III in General Education for Adults • 10361NAT Course in preliminary spoken and written English • 10362NAT Certificate I in spoken and written English • 10363NAT Certificate II in spoken and written English • 10364NAT Certificate III in spoken and written English • HLTAID001 Provide cardiopulmonary resuscitation • HLTAID002 Provide basic emergency life support • HLTAID003 Provide first aid • HLTAID004 Provide an emergency first aid response in an education and care setting • 22282VIC Course in the management of Asthma risks and emergencies in the workplace • 22099VIC Course in First Aid Management of Anaphylaxis • SITXFSA101 Use hygienic practices for food safety • SITHGAM201 Provide responsible gambling services • SITFAB201 Provide responsible service of alcohol • SIT10213 Certificate I in Hospitality • SIT20213 Certificate II in Hospitality • SIT20112 Certificate II in Tourism • ICT10115 Certificate I in Information, Digital Media and Technology • ICT20115 Certificate II in Information, Digital Media and Technology 	<p>No rectification required.</p>

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.		Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>The RTO is Compliant with Element 1.3.</p> <p>The RTO has access to appropriate staff, facilities, equipment and training and assessment materials to meet the requirements of the Training Package or accredited courses and the RTO's own training and assessment strategies.</p>	<p>Evidence reviewed at audit:</p> <p>Training and assessment strategies for:</p> <ul style="list-style-type: none"> • 22234VIC Course in Initial General Education for Adults • 22235VIC Certificate I in General Education for Adults (Introductory) • 22236VIC Certificate I in General Education for Adults • 22237VIC Certificate II in General Education for Adults • 22238VIC Certificate III in General Education for Adults • 10361NAT Course in preliminary spoken and written English • 10362NAT Certificate I in spoken and written English • 10363NAT Certificate II in spoken and written English • 10364NAT Certificate III in spoken and written English • HLTAID001 Provide cardiopulmonary resuscitation • HLTAID002 Provide basic emergency life support • HLTAID003 Provide first aid • HLTAID004 Provide an emergency first aid response in an education and care setting • 22282VIC Course in the management of Asthma risks and emergencies in the workplace • 22099VIC Course in First Aid Management of Anaphylaxis • SITXFS101 Use hygienic practices for food safety • SITHGAM201 Provide responsible gambling services • SITFAB201 Provide responsible service of alcohol • SIT10213 Certificate I in Hospitality • SIT20213 Certificate II in Hospitality • SIT20112 Certificate II in Tourism • ICT10115 Certificate I in Information, Digital Media and Technology 	<p>No rectification required.</p>

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

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

	<ul style="list-style-type: none"> • ICT20115 Certificate II in Information, Digital Media and Technology <p>Units audited</p> <ul style="list-style-type: none"> • VU21325 Engage with texts of limited complexity for personal purposes • VU21336 Work with design and shape in familiar • HLTAID003 Provide First Aid • SITXFSA101 Use hygienic practices for food safety <p>Trainer Files</p> <ul style="list-style-type: none"> • Vicki Love • Bill Street • Maria Smith • Marianne Rankin • Janice Connor • Josh Barker • Deb Reilly • Megan Darby • Gary Hunt 	
--	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:			Non-Compliant
SF1.4.1	Finding	Evidence/Documentation Reviewed	
	<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>The RTO is Non-Compliant with Element 1.4.</p> <p>The approach to professional development is not systematic. Internal staff meetings are being used to update staff, however this is not being systematically recorded as PD.</p> <p>This standard requires that trainer/assessors plan and undertake professional development annually in three areas of maintaining industry currency, developing training and assessing competencies and VET knowledge and skills.</p> <p>The RTO will need to make sure that their policy, procedure and recording mechanisms communicate these requirements and ensure that appropriate records are maintained.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> Staff Handbook Staff Induction Manual Employee induction checklist – no VET reference <p>Internal Professional Development – Compliance</p> <ul style="list-style-type: none"> Minutes 16/3/15 Minutes 8/4/15 Staff meeting 21/9/15 2015 Pre-assessment process ISLPR levels May 2015 Home Journals 2015 May 2015 <p>Trainer Files</p> <ul style="list-style-type: none"> Vicki Love Bill Street Maria Smith Marianne Rankin Janice Connor Josh Barker Deb Reilly Megan Darby Gary Hunt 	<p>Actions:</p> <ul style="list-style-type: none"> The RTO should revise their approach to Professional Development to make sure that is systematically includes the planning, implementation and recording of activities designed to maintain industry currency and develop training and assessing competencies and VET knowledge and skills.

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):		Non-Compliant
SF1.5.1	Finding	Evidence/Documentation Reviewed
	<p>a) Meets the requirements of the relevant Training Package or accredited course</p> <p>b) Is conducted in accordance with the principles of assessment and the rules of evidence</p> <p>c) Meets workplace and, where relevant, regulatory requirements</p> <p>d) Is systematically validated.</p>	
	<p>The RTO is Non-Compliant with Element 1.5.</p> <p>Assessment for the units</p> <p>HLTAID003 Provide first aid and SITXFSA101 Use hygienic practices for food safety do not meet the critical requirements of the unit of competency</p> <p>HLTAID003 Provide first aid</p> <p>Two observation checklists have been used to record performance evidence being assessed. The first checklist records the DRSABC process however it is not clear if this has included assessment on both a child and adult or if it applies to a specific scenario. The second checklist records the use of an AED.</p> <p>The unit requires CPR to be performed at least 2 minutes of uninterrupted single rescuer cardiopulmonary resuscitation (CPR) (5 cycles of both compressions and ventilations) on an adult resuscitation manikin placed on the floor and a child manikin.</p> <p>Students must demonstrate the skills and knowledge as part of 2 relevant industry-validated scenarios and simulations. There were no specific records indicating the scenarios used.</p> <p>In addition the candidate must also demonstrate the procedures for dealing with the following:</p> <ul style="list-style-type: none"> Allergic reaction 	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> Assessment/ Pre-assessment/ Resources & materials VET Assessment Guide <p>Training and assessment strategies for:</p> <ul style="list-style-type: none"> 22234VIC Course in Initial General Education for Adults 22235VIC Certificate I in General Education for Adults (Introductory) 22236VIC Certificate I in General Education for Adults 22237VIC Certificate II in General Education for Adults 22238VIC Certificate III in General Education for Adults 10361NAT Course in preliminary spoken and written English 10362NAT Certificate I in spoken and written English 10363NAT Certificate II in spoken and written English 10364NAT Certificate III in spoken and written English HLTAID001 Provide cardiopulmonary resuscitation HLTAID002 Provide basic emergency life support HLTAID003 Provide first aid HLTAID004 Provide an emergency first aid response in an education and care setting 22282VIC Course in the management of Asthma risks and emergencies in the workplace 22099VIC Course in First Aid Management of Anaphylaxis SITXFSA101 Use hygienic practices for food safety
		<p>Required Rectification(s)</p> <p>Actions:</p> <ul style="list-style-type: none"> The RTO should revise the assessment tasks used to assess HLTAID003 Provide first aid to make sure that all the performance evidence is assessed and recorded in the assessment checklists. The RTO must make sure that the assessment of SITXFSA101 Use hygienic practices for food safety occurs in a commercial kitchen simulated industry environment such as a training kitchen servicing customers Evidence of assessment for SITXFSA101 Use hygienic practices for food safety must also include the integration of predetermined hygiene procedures and food safety practices within day-to-day food handling work functions.

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

<ul style="list-style-type: none"> • Anaphylaxis • Bleeding control • Choking and airway obstruction • Envenomation, using pressure immobilisation • Fractures, sprains and strains, using arm slings, roller bandages or other appropriate immobilisation techniques • Respiratory distress, including asthma • Shock <p>The RTO will need to make sure that the design of their assessment processes clearly demonstrates that these items have been assessed and recorded in the individual records of assessment.</p> <p>SITXFSA101 Use hygienic practices for food safety</p> <p>When this unit is delivered as a standalone unit the training and assessment is conducted in a classroom. The current assessment involves a written knowledge test and an observation of handwashing. This does not meet the specific evidence requirements for this unit.</p> <p>In particular the unit requires assessment to occur in an operational commercial food preparation area, bar or kitchen with the fixtures, large and small equipment and workplace documentation defined in the Assessment Guidelines; this can be a:</p> <ul style="list-style-type: none"> • Real industry workplace • Simulated industry environment such as a training kitchen servicing customers <p>Assessment needs to include observation of the student integrating the use of predetermined hygiene procedures and food safety practices within day-to-day food handling work functions. This include the operational use of the food</p>	<ul style="list-style-type: none"> • SITHGAM201 Provide responsible gambling services • SITFAB201 Provide responsible service of alcohol • SIT10213 Certificate I in Hospitality • SIT20213 Certificate II in Hospitality • SIT20112 Certificate II in Tourism • ICT10115 Certificate I in Information, Digital Media and Technology • ICT20115 Certificate II in Information, Digital Media and Technology <p>Units audited</p> <ul style="list-style-type: none"> • VU21325 Engage with texts of limited complexity for personal purposes • VU21336 Work with design and shape in familiar • HLTAID003 Provide First Aid • SITXFSA101 Use hygienic practices for food safety <p>Student files</p> <ul style="list-style-type: none"> • Kaylene Rundle • Bill Street 	
-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

safety standards and codes during the preparation of food ingredients and ready to eat food items.			
SF1.5.2	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with Element 1.5.</p> <p>Assessment for the units</p> <ul style="list-style-type: none"> VU21325 Engage with texts of limited complexity for personal purposes VU21336 Work with design and shape in familiar <p>Does not meet the rules of evidence. Instructions to the student and assessor do not clearly identify how the methods of assessment recorded on the task record sheet have been used during assessment. The RTO is using a combined Assessment checklist/record sheet which includes the elements and performance criteria and the methods of assessment – portfolio, observation and questioning. It is unclear as to what was observed, what questions were asked and how the checklist relates to the evidence on the file.</p> <p>The RTO should review their record sheets to identify clearly what the assessor expects to observe the student doing, the questions with guidelines or model answers and criteria for an acceptable portfolio.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> Delivery plan – assessment skills and knowledge and assessment evidence Mapping document Lesson plan Term 3 2015 <p>VU21336 Work with design and shape in familiar</p> <ul style="list-style-type: none"> Task 1 – identifying shapes – Record sheet states observation, portfolio and questioning – worksheets – no instructions or clarity around the observation (checklist against E and PCs) and Questions – not clear what questions were asked? Task 2: Using shapes at home – Again a worksheet but methods of assessment suggests observation and questioning? Task 3 Shapes in building <p>VU21325 Engage with texts of limited complexity for personal purposes</p> <ul style="list-style-type: none"> Task 1 Autobiographies Task 2 Own biography – drafts and final – final typed Record sheets states observation and product. Observation is against E and PCs. Record sheet – contains E and PC and the methods of assessment 	<p>Actions:</p> <ul style="list-style-type: none"> The RTO should revise the assessment record sheets used to make sure that they clearly record the evidence that has been used to make the assessment decision. In particular the record sheets must identify what was observed, what questions were asked and criteria for acceptable evidence contained within the portfolio.
Improvement Opportunities			
Care should be taken when assessing individual tasks. These should be deemed satisfactory or not satisfactory. Competency can only be ruled at the unit level.			

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

Detailed Findings - AQTF Standards

STANDARD 2

ELEMENT 2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 2.1.</p> <p>The RTO establishes the needs of clients and delivers services to meet these needs.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Website: www.basscoastadulted.org.au • Bas Coast Adult Education brochures – on website • Short Course Guide • Course information sheets • Student information booklet • Advertising/marketing/website • Assessment/pre-assessment • LLN • Enrolment Induction • Enrolments – accredited • Enrolments – non & pre-accredited 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

ELEMENT 2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 2.2.</p> <p>The RTO continuously improves client services by collecting, analysing and acting upon relevant data.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Compliance & Quality/Risk Management • Staff responsibilities – Continuous improvement • Policy 7 Stakeholders • Compliance – continuous improvement • Complaints and appeals Policy and procedure • Student surveys • Student Feedback form • Mid year and end of year review • CEGA Student progress review • Stakeholder survey • QI survey • QI regulator report • Website www.basscoastadulthood.org.au • Internal Audits 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

ELEMENT 2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 2.3.</p> <p>Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Website: www.basscoastadulted.org.au • Bas Coast Adult Education brochures – on website • Short Course Guide • Course information sheets • Student information booklet • 3.1 Advertising/marketing/website • Student enrolment form • USI application Student permission form • Privacy notice & declaration • BSAEC Student induction information • Course 2015 Fee Estimate • Withdrawal form • Withdrawal form units/courses process 2015 • Credit transfer application • BCAEC Enrolment process 2015 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

ELEMENT 2.6 - Learners have timely access to current and accurate records of their participation and progress.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>Element 2.6 was Compliant</p> <p>Learners have timely access to current and accurate records of the participation and progress.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Enrolment form – check against the standard enrolment questions 16, 18 & 19 – not up to date with 2015 requirements • AVETMISS enrolment form • USI • Privacy declaration • Training plan • Privacy • Reporting • Reporting to registering body • Student management system – VET Trak • USI • VSN • Certificates & Statements of Attainment 	<p>No rectification required.</p>	

Improvement Opportunities

It is suggested that the RTO check their enrolment form against the current Victorian VET Statistical Guidelines standard enrolment questions. Questions 16, 18 & 19 changed for 2015. These changes are not reflected in the RTO's version of the enrolment form.

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

ELEMENT 2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 2.7.</p> <p>The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</p> <p>The RTO closely monitors student issues and attendance. Issues are raised and dealt with before they become a formal complaint.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Complaints and Appeals • Privacy notice & declaration • BSAEC Student induction information • Enrolment information booklet • Student information booklet • BCAEC Compliant Processes Certificate Courses • BCAEC Compliant Processes Short Courses • Students at risk - monitoring 	<p>No rectification required.</p>	

Improvement Opportunities
<p>The following information should be included in the complaints policy - The National Training Complaints Hotline is accessible on 13 38 73 and is available Monday to Friday, from 8am to 6pm. You can also send complaints via email to skilling@education.gov.au.</p> <p>Make sure that all references to this policy and procedure includes assessment appeals.</p>

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

Detailed Findings - AQTF Standards

STANDARD 3

ELEMENT 3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 3.1.</p> <p>The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Student enrolment form • USI application Student permission form • Privacy notice & declaration • BSAEC Student induction information • Course 2015 Fee Estimate • Withdrawal form • Withdrawal form units/courses process 2015 • Credit transfer application • BCAEC Enrolment process 2015 • Enrolment induction • Enrolments – accredited • Enrolments – non accredited 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

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

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

ELEMENT 3.4 - The RTO manages records to ensure their accuracy and integrity.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 3.4.</p> <p>The RTO manages records to ensure their accuracy and integrity</p>	<p>Evidence reviewed at audit:</p> <p>Policies and procedures</p> <ul style="list-style-type: none"> • Committee of Management • Centre Manager • Administration – Advertising , marketing, website, Answering telephone, taking messages, computer use, correspondence, emergency procedures, expectation of visitors, files and records, first aid, general enquiries, legislation, lunchroom facilities, opening hours, privacy, public notices, room hire, stationery, telephone and fax use • Finances • Grounds, equipment and maintenance • Staff – continuous improvement, induction & information to new staff, job descriptions, leave, legislation, performance monitoring, police and working with children , professional development, moderation and validation, qualification of staff, records, recruitment, staff meetings, supervision , use of equipment, VET manager, Volunteer staff, weekend classes, workplace harassment, workplace bullying • Stakeholders – access & equity, AMES, AMEP, VTP, Centre users, child protection, communication , complaints & appeals, discrimination, referral protocol, stakeholders, surveys, community garden, community VCAL, woodcrafters, U3A • Policy and Compliance – audits, continuous improvement, legislation, privacy, reporting, registering body/VET regulator, reporting, student 	<p>No rectification required.</p>	

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

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

	<p>management system, skills Victoria Training Systems, USI, VSN, VTG, Workplace health and safety</p> <ul style="list-style-type: none"> • Training and Assessment - accredited VET delivery, AMEP, Assessment/pre-assessment, Certificates and statements of attainment, course cancellations, foundation skills training & assessment, legislation, LLN, Pre-accredited delivery program, RPL, CT, RCC, Resources, subcontracting, scope of registration/training package transition, training and assessment strategies • Students – enrolment induction, enrolment – accredited, enrolment non accredited, excursions/student placement, fees, legislation, monitoring/analysis, plagiarism, safety of students/study hours, student surveys, student behaviour/misconduct, student cancellation, student files, travel in private cars, welfare/support 	
--	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

Detailed Findings – VRQA Guidelines for VET Providers

GUIDELINE 1.3 - Staff records for each training and assessment staff member must include the following:			Non-Compliant
<ul style="list-style-type: none"> • Verified or certified and/or signed documents are held by the RTO • Trainer skills matrix – signed by trainer/assessor • Trainer and assessor qualifications - verified by RTO or otherwise certified • Vocational qualifications – verified by RTO or otherwise certified • CV – signed by trainer/assessor • Professional development activities verified and/or signed by trainer/assessor • Position description • Employment contract/agreement 			
GF1.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with Guideline 1.3.</p> <p>Trainer/assessor records are not consistent with the requirements of the guideline.</p> <p>The files for the casual trainers who deliver the First Aid units also do not contain verified copies of qualifications to support their CVs which indicate that they are paramedics with a TAE40110.</p> <p>The trainer skills matrix does not provide sufficient detail at the unit level to demonstrate how the trainer has vocational experience at the level being delivered.</p> <p>Records for casual trainers do not meet all of the requirements of this guideline. Verified copies of qualifications are not in place for the two First Aid trainers Megan Darby and Deb Reilly. A statutory declaration and CV indicate that the trainers are appropriately qualified, however the guideline requires verified copies of vocational and training and assessing competencies to be held on the file.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Staff Handbook • Staff Induction Manual • Employee induction checklist – no VET reference <p>Internal Professional Development – Compliance</p> <ul style="list-style-type: none"> • Minutes 16/3/15 • Minutes 8/4/15 • Staff meeting 21/9/15 • 2015 Pre-assessment process ISLPR levels May 2015 • Home Journals 2015 May 2015 <p>Trainer Files</p> <ul style="list-style-type: none"> • Vicki Love • Bill Street • Maria Smith • Marianne Rankin • Janice Connor 	<p>Actions:</p> <ul style="list-style-type: none"> • The RTO must ensure that complete records of vocational and training qualifications are maintained for all trainers • The RTO should review the trainer skills matrix to make sure that it provides sufficient details at the unit level to demonstrate how the trainer has vocational experience at the level being delivered

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

<p>Qualifications for trainers do not always contain both the certificate and the record of results/academic transcript. The RTO must ensure that both documents are copied and retained on the trainer file.</p>	<ul style="list-style-type: none"> • Josh Barker • Deb Reilly • Megan Darby • Gary Hunt 	
-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------	--

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

GUIDELINE 2.1 - The provider must demonstrate that it is able to monitor course quality, externally moderate student performance and drive continuous improvement in course delivery.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 2.1.</p> <p>The RTO monitors course quality.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • CESWE Validation 2015 • Assessment Validation schedule 2014 - 2016 • Assessment tool Validation and Report • Assessment mapping of units to assessment tasks • Validation records for 20 November 2014 – CGEA • Validation process described in the TAS. • Professional development/moderation/validation 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

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

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

GUIDELINE 2.3 - The provider must demonstrate that they can provide quality education and training to students			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 2.3.</p> <p>The RTO has policies and procedures in place for the retention unit of competency training and assessment information *for a minimum of 1 year post completion of the unit, including mechanisms for the retention of master resources.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Student enrolment form • USI application Student permission form • Privacy notice & declaration • BSAEC Student induction information • Course 2015 Fee Estimate • Withdrawal form • Withdrawal form units/courses process 2015 • Credit transfer application • BCAEC Enrolment process 2015 • BCAEC Timetable – term 4 2015 • Complaint/appeal form • Assessment task coversheet • Course requirements for Hospitality and Tourism 2016 • BCAEC staff/student ratios 2015 • Gippsland Building Approvals – Certificate of Final inspection – 9B certificate • Lease 239 White Road Wonthaggi North <p>Individual file documentation</p> <ul style="list-style-type: none"> • CGEA Course information • Credit transfer application • Pre-training Foundation skills check • Individual learning plan • Individual training plan • Computers for beginners (Intel – learn easy steps) program flyer 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

GUIDELINE 4.1 - A provider must not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 4.1.</p> <p>The RTO does not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • BCAEC Timetable – term 4 2015 • Complaint/appeal form • Course requirements for Hospitality and Tourism 2016 • Student information booklet • Enrolment information booklet • Weekend classes • Room hire & booking facilities • Open hours & holiday closures • Emergency, Fire Drills 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

GUIDELINE 4.2 - A provider must not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 4.2.</p> <p>The RTO does not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • BCAEC Timetable – term 4 2015 • Complaint/appeal form • Course requirements for Hospitality and Tourism 2016 • Student information booklet • Enrolment information booklet • Weekend classes • Room hire & booking facilities • Open hours & holiday closures • Emergency, Fire Drills 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

GUIDELINE 4.4 - Providers must indicate the measures they intend to take to address matters of student safety.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 4.4</p> <p>Both the RTO and School policies are designed to address matters of student wellbeing and Safety.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • BCAEC Timetable – term 4 2015 • Complaint/appeal form • Course requirements for Hospitality and Tourism 2016 • Student information booklet • Enrolment information booklet • Weekend classes • Room hire & booking facilities • Open hours & holiday closures • Emergency, Fire Drills 	<p>No rectification required.</p>	

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

GUIDELINE 5.1 - The provider must demonstrate that they have the capacity to deliver and assess ALL the courses requested/on the scope of registration.			Non-Compliant
GF5.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Compliant with this aspect of Guideline 5.1</p> <p>The RTO has Training and assessment strategies in place for all qualifications and units of competency on its scope of registration</p> <p>The Training and assessment strategy includes:</p> <p>Contents of TAS</p> <ul style="list-style-type: none"> • TAS focus • TAS Quality assurance • Accredited course details • Entry requirements • Supporting documentation <p>Industry consultation</p> <ul style="list-style-type: none"> • Consultation • Incorporation into TAS <p>Training Strategy</p> <ul style="list-style-type: none"> • Training arrangement • Program structure • Program delivery • Resource requirements • Supporting documentation <p>Assessment strategy</p> <ul style="list-style-type: none"> • Assessment arrangement • RPL • Moderation and validation 	<p>Evidence reviewed at audit:</p> <p>Training and assessment strategies for:</p> <ul style="list-style-type: none"> • 22234VIC Course in Initial General Education for Adults • 22235VIC Certificate I in General Education for Adults (Introductory) • 22236VIC Certificate I in General Education for Adults • 22237VIC Certificate II in General Education for Adults • 22238VIC Certificate III in General Education for Adults • 10361NAT Course in preliminary spoken and written English • 10362NAT Certificate I in spoken and written English • 10363NAT Certificate II in spoken and written English • 10364NAT Certificate III in spoken and written English • HLTAID001 Provide cardiopulmonary resuscitation • HLTAID002 Provide basic emergency life support • HLTAID003 Provide first aid • HLTAID004 Provide an emergency first aid response in an education and care setting • 22282VIC Course in the management of Asthma risks and emergencies in the workplace 	<p>No rectification required.</p>

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

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

<ul style="list-style-type: none"> • Supporting documentation • Monitoring and improvement • Continuous improvement • Supporting documentation <p>Definitions in this TAS</p> <ul style="list-style-type: none"> • Training delivery • Assessment methods <p>Matrices</p> <ul style="list-style-type: none"> • Training and assessment matrix 	<ul style="list-style-type: none"> • 22099VIC Course in First Aid Management of Anaphylaxis • SITXFSA101 Use hygienic practices for food safety • SITHGAM201 Provide responsible gambling services • SITFAB201 Provide responsible service of alcohol • SIT10213 Certificate I in Hospitality • SIT20213 Certificate II in Hospitality • SIT20112 Certificate II in Tourism • ICT10115 Certificate I in Information, Digital Media and Technology • ICT20115 Certificate II in Information, Digital Media and Technology 	
GF5.1.2 Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>The RTO is not compliant with this aspect of Guideline 5.1</p> <p>This guideline require clear advice to students as to how the unit(s) will be assessed and clear instructions to assessors on the conduct of the assessment. This will also need to include how the assessment will be recorded.</p> <p>While the RTO does have some instructions in place to support the Certificates in General Education for Adults, there are no clear instructions for the assessment of observations or the use of questioning in the conduct and recording of the assessment activities</p> <p>Observation checklists need to include clear criteria or decision making rules to support consistent assessment decisions across assessors.</p>	<p>Evidence reviewed at audit:</p> <p>SITXFSA101 Use hygienic practices for food safety</p> <ul style="list-style-type: none"> • Learner guide • Power point • Contextualise unit • Written test • Observation checklist – washing hands does not meet requirements of performance evidence and critical requirements • Assessment mapping – critical requirements not in the mapping document <p>HLTAID003 Provide first aid</p> <ul style="list-style-type: none"> • Workbook • Contextualised unit mapping HLTAID002 	<p>Actions:</p> <ul style="list-style-type: none"> • The RTO should review their assessment tools to make sure that they include clear advice to students as to how the unit(s) will be assessed and clear instructions to assessors on the conduct of the assessment. • Assessment record sheets should also include clear criteria and decision making rules for the assessor to make a decision about a satisfactory performance.

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

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

<p>Where questions occur during the observation, these will also need to be included in the checklist along with criteria or guidelines for decision making.</p> <p>Assessments to support SITXFSA101 Use hygienic practices for food safety and HLTAID003 Provide first aid do not include instructions to the student or assessor on how the assessment is to be conducted. These instructions will also need to include the scenarios that are used in order to assess the list of critical procedures as identified in the performance evidence.</p> <p>The RTO should make sure they include clear instructions to both the student and assessor on the conduct of assessment, including specific conditions for assessment and any equipment of materials that will be required.</p>	<ul style="list-style-type: none"> • Assessment mapping – includes skills and knowledge but does not include critical assessment conditions • Observation checklist – perform CPR • Observation checklist – AED <p>VU21336 Work with design and shape in familiar</p> <ul style="list-style-type: none"> • Task 1 – identifying shapes – Record sheet states observation, portfolio and questioning – worksheets – no instructions or clarity around the observation (checklist against E and PCs) and Questions – not clear what questions were asked? • Task 2: Using shapes at home – Again a worksheet but methods of assessment suggests observation and questioning? • Task 3 Shapes in building <p>VU21325 Engage with texts of limited complexity for personal purposes</p> <ul style="list-style-type: none"> • Task 1 Autobiographies • Task 2 Own biography – drafts and final – final typed <ul style="list-style-type: none"> • Record sheets states observation and product. Observation is against E and PCs. • Record sheet – contains E and PC and the methods of assessment 		
GF5.1.3	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
The RTO is not compliant with this aspect of Guideline 5.1	<p>The RTO has mapping documents in place for each unit of competency. The mapping documents for SITXFSA101 Use hygienic practices for food safety and</p>	<p>Evidence reviewed at audit</p> <p>SITXFSA101 Use hygienic practices for food safety</p> <ul style="list-style-type: none"> • Learner guide • Power point 	<p>Actions</p> <ul style="list-style-type: none"> • Review the mapping documents for SITXFSA101 Use hygienic practices for food safety and HLTAID003 Provide first aid to make

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

Audit Date: 13th and 14th October 2015

RTO: Bass Coast Adult Education Centre Inc.

<p>HLTAID003 Provide first aid do not include all the critical assessment conditions and evidence requirements.</p>	<ul style="list-style-type: none"> • Contextualise unit • Written test • Observation checklist – washing hands does not meet requirements of performance evidence and critical requirements • Assessment mapping – critical requirements not in the mapping document <p>HLTAID003 Provide first aid</p> <ul style="list-style-type: none"> • Workbook • Contextualised unit mapping HLTAID002 • Assessment mapping – includes skills and knowledge but does not include critical assessment conditions • Observation checklist – perform CPR • Observation checklist - AED 	<p>sure they include the critical assessment conditions and evidence requirements.</p>
---------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------

Improvement Opportunities

While an overall assessment record sheet is in place for the unit(s) of competence, it does not consistently list the specified assessment tasks which need to be completed. More recently a record sheet for the Certificate in General Education for Adults has been implemented which does list the tasks to be undertaken. This form does not include a signature from the trainer and the student. This model will need to be applied across all course and qualification documentation.