

Audit Date: 31Oct/1Nov 2019

RTO: Shepparton Adult and Community Education College Inc.

Applicant Details			
Applicant Name	Shepparton Adult and Community Education College Inc T/as Shepparton Adult & Community Education Inc	TOID	6470
Address	130 Rowe Street, Shepparton VIC 3630		
	Website	www.sheppartonace.com.au	
Registration Contact	Ms Desiree Winnell		
Phone Number	(03) 5831 4029	Email	dwace@inet.net.au
Audit Team			
Audit Firm	ShineWing Australia	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Bronwyn Rose, Principal Irene Jones, Compliance Administration Officer Joel Hoffman, Trainer and Social Worker Len Toczylkine, Consultant
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.4
2016 VRQA Guidelines Audited	3.1, 3.2	4.1, 4.2	
Audit Date/s	31 October/1 November 2019		
RTO Background			
<p>Shepparton ACE College Inc. Shepparton ACE College Inc. is an independent Senior Secondary School, a Registered Training Organisation and a community based, not for profit, organisation providing a range of educational opportunities for youth and adults in Greater Shepparton. It also works with industry, employment agencies, welfare agencies and secondary schools to meet the community's needs in education and training.</p> <p>Shepparton ACE College is a school, registered as a non-school provider, that has been established to provide for the educational needs of young people in the Shepparton area, who seek a secondary education outside of the traditional school system to support their interests and learning needs. Shepparton ACE provides a secure environment of small class sizes, that enable students to work in a non-traditional school</p>			

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setting and access appropriate support, both personal/social and academic, to assist them to develop learning skills that will enable them to complete a Year 12 outcome.

The College aims to provide a safe, supportive learning environment to those students experiencing difficulties within education and aims to promote skills and confidence for lifelong learning and develop in students a sense of personal responsibility to contribute positively to the wider community.

The College invests a considerable amount of resources in ensuring that qualifications and courses that students enrol in are the most appropriate for them and that they have the ability to effectively complete their course and have access to student support services that are most relevant to their needs.

The school initially accepted enrolments at the Year 11 and 12 level, providing VCAL programs and VET qualifications. In the last two years, the school has expanded and accepts enrolments in Year 7 through to Year 12.

RTO Background

The College registered as an RTO in 1999 to enable the delivery of vocational qualifications which are delivered as part of VCAL and VET in Schools programs.

The College is a VET Student Loans approved course provider and is registered to enrol students eligible for access to the Student Loans for the completion of approved higher-level (diploma and above) vocational education and training (VET) courses.

The College RTO enrolls approximately 100 students a year in foundation courses, VCAL courses and Certificate I, II and III qualifications.

During 2018, 56 students enrolled in qualifications and accredited foundation skills courses. To date in 2019, 49 students have enrolled in qualifications and accredited foundation skills courses.

The RTO receives the majority of funding through the Victorian Department of Education for the delivery of VCAL programs, representing approximately 60-70% of income. Enrolments in VET qualifications and courses, with the support of Skills First funding, provides approximately 20-25% of funding. ACFE Learn Local Funding for the delivery of pre-accredited courses represents approximately 5% of income.

Shepparton ACE College has secured new facilities in Central Shepparton, which are currently being renovated and re-fitted to accommodate the College and should be opened in early 2020, providing for more space and better facilities. The College does not intend to grow student numbers so as to maintain a secure environment for its students.

The College focus to transition students to employment and further education has been successful in achieving this outcome. Students that complete the Certificate of Individual Support find employment in aged care settings following the completion of work placement. Three students who have completed the Diploma of Community Services have enrolled in community services qualifications at La Trobe University. Students completing the Certificate of Liberal Arts have also achieved entry to degree qualifications at La Trobe University.

The College also has formal arrangements in place to provide supervision for La Trobe University students completing a Social Work qualification.

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The Victorian Department of Education has developed a Shepparton Education Plan which will encompass a 'super' school for the region, to cater for up to 3,000 students and include three neighbourhoods. Not all families in the region are comfortable with the proposal for a large school and see Shepparton ACE College as an alternative. The College does not wish to increase in size and wants to maintain its small numbers to provide for the specialist needs of its students.

Summary of Audit Findings

Shepparton ACE College has developed sound procedures for managing its operations to provide quality training and assessment services to its learners and achieve significant employment outcomes and transition to higher education, with credits, for students enrolled in higher level qualifications.

The College provides access to student support and social welfare services through the engagement of a well-qualified and experienced social worker.

Though training is provided by well experienced trainers, resources for the delivery of hospitality qualifications was limited and did not meet industry training standards. This is being addressed through the development of a new hospitality training facility at its new premises which will be occupied in early 2020.

The assessments conducted for the units in the Certificate II in Kitchen Operations were not consistent with the requirements of the unit assessment requirements.

The testamurs included the superseded VRQA logo.

The RTO identifier on the Certificate was Shepparton ACE College, however the organisation's legal name on the TGA RTO report was identified as Shepparton Adult Community Education College Inc. The organisation had registered the business name - Shepparton ACE College, however the regulator (VRQA) had not been informed of this registration.

Shepparton Adult Community Education College Inc. would benefit by deleting the superseded VRQA logo from its testamurs and informing the VRQA of the registration of the business name - Shepparton ACE College, and requesting that the TGA RTO Report be modified to include the Business Name: Shepparton ACE College.

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Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
CHC52015	Diploma of Community Service Units: CHCCCS007 Develop and implement service programs CHCDIV003 Manage and promote diversity CHCMGT005 Facilitate workplace debriefing and support processes	130 Rowe Street, Shepparton VIC 3630
SIT20416	Certificate II in Kitchen Operations Units: SITHCCC005 Prepare dishes using basic methods of cookery SITHCCC011 Use cookery skills effectively	130 Rowe Street, Shepparton VIC 3630

Interviewee(s) – Staff name and position; employer name and position	
Joel Hoffman	Student Support – Social Worker Trainer/assessor: Diploma of Community Service
Julie Dainton	Trainer/assessor: Certificate II in Kitchen Operations
Informal discussions – class of 12 students.	Certificate II in Kitchen Operations
Irene Jones	Compliance Administration Officer

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
All training is delivered at: Shepparton ACE School at 130 Rowe Street, Shepparton		

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

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

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Audit Summary - AQTF Conditions of Registration

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

Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1	X		
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	
Standard 2	X		
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		
Standard 3	X		
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		
Summary of Non-Compliance²			
SF.1.3.1			
<p>SIT20416 - Certificate II in Kitchen Operations Staff and training and assessment materials used by the RTO were consistent with the requirements of the Training Package and the RTO's own training and assessment strategies, however the facilities and equipment for classes of eight students were insufficient. Though the Training and Assessment Strategy identified all the required facilities, fixtures, small and large equipment, consistent with the requirements of the Training Package requirements and the requirements of individual units, the College kitchen facilities did not provide sufficient resources for the number of students.</p> <p>It was noted that the College will move into new facilities in 2020, which will include a commercial grade kitchen with adequate fixtures, small and large equipment, however, current students completing the qualification in 2019 do not have access to these.</p>			

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

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SF.1.5.1

CHC52015 Diploma of Community Service

Assessments did not meet the requirements of the training package and unit assessment requirements.

SF.1.5.2

SIT20416 - Certificate II in Kitchen Operations

Assessments did not meet the requirements of the training package and unit assessment requirements.

Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
1. Governance, Financial viability and Management systems			X
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
2. Transparency and oversight of third parties			X
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
3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)	X		
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
4. Delivery of training and assessment services		X	
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
5. Annual Declaration of Compliance			X
5.1 – Annual Declaration of Compliance			X

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Summary of Non-Compliance³

GF.4.2.1

Shepparton Adult & Community Education Inc had identified a duration for each qualification reviewed, however a rationale for 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 was not provided.

Many students completed qualifications and/or units as part of a VCAL program, through which durations and amount of training was determined by the VCAL program structure.

Many learners were disadvantage youth who required additional and specialised support to assist them to complete their learning.

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

Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration Audit.		
CF.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit.	N/A
Improvement Opportunities		
Summary of improvement opportunities relating to condition 1		
CONDITION 2 - Interactions with the Registering Body		Not audited in Phase 2 audit
Evidence/Documentation Reviewed		
Not audited as part of this Re-registration Audit.		
CF. 2	Finding	Required Rectification(s)
	Not audited as part of this Re-registration Audit.	N/A
Improvement Opportunities		
Summary of improvement opportunities relating to condition 2		

CONDITION 3 - Compliance with Legislation		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Policy and Procedures Manual 2019. • Procedure - Legislation Affecting Operations. Included ETRA but not amendment. • Staff Handbook – Code of Practice. • Staff Handbook – Vocational Education – Regulatory – AQTF and AQF and Policies and Procedures. • Teaching – VCAL literacy levels, template lesson plans – lesson development materials. • Administration Procedures. • Staff meeting folder - Minutes 2019 (2018 – 2013). • Position descriptions: Principal, Assistant Principal, Business Manager, Child Safety Coordinator, Compliance Administration Officer. Attendance Administration OHS Officer, Youth Worker, General Teacher – careers, General Teacher • Student Induction Booklet 2019 		
CF.3.1	Finding	Required Rectification(s)
	<p>Shepparton Adult & Community Education Inc had identified and implemented relevant Commonwealth, State or Territory legislation and regulatory requirements that were relevant to its operations and its scope of registration. It ensured that its staff and clients were fully informed of these requirements that affected their duties or participation in vocational education and training through the Student Induction Booklet 2019 and the Staff Handbook – Vocational Education – Regulatory – AQTF and AQF and Policies and Procedures.</p>	N/A

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

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

CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Compliance Administration Officer position description – documented quality assurance • Policy and Procedures, Qualifications and Statement of Attainment • Sample Certificate Record of Results issued to J Johnson, Certificate IV in Liberal Arts 15/7/2019 • Sample Statement of Attainment Lisa Sharp – four units as part of Certificate II in Kitchen Operations SIT20416 • Shepparton ACE College – Shepparton Adult Community Education College Inc • VETtrak records – sample for 10 student files reviewed • Policy and Procedures Manual – Record Management – Retention and Disposal • Register of testamurs issued • Student Profile Form • Student Enrolment Checklist • Student Data/Enrolment Form for 10 student files reviewed • Monthly SVTS Reports • Enrolment Form USI • Student Handbook – Part 3 – Unique student identifier 		
CF.6.1	Finding	Required Rectification(s)
	<p>Shepparton Adult & Community Education Inc had issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF) TGA. The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.</p> <p>The testamurs included the superseded VRQA logo. The RTO identifier on the Certificate was Shepparton ACE College, however the organisation's legal name on the TGA RTO report was identified as Shepparton Adult Community Education College Inc.</p>	N/A

The organisation had registered the business name - Shepparton ACE College, however the regulator (VRQA) had not been informed of this registration.		
CF.6.2.	Finding	Required Rectification(s)
Shepparton Adult & Community Education Inc had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years as identified in the Policy and Procedures Manual – Record Management – Retention and Disposal, and confirmed this through review of a sample of records maintained in VETtrak.		N/A
CF.6.3.	Finding	Required Rectification(s)
Shepparton Adult & Community Education Inc had a student records management system in place that had the capacity to provide the registering body with AVETMISS compliant data as confirmed through the review of completed Enrolment Forms, VETtrak entries and sample of monthly SVTS reports.		N/A
CF.6.4.	Finding	Required Rectification(s)
Shepparton Adult & Community Education Inc had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2019 through monthly SVTS reporting.		N/A
CF.6.5.	Finding	Required Rectification(s)
Shepparton Adult & Community Education Inc met the requirements for implementation of a national unique student identifier as confirmed by the review of a sample of completed Student Enrolment Forms.		N/A

Improvement Opportunities

CF.6.1

The testamurs included the superseded VRQA logo. The RTO identifier on the Certificate was Shepparton ACE College, however the organisation's legal name on the TGA RTO report was identified as Shepparton Adult Community Education College Inc. The organisation had registered the business name - Shepparton ACE College, however the regulator (VRQA) had not been informed of this registration.

Shepparton Adult Community Education College Inc. would benefit by deleting the superseded VRQA logo from its testamurs and informing the VRQA of the registration of the business name - Shepparton ACE College, and requesting the TGA RTO report be modified to include the business name.

CF.6.3

It was noted that students were not provided with a National VET Data Privacy Notice.

Shepparton Adult & Community Education Inc would benefit from providing students with the National VET Data Privacy Notice, prior to enrolment.

See: National VET Data Privacy Notice <https://www.myskills.gov.au/more/news-events/news/making-enrolment-simpler-changes-to-national-vet-data-policy-schedule-1-privacy-notice/>

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CONDITION 7 - Recognition of Qualifications Issued by other RTOs		Compliant
Evidence/Documentation Reviewed		
<p>Student Induction Booklet 2019:</p> <ul style="list-style-type: none"> • 1.9 VET Recognition of Current Competency • RPL <p>Code of Practice – National Recognition Policy and Procedures 5 Training and Assessment - Credit Transfer.</p>		
CF.7.1	Finding	Required Rectification(s)
	<p>Shepparton Adult & Community Education Inc had procedures in place for the recognition of AQF Qualifications and Statements of Attainment issued by any other RTO. Students were informed in the Student Induction Booklet 2019 and the Code of Practice – National Recognition.</p>	<p>N/A</p>

CONDITION 8 - Accuracy and Integrity of Marketing		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Policy and Procedures Manual - Marketing • Code of Practice – Marketing • Position description – Compliance Administration Officer • Course Guide • Sample of marketing and informal materials: <ul style="list-style-type: none"> – Website – Facebook links – Local press advertisements – Diploma course brochure – Advertising and Marketing Approval Forms – Brochures 2/2/2019 – Website 2/2/2019 – Website 30/1/2019 – Organisational Chart – marketing responsibilities 		
CF.8.1	Finding	Required Rectification(s)
	<p>Shepparton Adult & Community Education Inc had ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration, as confirmed through the review of a sample of marketing materials. Images used included standard stock items. The NRT logo was employed in accordance with its conditions of use.</p>	N/A

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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Policy and Procedures Manual – Transition • Current Scope of Registration TGA RTO Report. 		
CF.9.1	Finding	Required Rectification(s)
	Shepparton Adult & Community Education Inc had provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA, as confirmed in the Policy and Procedures Manual – Transition and through the review of Current Scope of Registration TGA RTO Report.	N/A

Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Policy and Procedures: 3 Continuous Improvement. • Sample of: <ul style="list-style-type: none"> • Completed Student Surveys: End of Unit and Quality Indicator • Improvement requests • Audit program schedules • Validation of assessment tools • Meeting minutes: AGM, Committee of Management, Staff meetings, Administration minutes, External meetings • Staff feedback forms • Organisation self-assessment checklists • RTO Performance Indicator Reports 2017 • Continuous Improvement Register 2018 - 2019 • Improvement tracking and analysis 2017 – 2019 including learning and assessment and administration information, one complaint 		
SF.1.1.1	Finding	Required Rectification(s)
	Shepparton Adult & Community Education Inc collected, analysed and acted on relevant data for continuous improvement of training and assessment. This was confirmed through the items included in the Continuous Improvement register and related actions.	N/A

Improvement Opportunities

Shepparton Adult & Community Education Inc would benefit from including on the Continuous Improvement Register, the dates for proposed review of the effectiveness of continuous improvement actions implemented.

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
Evidence/Documentation Reviewed		
<p>Learning and assessment strategies for the following qualifications and units:</p> <p>CHC52015 Diploma of Community Service Units: CHCCCS007 Develop and implement service programs CHCDIV003 Manage and promote diversity CHCMGT005 Facilitate workplace debriefing and support processes</p>		
SF.1.2.1	Finding	Required Rectification(s)
<p>Strategies for training and assessment met the requirements of the relevant Training Package and were developed in consultation with industry as confirmed through industry consultation reports and summary feedback included in the Training and Assessment Strategies. Qualifications and units delivered as part of VCAL programs met the VCAA course requirements.</p>		N/A

<p>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.</p>	<p>Non-Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>CHC52015 Diploma of Community Service Learning resources:</p> <ul style="list-style-type: none"> • SmallPrint Learner Guides • Candidate assessment workbooks developed by Shepparton ACE College • Government publications, Standards and brochures • Legislative instruments • Organisational Policies and Procedures • Position descriptions • Case Studies <p>Assessment resources</p> <ul style="list-style-type: none"> • Candidate assessment workbooks developed by Shepparton ACE College • Individual assessment tasks for each unit. <p>Trainer/assessor information:</p> <ul style="list-style-type: none"> • Joel Hoffman • Sile Coleman <p>Training Facilities:</p> <ul style="list-style-type: none"> • Classroom, projector, laptops, screen • Interactive computer software • Internet access • LLN support • Simulated assessment resources <p>SIT20416 - Certificate II in Kitchen Operations Units:</p> <p>SITHCCC005 Prepare dishes using basic methods of cookery</p>	

<p>SITHCCC011 Use cookery skills effectively</p> <p>Unit session plans Course delivery plans Equipment required for assessment.</p> <p>Learning and assessment resources:</p> <ul style="list-style-type: none"> • SmallPrint Learner resources • Candidate assessment materials developed by Shepparton ACE College • Session Plans for each unit • Trainer Guide for each unit • Assessment task guides <p>Training Facilities:</p> <ul style="list-style-type: none"> • Classroom, projector, laptops, screen • College kitchen facilities • Equipment required for assessment – extensive list provided in the TAS <p>Trainer/assessor information:</p> <ul style="list-style-type: none"> • Julie Dainton 		
SF.1.3.1	Finding	Required Rectification(s)
	<p>CHC52015 Diploma of Community Service Staff, facilities, equipment and training and assessment materials used by the RTO were consistent with the requirements of the Training Package and the RTO's own training and assessment strategies.</p> <p>SIT20416 - Certificate II in Kitchen Operations Staff and training and assessment materials used by the RTO were consistent with the requirements of the Training Package and the RTO's own training and assessment strategies, however the facilities and equipment for classes of eight students were insufficient. Though the Training and Assessment Strategy identified all the</p>	<p>SIT20416 - Certificate II in Kitchen Operations Shepparton Adult & Community Education Inc is required to ensure that the training facilities include sufficient facilities, fixtures, small and large equipment, as required by the Training Package and related units, for classes of up to eight students.</p>

<p>required facilities, fixtures, small and large equipment, consistent with the requirements of the Training Package requirements and the requirements of individual units, the College kitchen facilities did not provide sufficient resources for eight students.</p> <p>It was noted that the College will move into new facilities in 2020, which will include a commercial grade kitchen with adequate fixtures, small and large equipment, however, current students completing the qualification in 2019 do not have access to these.</p> <p>The industry standard requirement of two cooktops per student, one oven per two students and 1.5 meters of commercial grade work bench were not available for classes of eight students.</p> <p>Commercial grade refrigeration facilities, salamanders, bain maries and grillers were not available. Small equipment was not sufficient for eight students.</p>	
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Improvement Opportunities
<p>Shepparton Adult & Community Education Inc would benefit by identifying alternative training facilities for the students enrolled in the SIT20416 - Certificate II in Kitchen Operations, to ensure that they will have access to all the resources required for them to complete unit learning and assessment requirements.</p>

<p>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who: 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.</p>		Compliant
Evidence/Documentation Reviewed		
<p>Trainer/assessor information for the following qualifications and units:</p> <p>CHC52015 Diploma of Community Service Trainer/assessor: Joel Hoffman</p> <p>SIT20416 - Certificate II in Kitchen Operations Trainer/assessor: Julie Dainton</p>		
SF.1.4.1	Finding	Required Rectification(s)
	<p>Training and assessment was delivered by trainers and assessors who had the necessary training and assessment competencies and the relevant vocational competencies at least to the level being delivered or assessed, could demonstrate current industry skills directly relevant to the training/assessment being undertaken and continued to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	N/A

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Improvement Opportunities

SIT20416 - Certificate II in Kitchen Operations

Trainer/assessor: Julie Dainton

Shepparton Adult & Community Education Inc would benefit from ensuring the Trainer/assessor file includes a current resume that clearly outlines the qualifications held and recent industry experience, to support the evidence that the Trainer/assessor has currency of competency to deliver the Certificate II in Kitchen Operations.

<p>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL): 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.</p>	<p>Non-Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>CHC52015 Diploma of Community Service Units: CHCCCS007 Develop and implement service programs Assessment tasks:</p> <ul style="list-style-type: none"> • Task 1 Questions and Answers • Task 2 Project • Task 3 Supervisor checklist of observed skills <p>Student Completed Assessments: Assessor Sile Coleman June 2019</p> <ul style="list-style-type: none"> • Zac Donaldson • Myles Keenan • Nikki Solway • Krone Black • Tahalia-Jane Purton <p>CHCDIV003 Manage and promote diversity</p> <ol style="list-style-type: none"> 1. Written/oral questions 2. Project – Develop a cultural diversity policy 3. Presentation <p>Student Completed Assessments: Assessor Joel Hoffman, March 2018 Kerry Casburn</p>	

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Myles Keenan
Zac Donaldson
Nikie Solway
Charlie Houlihin

CHCMGT005 Facilitate workplace debriefing and support processes

Assessment tasks

1. Questions and answers
2. Project - Two pieces of written work Wellbeing Star – short reflection and a report on exploring CIS model of crisis debriefing
3. Supervisor checklist - research a critical incident debriefing method and apply to three case scenarios.

Student Completed Assessments:

Assessor: Joel August 2019

- Jessica Forte
- Charlie Houlihin
- Jennifer Stanton
- Leanne Bensch
- Kerry Casburn

SITHCCC011 Use cookery skills effectively

Assessment tasks:

1. Assessment 1 Written/oral questions and answers - seven questions, coversheet - questions and suggested responses.
2. Assessment 2 Project - Collate recipes in a recipe book, coversheet and checklist
3. Assessment 3 Observation - Coversheet and observation checklist

Completed student assessments

Assessor Julie Dainton, August 2019

- Telgan Schoots
- Leeana Cameron
- Alana Belmont-Wickliffe
- Jye Traval

SF.1.5.1	Finding	Required Rectification(s)
	<p>CHC52015 Diploma of Community Service Assessments did not meet the requirements of the training package and unit assessment requirements.</p> <p>For the unit assessments reviewed, each unit included a knowledge question and answer assessment. The instructions to the candidate were not clear. The intent was that they were 'open book' assessments, where students could access the unit SmallPrint Learner Guide. This was not included in the instructions.</p> <p>CHCCCS007 Develop and implement service programs The assessments for this unit included three assessment tasks:</p> <ul style="list-style-type: none"> • Assessment 1 Written/oral questions • Assessment 2 Project – Develop a cultural diversity policy • Assessment 3 Presentation <p>Assessment 1. Written Assessment Five candidates completed assessments, marked by the assessor Sile Coleman, were reviewed. The sample of candidate completed assessments reviewed identified that for Assessment 1 - Written/oral questions - candidate assessments included an outcome of 'satisfactory'. The actual assessments provided no evidence of having been marked by the assessor. Feedback on the student response to each question was not provided on the assessments.</p> <p>CHCDIV003 Manage and promote diversity The assessments for this unit included three assessment tasks:</p> <ul style="list-style-type: none"> • Assessment 1 Written/oral questions - • Assessment 2 Project – Develop a cultural diversity policy • Assessment 3 Presentation <p>The unit requires candidates to research diversity in at least one workplace in terms of current performance and meeting of diversity objectives. Five candidate completed assessments, marked by the assessor Joel Hoffman, were reviewed.</p>	<p>CHC52015 Diploma of Community Service Shepparton Adult & Community Education Inc is required to review and modify candidate assessment instructions for the written/oral question assessments and ensure the instructions include that the assessment is an 'open book' assessment, where students could access the unit SmallPrint Learner Guide.</p> <p>CHCCCS007 Develop and implement service programs Shepparton Adult & Community Education Inc is required to ensure the written/oral question assessments completed by candidates includes evidence that questions have been marked by the assessor and that they include comments to provide feedback to the candidate on the completion of the questions.</p> <p>CHCDIV003 Manage and promote diversity Shepparton Adult & Community Education Inc is required to review the observation criteria for Assessment 3 – Presentation and ensure that the criteria identify the requirements for the effectiveness of the candidate researching diversity in a workplace, in terms of current performance and meeting of diversity objectives.</p>

<p>Assessment 3. Presentation The candidate was required to present their research findings in the form of a presentation. The Assessment Observation Checklist included criteria on the effectiveness of presenting their PowerPoint presentation to the group, not on the effectiveness of the candidate's research of diversity in a workplace, in terms of current performance and meeting of diversity objectives.</p>		
SF.1.5.2	Finding	Required Rectification(s)
	<p>SIT20416 - Certificate II in Kitchen Operations Assessments did not meet the requirements of the training package and unit assessment requirements.</p> <p>Units: SITHCCC005 Prepare dishes using basic methods of cookery The assessments for this unit included three assessment tasks:</p> <ul style="list-style-type: none"> • Assessment 1 Written/oral questions and answers - seven questions, coversheet - questions and suggested responses. • Assessment 2 Project - Collate recipes in a recipe book, coversheet and checklist • Assessment 3 Observation - Coversheet and observation checklist <p>Five candidate completed assessments, marked by the assessor Julie Coleman, were reviewed. The candidates had prepared three dishes, cooked on three different days.</p> <p>The assessment tasks completed did not require candidates to: Prepare dishes for at least six different customers:</p> <ul style="list-style-type: none"> • within commercial time constraints and deadlines • reflecting required quantities to be produced • demonstrating portion control procedures • responding to special customer requests and dietary requirements. <p>Evidence that candidates had prepared dishes and</p> <ul style="list-style-type: none"> • followed standard recipes for dishes that demonstrate use of each of the following major food types: 	<p>SIT20416 - Certificate II in Kitchen Operations Shepparton Adult & Community Education Inc is required to ensure the written/oral question assessments completed by candidates includes evidence that questions have been marked by the assessor and that they include comments to provide feedback to the candidate on the completion of the questions.</p> <p>SITHCCC005 Prepare dishes using basic methods of cookery Shepparton Adult & Community Education Inc is required to review and modify assessment tasks for the unit to ensure that candidates are assessed as having satisfactorily prepared dishes for at least six different customers:</p> <ul style="list-style-type: none"> • within commercial time constraints and deadlines • reflecting required quantities to be produced • demonstrating portion control procedures • responding to special customer requests and dietary requirements.

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<ul style="list-style-type: none"> • dairy products • dry goods • frozen goods • fruit • meat • poultry • seafood • vegetables • demonstrate food safety practices for handling and storing each of the major food types • used each of the following cookery methods and complete mise en place activities when preparing the above dishes: <ul style="list-style-type: none"> • baking • blanching • boiling • braising • deep-frying • grilling • poaching • roasting • shallow frying (pan-fry, sauté or stir-fry) • steaming • stewing • microwaving <p>was not provided.</p> <p>Assessment 1 Written/oral questions and answers Five candidate completed assessments, marked by the assessor Julie Coleman, were reviewed The sample of candidate completed assessments reviewed identified that for Assessment 1 - Written/oral questions - candidate assessments included an outcome of 'satisfactory'. For one candidate actual assessments</p>	<p>and provide evidence that candidates had prepared dishes and followed standard recipes for dishes that</p> <ul style="list-style-type: none"> • demonstrate use of each of the following major food types: <ul style="list-style-type: none"> • dairy products • dry goods • frozen goods • fruit • meat • poultry • seafood • vegetables • demonstrate food safety practices for handling and storing each of the major food types • used each of the following cookery methods and complete mise en place activities when preparing the above dishes: <ul style="list-style-type: none"> • baking • blanching • boiling • braising • deep-frying • grilling • poaching • roasting • shallow frying (pan-fry, sauté or stir-fry) • steaming • stewing • microwaving
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<p>provided no evidence of having been marked by the assessor. Feedback on the student response to each question was not provided on the assessments.</p> <p>Assessment 3 Observation - coversheet and observation checklist. The Assessors Checklists identified that candidates had prepared three dishes on three different dates. Evidence that candidates had prepared dishes and:</p> <ul style="list-style-type: none"> • followed standard recipes for dishes that demonstrate use of each of the major food types • used each of the twelve cookery methods <p>was not recorded.</p> <p>Adequate facilities and equipment for a group of eight students to complete these tasks were not available.</p> <p>SITHCCC011 Use cookery skills effectively</p> <p>The assessments for this unit included three assessment tasks:</p> <ul style="list-style-type: none"> • Assessment 1 Written/oral questions and answers – six questions • Assessment 2 Project – Prepare a cookery book • Assessment 3 Observation – prepare a two course meal for four people. <p>Five candidate completed assessments, marked by the assessor Julie Coleman, were reviewed. Assessment 3 Observation - The candidate is required to prepare a two course meal for four people. Coversheet and observation checklist identified four criteria to be observed. The unit assessment requirements, requires that candidates:</p> <ul style="list-style-type: none"> • safely and hygienically prepare and serve menu items to industry and organisational quality standards for a minimum of twelve complete service periods (shifts) that cover a combination of: <ul style="list-style-type: none"> • breakfast • dinner • lunch • special function <p>The students did not demonstrate:</p>	<p>Shepparton Adult & Community Education Inc is required to ensure that adequate facilities and equipment for a group of eight students to complete the practical assessment tasks.</p> <p><i>SITHCCC011 Use cookery skills effectively</i> Shepparton Adult & Community Education Inc is required to review and modify assessment tasks for the unit to ensure that candidates are assessed to have:</p> <ul style="list-style-type: none"> • safely and hygienically prepared and served menu items to industry and organisational quality standards for a minimum of twelve complete service periods (shifts) that cover a combination of: <ul style="list-style-type: none"> • breakfast • dinner • lunch • special function <p>Shepparton Adult & Community Education Inc is required to ensure that adequate facilities and equipment for a group of eight students to complete the practical assessment tasks.</p>
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| <ul style="list-style-type: none">• safely and hygienically prepare and serve menu items to industry and organisational quality standards for a minimum of twelve complete service periods (shifts) that cover a combination of:<ul style="list-style-type: none">• breakfast• dinner• lunch• special function | |
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Adequate facilities and equipment for a group of eight students to complete these tasks was not available.

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Samples of completed pre-enrolment interviews for ten student files reviewed • Samples of completed LLN assessments for ten student files reviewed • Website course information • Policies and Procedures: Support and Intervention • Educational and Support Services Procedures • Student Induction Booklet 2019 - 5.4 <ul style="list-style-type: none"> • Other services available at Shepparton ACE: Childcare • Student Welfare Support – external service 		
SF.2.1.1	Finding	Required Rectification(s)
	<p>Shepparton Adult & Community Education Inc had established the needs of clients and delivered services to meet these needs as confirmed through the conduct of pre-training reviews and records of student support accessed by students. The employment of a social worker ensure that students have access to personal as well as well fare and academic support.</p>	N/A

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Students informally interviewed. • Student end of course survey. 		
SF.2.2.1	Finding	Required Rectification(s)
	Shepparton Adult & Community Education Inc had collected data for the continuous improvement of client services to enable the analysing and acting upon relevant information to ensure that student services met student needs.	N/A

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
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Website course information – included Certificate II in Hospital Kitchen Operations • Student Induction Booklet 2019 – course information. • Letter of Offer sent to students about the course arrangements and conditions. • Sample of student interviews prior to enrolment. 		
SF.2.3.1	Finding	Required Rectification(s)
	Shepparton Adult & Community Education Inc had provided sufficient information, before students enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.	N/A

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
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • TASs identified industry consultation conducted. • Practical Placement – sample of completed Agreements for sample of student files reviewed at audit 		
SF.2.4.1	Finding	Required Rectification(s)
	The employer contributed significantly to each learner's training and assessment through the provision of practical placement opportunities. Employers and were engaged in the development, delivery and monitoring of training and assessment through placement consultative procedures.	N/A

2.5 - Learners receive training, assessment and support services that meet their individual needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Sample of student files - ten student files reviewed at audit • Students interviewed informally during the audit 		
SF.2.5.1	Finding	Required Rectification(s)
	Shepparton Adult & Community Education Inc had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs.	N/A

2.6 - Learners have timely access to current and accurate records of their participation and progress.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Policy and Procedures - Records Management - Access to records – request in writing. • Student Induction Booklet 2019 – right to access personal information. 		
SF.2.6.1	Finding	Required Rectification(s)
	Shepparton Adult & Community Education Inc had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress.	N/A

2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Policy and Procedures Manual – Complaints and Appeals. • Complaints Form. • Student Induction Handbook 2019 Grievance Policy and Procedures • Complaints and Appeals (Staff Grievances) • Complaints and Appeals (Student Grievances) • Complaints Log – two entries – 2014 and 2017 • Complaints and Appeals: Student Information <ul style="list-style-type: none"> • Informal • Formal • Appeals • VRQA • Melbourne Commercial Arbitration and medication hub www.mcamh.com.au/peak-bodies/ • Appeals Against Assessment Decisions • Student complaints to the VRQA 		
SF.2.7.1	Finding	Required Rectification(s)
	<p>Shepparton Adult & Community Education Inc provided appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. The complaints and appeals procedures included procedures for students to appeal a complaints decision and the source for an independent external mediator was identified.</p> <p>Though evidence was provided of the effective processing of complaints, documentation related to complaints procedures were inconsistent with the inconsistent use of the words, grievances, complaints and appeals.</p>	N/A

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Resources inconsistently referred to external mediation arrangements, one referring to the ASQA complaints procedures, another to the VRQA complaints procedures and another to LEADR, the association of dispute resolvers.	
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Improvement Opportunities

Though evidence was provided of the effective processing of complaints, documentation related to complaints procedures was inconsistent with the inconsistent use of the words, grievances, complaints and appeals,
Resources inconsistently referred to external mediation arrangements, one referring to the ASQA complaints procedures, another to the VRQA complaints procedures and another to LEADR, the association of dispute resolvers.

Shepparton Adult & Community Education Inc would benefit by reviewing all documentation related to complaints and appeals to ensure:

- Consistent use of terminology for grievances, complaints, appeals.
- Consistent reference to an informal process. Formal process, appeals process and external mediation process.
- The Student Induction Booklet includes clear information about complaints and appeals procedures for students, consistent with the Complaints and Appeals Procedures.
- The VRQA is identified as a source of external mediation in student information.

3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Organisational chart – responsibilities • Policies and Procedures Manual • Student Enrolment Form • Training Plans completed for all students • Student Learning Agreement • Student Conduct Policy • Student Computer Access Agreement • Enrolment Policy and Procedure • Orientation Session • Foundation Skills Learner Assessment • Student information: <ul style="list-style-type: none"> • Training Learning and Personal Plans • The Learning Plan 		
SF.3.1.1	Finding	Required Rectification(s)
	Shepparton Adult & Community Education Inc management of its operations ensured clients received the services detailed in their agreement with the RTO.	N/A



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

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3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.		Compliant
<ul style="list-style-type: none"> Scheduled internal audit of compliance with the AQTF Skills First annual audit Progressive review of policies and procedures and implementation strategies – sample staff meeting minutes 		
SF.3.2.1	Finding	Required Rectification(s)
	Shepparton Adult & Community Education Inc used a systematic and continuous improvement approach to the management of operations.	N/A

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

3.4 - The RTO manages records to ensure their accuracy and integrity.		Compliant
<ul style="list-style-type: none"> • Record Keeping Procedures • Sample of VETtrak records for ten student files reviewed at audit • Policy and Procedures – Records Management <ul style="list-style-type: none"> • Access to records • Regulatory authorities • Retention and disposal • Storage • Records disposal • Staff records • Privacy and confidentiality • Evidence of participation • Cessation of operations • Electronic records and signatures • Student data management – AVETMISS, VETtrak and SVTS – uploading to SVTS every month • Position description – Compliance Administration Officer 		
SF.3.4.1	Finding	Required Rectification(s)
	Shepparton Adult & Community Education Inc managed records to ensure their accuracy and integrity.	N/A

Detailed Findings – 2016 VRQA Guidelines for VET Providers

<p>GUIDELINE 1.1 - An RTO must ensure that it has a current strategic plan and a detailed business plan which have been approved by its governing body.</p> <p>a) An RTO ensures the strategic plan details the overall vision, mission, board of directors and strategic directions of the RTO and clearly indicates that provision of vocational education is a primary purpose of the RTO.</p> <p>b) An RTO ensures the business plan details the operational and workforce development arrangements for a three year period that incorporates:</p> <ul style="list-style-type: none"> i. description of the business including an organisation chart, courses, location(s) and facilities ii. a continuous improvement plan or risk management strategy iii. a work force development plan iv. strategic alliances with other education or service providers or third party arrangements v. training and assessment delivery including proposed facilities and delivery hours 		<p>Not Audited in Phase 2 audit</p>
<p>Not audited as part of this re-registration audit.</p>		
GF 1.1	Finding	Required Rectification(s)
	<p>Not audited as part of this re-registration audit.</p>	<p>N/A</p>

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

GF 1.2	Finding	Required Rectification(s)
	Not audited as part of this re-registration audit.	N/A

Improvement Opportunities
Summary of improvement opportunities relating to guideline 1.2.

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

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

**Not audited in
Phase 2 audit**

Not audited as part of this re-registration audit.

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

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

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

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<p>GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:</p> <p>a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and b) for the purposes of the conduct of any audit or monitoring of its operations.</p>		<p>Not audited</p>
<p>Shepparton Adult & Community Education Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
GF 2.2.1	Finding	Required Rectification(s)
	<p>Shepparton Adult & Community Education Inc had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>	<p>N/A</p>

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

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

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

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

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

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

<p>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:</p> <ul style="list-style-type: none"> 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. <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		Compliant
<p>See Standard 1.4</p>		
GF 3.1.1	Finding	Required Rectification(s)
<p>A review of trainer/assessor information confirmed that training and assessment was conducted by trainers/assessors who had vocational competencies at least to the level being delivered and assessed, current industry skills directly relevant to the training and assessment being provided, and current knowledge and skills in vocational training and learning that informed their training and assessment.</p>		<p>N/A</p>

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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.		Compliant
See Standard 1.4		
GF 3.2.1	Finding	Required Rectification(s)
	Training and assessment was delivered by appropriately qualified trainers/assessors.	N/A

GUIDELINE 3.3 Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.		Not audited
Shepparton Adult & Community Education Inc does not provide assessment only services.		
GF 3.3.1	Finding	Required Rectification(s)
	Shepparton Adult & Community Education Inc does not provide assessment only services.	N/A

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

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RTO: Shepparton Adult and Community Education College Inc.

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

<p>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.</p>		<p>Compliant</p>
<p>See Standard 1.2</p>		
GF 4.1.1	Finding	Required Rectification(s)
<p>Shepparton Adult & Community Education Inc training and assessment strategies and practices, including the amount of training it provided, were consistent with the requirements of the Training Packages and enabled each student to meet the requirements for each unit of competency in which the student was enrolled and a rationale for this amount of training was provided.</p> <p>The duration of the courses at Shepparton Adult & Community Education Inc was largely determined by the large number of learners who completed VCAL courses and where durations were determined by the nature of the VCAL course as determined by the VCAA and the structure of the school year.</p>		<p>N/A</p>

Audit Date: 31Oct/1Nov 2019

RTO: Shepparton Adult and Community Education College Inc.

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
<ul style="list-style-type: none"> 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. 	

See Standard 1.2

GF 4.2.1 Finding	Required Rectification(s)
<p>Shepparton Adult & Community Education Inc had identified a duration for each qualification reviewed, however a rationale for 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 was not provided.</p> <p>Many students completed qualifications and/or units as part of a VCAL program, through which durations and amount of training was determined by the VCAL program structure.</p> <p>Many learners were disadvantage youth who required additional and specialised support to assist them to complete their learning.</p>	<p>Shepparton Adult & Community Education Inc is required to include in training and assessment arrangements, a rationale for 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.</p>

Improvement Opportunities
<p>Shepparton Adult & Community Education Inc would benefit by developing a rationale for the amount of training that it provides to learners based on the characteristics and attributes of its learners, taking into account the learning methodologies including small class sizes, access to individualised student support and a social worker.</p>

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

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

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

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

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

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