

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

Audit Date: 24-25 Sept 2019

RTO: Community College Gippsland Ltd

Applicant Details			
Applicant Name	Community College Gippsland Ltd	TOID	4181
Address	71 Warragul-Korumburra Road, Warragul, 3820		
	Website	https://ccg.asn.au/	
Registration Contact	Sue Geals, Chief Executive Officer		
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Audit Team			
Audit Firm	Quorum QA Australia Pty Ltd	Auditor/s	Carol Macreadie
Auditor/s		Other Attendees	
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, 3.3, 3.4
2016 VRQA Guidelines Audited	4.3	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8 (If applicable)	
	3.1, 3.2, 3.3, 3.4, 3.5	4.1, 4.2, 4.3 to 4.6 (If applicable)	
Audit Date/s	24-25 September 2019		
RTO Background			
Community College Gippsland (CCG) is a not-for-profit Registered Training Organisation, a Learn Local and a Registered Charity which delivers community-based adult and vocational education and training with campuses at Warragul, Pakenham, and Leongatha. The RTO has 37 nationally accredited qualifications on scope including in Aged Care, Early Childhood Education, Home and Community Care, Disability, Business, Horticulture, Agriculture, Conservation and Land Management, and Equine Studies; and has 187 current enrolments in 26 of these, including trainees. CCG also operates an independent school called ECG College on the same site, which provides VCAL in an alternative learning environment to approximately 150 young people aged from 15-20. The RTO provides VETiS subjects to ECG College students, and also school-based apprenticeships and Traineeships. CCG is governed by a volunteer Board of Directors and is managed by a senior management team including the CEO, Director of Quality and Services and Director of Education and Training.			

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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
AHC30716	Certificate III in Horticulture	Warragul
BSB20115	Certificate II in Business	Warragul

Interviewee(s) – Staff name and position; employer name and position	
Sue Geals	Chief Executive Officer
Kristen Theile	Director of Quality and Services
Jayden Cooke	Trainer in BSB20115 Certificate II Business
Andrea Tindle	Trainer in AHC30706 Certificate III Horticulture
Tracel Devereux	Director of Education and Training
Julie Knight	Records Officer
Julie Thomas	VET Manager

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

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

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 Place an X in the appropriate column		Compliant	Non-Compliant	Not audited
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation	X		
4	Insurance			X
5	Financial Management			X
6	Certification and Issuing of Qualifications and 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		
Summary of Non-Compliance²				
CF.8.1 The marketing materials do not always accurately identify the AQF Qualifications delivered.				
Strengths				
As a community-based organisation, the RTO demonstrates a commitment to the wellbeing and achievement of its students, supported by a competent and capable senior management team.				

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

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Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non-Compliant	Not audited
Standard 1			
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			
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			
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-Compliance³			
SF.1.2.1 AHC30716 Certificate III in Horticulture (classroom) The Training and Assessment Strategy does not accurately describe the program as delivered to students, so it is not clear that the strategy is consistent with the needs of the cohort of learners.			

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

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SF.1.2.2

AHC30716 Certificate III in Horticulture (Traineeship)

The Training and Assessment Strategy does not accurately describe the program as delivered to students, so it is not clear that the strategy is consistent with the needs of the cohort of learners.

SF.1.2.3

BSB20115 Certificate II in Business (classroom VETiS)

The Training and Assessment Strategy does not accurately describe the program as delivered to students, so it is not clear that the strategy is consistent with the needs of the cohort of learners.

SF.1.5.1

BSB20115 Certificate II in Business

The mapping document for *BSBITU212 Create and use spreadsheets* is inaccurate so it is not clear that the assessment task enables the learner to demonstrate the skills and knowledge described in the unit. This affects the validity of the evidence produced.

SF.1.5.2

BSB20115 Certificate II in Business

The observation checklist is not detailed enough to produce sufficient and valid evidence that a learner has demonstrated the relevant skills and knowledge in these units.

SF.1.5.3

BSB20115 Certificate II in Business

Learners are not fully informed about assessment requirements, affecting the fairness of the assessment process.

SF.1.5.4

BSB20115 Certificate II in Business

Assessors are not provided with sufficient guidance to ensure reliable and consistent assessment judgements.

SF.1.5.5

BSB20115 Certificate II in Business

The assessment recording procedure is not systematic or clear.

SF 2.4.1

AHC30716 Certificate III in Horticulture (Traineeship)

There is insufficient evidence that the RTO informs workplace personnel of their relevant roles and responsibilities in relation to the workplace training of trainees or that it is systematically guiding and monitoring the progress of the training provided by the workplace.

Strengths

The RTO has already identified problems with the assessment tools in one Qualification and has a continuous improvement procedure in place to review and revise them.

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Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non-Compliant	Not audited
1. Governance, Financial viability and Management systems			
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			
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)			
3.1 – Vocational and 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			
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

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5. Annual Declaration of Compliance	
5.1 – Annual Declaration of Compliance	X
Summary of Non-Compliance⁴	
GF.4.1.1 BSB20115 Certificate II in Business (classroom VETiS) The RTO has not accurately identified the amount of training provided and has not demonstrated how its training and assessment strategies and practices will enable the cohort of learners to meet the requirements for the units of competency. GF.4.1.2 AHC30716 Certificate III in Horticulture (classroom) The RTO has not accurately identified the amount of training provided and has not demonstrated how its training and assessment strategies and practices will enable the cohort of learners to meet the requirements for the units of competency. GF.4.1.3 AHC30716 Certificate III in Horticulture (Traineeship) The RTO has not accurately identified the amount of training provided and has not demonstrated how its training and assessment strategies and practices will enable the cohort of learners to meet the requirements for the units of competency. GF.4.2.1 BSB20115 Certificate II in Business (classroom VETiS) The RTO has identified the learner cohort but has not ensured the amount of training provided is suitable for that cohort, giving them time to be trained in each skill and knowledge area; time to practice and apply these skills and knowledge requirements; and, time in the different contexts they would experience in the workplace. GF.4.2.2 AHC30716 Certificate III in Horticulture (classroom) The RTO has identified the learner cohort but has not ensured the amount of training provided is suitable for that cohort, giving them time to be trained in each skill and knowledge area; time to practice and apply these skills and knowledge requirements; and, time in the different contexts they would experience in the workplace. GF.4.2.3 AHC30716 Certificate III in Horticulture (Traineeship) The RTO has identified the learner cohort but has not clearly identified the amount of training provided through the Traineeship mode of delivery to ensure that it gives that cohort systematic training in each skill and knowledge area, and structured opportunities to practise and apply these skills and knowledge requirements.	
Strengths	

⁴ 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
CONDITION 2 - Interactions with the Registering Body		Not audited in Phase 2 audit
CONDITION 3 - Compliance with Legislation Evidence/Documentation Reviewed		Compliant
• Trainer and Assessor Handbook p.11 • CCG Student Handbook 2019 – Sections 24-28 • 2019 Enrolment Form • 601-3J Student Rights and Responsibilities form – outlines these with signature space • 601-3 General Accredited Course Pre-Enrolment Procedure – includes Student Notification of Course Entry Offer or Refusal – Applicant signs that they have completed all PTR procedures. Pre-Training Review process is thorough. • 112 Legislation Compliance Policy • 112-A Legislation Log • Moodle Induction for staff (viewed) • Interview with Kristen Theile, Director of Quality and Services: – An automatic email informs staff when any documents are updated in Sharepoint		



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- The Moodle induction is for all staff and also has an additional section for trainers/assessors. Kristen currently relies more on the print Handbook at the moment because she wants to make the language in the Moodle section more accessible.
- Summary of relevant legislation on A5 posters in staffroom



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CONDITION 4 - Insurance	Not audited in Phase 2 audit
CONDITION 5 - Financial Management	Not audited in Phase 2 audit
CONDITION 6 - Certification and Issuing of Qualifications and Statements of Attainment	Compliant
Evidence/Documentation Reviewed	
• 615 Issuing and Recognition of Qualifications Policy • Sample AQF Certificates are compliant • Sample Statements of Attainment are compliant • 6 x student files including enrolment forms for AHC30716 Certificate III in Horticulture • 6 x student files including enrolment forms for BSB20115 Certificate II in Business • 102 Records Management Policy • 102-1 Records Management Procedure • Creating a Unique Student Identifier (USI) Information – guide for students (on website) • Interview with Kristen Theile, Director of Quality and Services: – The SMS used is Axcelerate which is AVETMISS compliant. Certificates are generated from it, and it will not issue without a USI. It has different permission levels; staff can mark rolls and generate a report of who has not handed in work. – The RTO never applies for a USI on behalf of a student. If they have not applied before the pre-training review, staff show them how to apply at enrolment.	



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CONDITION 7 - Recognition of Qualifications Issued by other RTOs	
Evidence/Documentation Reviewed	Compliant
• CCG Student Handbook 2019 - Section 5 – information on Credit Transfer • 615 Issuing and Recognition of Qualifications Policy • Student Notification of Course Entry Offer or Refusal – item on the signature page that student has been offered Credit Transfer. • Interview with Julie Knight, Records Officer – she explained how Credit Transfer applications are progressed.	



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CONDITION 8 - Accuracy and Integrity of Marketing		Non-Compliant
Evidence/Documentation Reviewed		
- Website – https://ccg.asn.au/ - Print brochures for AHC30716 Certificate III in Horticulture and BSB20115 Certificate II in Business 113 Marketing Policy and Procedures 601-3C Image and Marketing Consent Form - Interview with Kristen Theille, Director of Quality and Services: The Image and Marketing Consent Form is in the Enrolment Pack. It is a tickbox in the enrolment database so the Marketing person can generate a report about who has given permission.		
CF8.1	Finding	Required Rectification(s)
The marketing materials do not always accurately identify the AQF Qualifications delivered. <i>Evidence</i> While course codes are displayed in the specific course information on webpages (for example https://ccg.asn.au/courses/category/vetis and https://ccg.asn.au/courses/category/rural_equine), they are not displayed on the 'menu' pages or sidebars.		The RTO should always include the course code with the course title in all marketing materials.



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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses	Compliant
Evidence/Documentation Reviewed	
644-1 Transition to new Training Packages Accredited Courses Procedure - Website and flyers are compliant - Learning and assessment resources are compliant 6 x student files including enrolment forms for AHC30716 Certificate III in Horticulture 6 x student files including enrolment forms for BSB20115 Certificate II in Business - CCG Student Handbook 2019 – Section 18 – Student Transition into New Qualifications	



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Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.	
Evidence/Documentation Reviewed	Compliant
105 Continuous Improvement Policy 105-1 Continuous Improvement Procedure 107 Continuous Improvement schedule 642 AQTF Quality Indicators Survey Policy and Procedure - RTO Performance Indicator Report 2016, 2017, 2018 - Continuous Improvement Register 2016-2019 spreadsheet - Senior Management Meeting (5 directors plus reports from VET Manager and senior teachers in college) fortnightly with a standing continuous improvement agenda item – agenda, minutes, Action List spreadsheets with date, person responsible and status. - Board Meeting monthly minutes for 2019 - Industry Consultation Record Forms for AHC30716 Certificate III in Horticulture and BSB20115 Certificate II Business - Interview with Tracel Devereux, Director of Education and Training: - A recent example of continuous improvement is the introduction of a new system of ticketing for any improvements identified by trainers for assessment tools. - The RTO is a flat organisation – management consists of the CEO and 4 directors. They have an 'open door' policy, encouraging frequent communication between all levels of staff. All items which enter this system become recorded and must be dealt with. Several years ago, they established a practice that any issues, even if heard indirectly, are taken up with the staff member or student involved. This has established a good communication flow and problem-solving strategy. - Each director provides a monthly written report to the Board.	Compliant



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- The RTO Performance Indicator Report is discussed at the Board meeting, and also circulated to staff and relevant items discussed with trainers
- A Staff survey is conducted annually, and directors meet with staff to discuss the results.
- Interview with Kristen Theile, Director of Quality and Services: It is very difficult to get employers to respond to the AQTF survey.



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ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.		Non-Compliant
Evidence/Documentation Reviewed		
• Learning resources and required equipment – see S.1.3 • Trainers and assessor qualifications – see S.1.4 • Training and Assessment Strategy for BSB20115 Certificate II in Business (classroom VETIS), including delivery plan • Training and Assessment Strategy for AHC30716 Certificate III in Horticulture (classroom), including delivery plan • Training and Assessment Strategy for AHC30716 Certificate III in Horticulture (Traineeship), including delivery plan • Industry Consultation Record Forms for AHC30716 Certificate III in Horticulture and BSB20115 Certificate II Business • 635-3T1 ATP Training Plan for Traineeships • Staff Professional Development Tracker for individual trainers – this records their industry engagement • Interview with Jayden Cooke, trainer in BSB20115 Certificate II Business • Interview with Andrea Tindle, trainer in AHC30706 Certificate III Horticulture • Interview with Kristen Theille, Director of Quality and Services • Interview with Tracel Devereux, Director of Education and Training		
SF.1.2.1 Finding		Required Rectification(s)
AHC30716 Certificate III in Horticulture (classroom) The Training and Assessment Strategy does not accurately describe the program as delivered to students, so it is not clear that the strategy is consistent with the needs of the cohort of learners.		The RTO must review and revise the Training and Assessment Strategy so that it accurately describes the program as delivered to students and shows how it is consistent with the needs of the cohort of learners.

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Evidence Training and Assessment Strategy for AHC30716 Certificate III in Horticulture (classroom) - The TAS states that the course is for students who have no skills or experiences in this industry and who need to gain the skills and experience from the delivery of the course. The minimum age for enrolment is 15 years old. ACSF 3 in LLN skills is required. - The nominal hours for the course totals 965. The TAS states that the amount of training is 1301 hours comprised of: - Face-to-face training in the classroom – 37 weeks x 2 days per week x 6 hrs per day = 444 hours. This is 46% of the nominal hours. - Self-paced learning including online resources and assessment tasks – 37 weeks x 10 hours per week = 370 hours. - Student access to the CCG campus farm and facilities as required to practise workplace skills. Average of 6 days x 6 hours = 36 hours - Trainer available for support during term breaks – 5.5 hours per day (9.30am–3.00pm) x 6 days = 33 hours - Trainer available for support 2 hours per day (8.30-9.00am and 3.30–5.00pm) x 4 days per week (Tuesday to Friday) x 37 weeks = 418 hours. - There are no significant online Moodle resources for the course and no documentation specifying what self-paced learning activities or assessment-related activities students would be engaged in for 10 hours per week. - At interview, the Trainer, Andrea Tindle, stated that she has found self-directed learning was not suitable for the cohort, who tend to be kinaesthetic and hands-on learners. She finds it is better to address a student's concerns as they arise in a face-to-face situation or the student can get 'stuck'. - There is no logbook or similar to demonstrate that every student spends 36 hours on the CCG campus farm or to record the activities the students have been engaged in.	
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- The total amount of weekly optional trainer support is incorrectly calculated at 418 hours (TAS p.5) when it is actually 296 hours. - There is a significant level of optional support provided, but this optional Trainer support time has been incorrectly included in the 'Amount of Training' calculation. No records are kept of who actually attends, for how long or the activities attending students have been engaged in during these times.	
SF.1.2.2 Finding AHC30716 Certificate III in Horticulture (Traineeship) The Training and Assessment Strategy does not accurately describe the program as delivered to students, so it is not clear that the strategy is consistent with the needs of the cohort of learners. <i>Evidence</i> Training and Assessment Strategy for AHC30716 Certificate III in Horticulture (Traineeship) - The TAS states that the course is designed specifically for students who are currently employed in the horticulture industry but who have little or no skills or previous experience. The minimum age for enrolment is 15 years, and students should have LLN skills to ACSF level 3 or be prepared to undertake foundation skills training. - The nominal hours for the course totals 965. The TAS states that the course duration is 52 weeks and the amount of training is 2,829 hours, comprised of: – Face-to-face contact visits during student work hours – 2 hours x 8 visits (twice a term) = 16 hours (incorrectly calculated in the TASp.5 as 32 hours) – Supervised workplace learning (assuming full-time employment) 38 hours per week x 52 weeks = 1976 hours – Self-paced learning including online resources and assessment tasks; 10 hours per week x 37 weeks = 370 hours. – Individual trainer support as required. The trainer is available for student contact for 2 hours (8.30–9.00am and 3.30–5.00pm) four days per week x 52 weeks = 418 hours.	Required Rectification(s) The RTO must review and revise the Training and Assessment Strategy so that it accurately describes the program as delivered to students and shows how it is consistent with the needs of the cohort of learners.



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– Trainer support study day during term breaks – 1 day per week 9.30am–3.00pm = 33 hours • The amount of training stated is unrealistic. If it was actually 2,829 hours, this would total 54.5 hours of commitments per week for 52 weeks, with no annual leave or public holidays taken into account. This is equivalent to almost 20 hours of study-related activities per week outside of work hours. • The RTO states that every hour the trainee is at work counts towards supervised workplace learning. However, there is no logbook or similar to record what the trainee does at work which contributes to their learning and eventual competence; nor is the employer required to sign off and date to verify that certain work tasks have been completed as the workplace contribution to the trainee's learning. • There is no explanation for how students who are fully employed would manage 10 hours of self-paced learning per week; nor why this is for 37 weeks only, not the full duration of the course. • If trainees are doing self-paced learning during their Structured Workplace Learning Withdrawal time, these hours are double-counted. • Optional weekly trainer support time of 418 hours has been incorrectly included in the calculation. Anyway, this is relevant to classroom students, not trainees, who would find this difficult to attend. • The trainer support study day during term breaks is optional and could only be attended if the employer agreed to release the trainee. No records are kept of who actually attends, for how long or the activities attending students have been engaged in during these times. • At interview, the trainer Andrea Tindle stated that: - There are no suitable online resources. - The workplaces give students Structured Workplace Learning Withdrawal every Thursday and she talks or emails with them on this day. She documents this in Accelerate. She checks with the trainee weekly that they are getting the relevant experiences and if she has concerns, she will email the employer. - She actually visits each trainee approximately every 6 weeks (8 visits per year) for 3 hours = 24 hours.	
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At interview, Tracer Devereux, Director of Education and Training, stated that the TAS only gives the minimum number of trainer/assessor visits as employer requirements can vary.	
SF.1.2.3 Finding	Required Rectification(s)
BSB20115 Certificate II in Business (classroom VETiS) The Training and Assessment Strategy does not accurately describe the program as delivered to students, so it is not clear that the strategy is consistent with the needs of the cohort of learners. <i>Evidence</i> Training and Assessment Strategy for BSB20115 Certificate II in Business (classroom VETiS) - The TAS describes the cohort as secondary students selected by their school careers advisors as suitable for the VETiS program. The cohort does not typically have any prior qualifications. At interview the Trainer Jayden Cooke stated that this year the 13 students are drawn from Years 10-12 combined and range from 15-20 years of age. At interview, Kristen Theile, Director of Quality and Services, stated that many students don't have internet access at home so they may come into the college during school holidays to do work, although this can be difficult because the campus is out of town and there is no bus service during the school holidays. - The nominal hours total 360 hours. The TAS p.5 states that the amount of training is 686 hours comprised of: - Face-to-face classroom training – 40 weeks x 1 day (6 hrs including breaks) per week = 240 hours - Self-paced learning and completion of assessment tasks – 40 weeks x 6 hours per week = 240 hours - Optional trainer support for 5 hours per week x 46 weeks (including school term breaks) = 230 hours - These three items total 710 hours, not 686 hours. - There is no documentation specifying what self-paced learning activities or assessment-related activities students would be engaged in for 6 hours per week.	The RTO must review and revise the Training and Assessment Strategy so that it accurately describes the program as delivered to students and shows how it is consistent with the needs of the cohort of learners.



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• At interview, the Trainer, Jayden Cooke, stated that he estimates that he requires students to complete work outside of class every second week for about 2 hours' worth of work. 20 weeks x 2 hrs = 40 hrs, not 240 hours. • At Interview, Kristen Theile, Director of Quality and Services, and Tracel Devereux, Director of Education and Training, stated that classes where all students were expected to attend and where the content of the units was completely delivered was a duration of 37 weeks. • The Delivery Plan (TAS pp.9–10) shows all units delivered in 30 delivery weeks. • There is a significant level of optional support provided, but this optional trainer support time has been incorrectly included in the 'Amount of Training' calculation. No records are kept of who actually attends, for how long or the activities attending students have been engaged in during these times.	
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ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.	Compliant
Evidence/Documentation Reviewed	
BSB20115 Certificate II in Business (classroom) • Suitable training room and access to computers and other office equipment • One trainer x 13 students • Learning resources and assessment materials are sufficient and accessible • Interview with Jayden Cooke, Trainer AHC30716 Certificate III in Horticulture (classroom) • Interview with Andrea Tindle, Trainer • 2 x hothouses, each with a propagation room 6m x 6m, including one hydroponic hothouse • 1 x igloo for seedlings – 20m x 6m • 1 x hardening-off area under shade-cloth • 1 x potting shed • Shared garden – 9 raised beds, 2 in-ground beds for soil improvement • Orchard of 30 fruit trees • Hand tools – students issued with secateurs; CCG supplies pruning saws, loppers, hedging shears, shovels, forks, wheelbarrows • Mower, rotary hoe • One trainer x 2 students • Learning resources and assessment materials are sufficient and accessible.	



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AHC30716 Certificate III in Horticulture (Traineeship)

- One trainer x 2 students
- 635-IT8 Resource Checklist – a checklist of required equipment and facilities for workplaces including note of anything which may not be available at site of employment, completed as part of the Traineeship agreement and signed off by employer.
- At interview, the Trainer, Andrea Tindle, stated that she was familiar with many workplaces.
- Learning resources and assessment materials are sufficient and accessible.



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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.	Compliant
Evidence/Documentation Reviewed Jayden Cooke – Trainer in BSB20115 Certificate II Business • FNS60204 Advanced Diploma of Accounting – Gippsstate 18/03/2010 • FNS40604 Certificate IV in Financial Services (Accounting) – Gippsstate 12/02/2009 • FNS30304 Certificate III Financial Services (Accounts Clerical) – Gippsstate 12/2/2009 • BSB40407 Certificate IV in Small Business Management – Community College Gippsland 23/03/2013 • TAE40116 Certificate IV Training and Assessment – Chisholm Institute 08/07/2018 • CV, trainer skills matrix – Evidence of vocational currency • Staff Professional Development Tracker – evidence of industry currency and professional development in competency-based training and assessment • Working with Children check Andrea Tindle – Trainer in AHC30706 Certificate III Horticulture • Advanced Certificate in Horticulture – The Victorian College of Agriculture and Horticulture 30/08/1995 • TAE40116 Certificate IV Training and Assessment – 25/01/2019 TAE Training Academy RTO: 32413 • CV, trainer skills matrix – Evidence of vocational currency • Staff Professional Development Tracker – evidence of industry currency and professional development in competency-based training and assessment • Working with Children check	



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	Non-Compliant
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. Evidence/Documentation Reviewed • 641 Recognition of Prior Learning and Credit Transfer Policy • 641-1 Recognition of Prior Learning and Credit Transfer Procedure • 640 Moderation and Validation Policy • 640-1 Moderation and Validation Procedure • Assessment validation schedule and checklist 2016-2019 spreadsheet – pre and post assessment validation • Validation tools and records AHC30716 Certificate III in Horticulture • Assessment tools for two units – AHC30716 Perform specialist amenity pruning and AHCPCM302 Provide information on plants and their culture • Assessor Guides for each unit with model answers provided for written questions. Specific observation items are articulated in observation checklists • Student Assessment Guides for each unit, including general student information • Student Competency Evaluation Record • Interview with Andrea Tindle, Trainer: – She gave detailed examples of reasonable adjustment and learning support for individual students, and how she records this in Axcelerate. – She has improved some of the assessment tools herself and plans to continue with this process	



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- She explained the logistics of the practical pruning assessment – they use the apple orchard and roses onsite, and also have good relationships with the local council and a local residential care home whose gardens they are able to work in.
 - 6 x completed student assessments **AHC30716 Certificate III in Horticulture** for **AHC30716 Perform specialist amenity pruning** and **AHCPCM302 Provide information on plants and their culture**. Students are provided with feedback.
- BSB20115 Certificate II in Business**
- Assessment tools and learning materials for two units – **BSBITU212 Create and use spreadsheets** and **BSBCUS201 Deliver a service to customers**
 - Mappings – these are at single unit level in each unit Assessor Guide.
 - Assessor Guides for each unit with model answers
 - Student Assessment Guides for each unit with student information
 - Student Competency Evaluation Record – outcome record.
 - 6 x completed student assessments, some from 2018 and some from 2019
 - Interview with Jayden Cooke, Trainer:
 - This is Jayden's first year delivering this Qualification and he didn't develop the assessment tools. The units are delivered in clusters but are assessed in a wholly integrated way over the course of the whole year. This means assessment is not finalised until the end of the year, and also causes the problem of 'fail one unit, fail them all', so they will be reviewed and rewritten for 2020.
 - Jayden has found the assessment tools to need improvement and has already registered them for revision for 2020.
 - Jayden gave some examples of appropriate reasonable adjustment and support for his students.

SF.1.5.1 Finding

BSB20115 Certificate II in Business

The mapping document for **BSBITU212 Create and use spreadsheets** is inaccurate so it is not clear that the assessment task enables the learner to demonstrate the skills and knowledge described in the unit. This affects the validity of the evidence produced.

Required Rectification(s)

The RTO must ensure that assessment tasks produce valid evidence, enabling learners to demonstrate the skills and knowledge described in the unit.



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Evidence The mapping in the Assessor Guide contains inaccuracies including, but not necessarily limited to, the following: - On the Assessor Demonstration Recording Checklist, "4B Effective use of business tools including Excel spreadsheets" is the main observation item which is mapped to the unit. It is mapped to PCs1.3, 2.1, 2.2, 2.3 and 2.4. However, there are no specific observation items to provide evidence for these Performance Criteria. - The mapping shows that Element 3 (Produce simple charts) and Element 4 (Finalise spreadsheets) are assessed only through Written Questions and the finished spreadsheet/s (at least one spreadsheet 5-column) submitted in the Portfolio. No Demonstration evidence is required or mapped, despite these elements including easily observable activities. - Written Question (WQ) 3 (List four chart types you could create to present the data in the spreadsheet) is mapped incorrectly to PCs 3.2 and 3.3. - WQ1 (Detail how you would open, save and close a document without losing information) is mapped incorrectly to PCs1.3, 2.1, 2.2, 2.3, 2.4 and 4.2. - WQ2 (How do you make a cell in a current worksheet?) is mapped incorrectly to PC4.2. - Portfolio Item 7 (submit at least one 5-column spreadsheet) is mapped incorrectly to all PCs except 1.1 and 1.2. - Required Knowledge item "Purpose and range of spreadsheet functions" is incorrectly mapped to Portfolio Item 2 "Work together with a group each taking on a relevant business role and develop a position description for your role".	
SF1.5.2 Finding BSB20115 Certificate II in Business The observation checklist is not detailed enough to produce sufficient and valid evidence that a learner has demonstrated the relevant skills and knowledge in these units.	Required Rectification(s) The RTO must ensure that assessment tasks and evidence recording tools are designed to produce sufficient and valid evidence that learners have demonstrated the relevant skills and knowledge in units.



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<i>Evidence</i> • The Demonstration Assessment Task contains 6 tasks which cover all 12 units. The Assessor Demonstration Recording Checklist in the Student Guide consists of a brief statement of these six tasks with no breakdown into specific observable actions, amounting to less than half a page of text. • The Assessor Guide contains a little more detail, but this does still not adequately cover the particular observation requirements of the twelve units.	SF.1.5.3 Finding	Required Rectification(s) The RTO must ensure that learners are fully informed about assessment requirements to ensure the assessment process is fair.
BSB20115 Certificate II in Business Learners are not fully informed about assessment requirements, affecting the fairness of the assessment process. <i>Evidence</i> • This extra information about the Demonstration Assessment Task in the Assessor Guide is not available to learners. For example, in the Assessor Guide, the assessor is advised that for Demonstration 5 Effective use of word processing, students must demonstrate "effective notetaking in both hard copy and electronic formats". Students are not informed of this requirement in their Student Assessment Guide.	SF.1.5.4 Finding	Required Rectification(s) The RTO must ensure that Assessors are provided with sufficient guidance to produce reliable and consistent assessment judgements.
BSB20115 Certificate II in Business Assessors are not provided with sufficient guidance to ensure reliable and consistent assessment judgements. <i>Evidence</i> • Student C 2018 – BSB20115 Deliver a service to customers – AT2 Demonstration – The outcomes recording table has 6 tasks with 5 columns for dated observations. These 30 cells indicate that all 30 observations took place on only two dates. • The model answers for written questions in the Assessor Guides are sometimes too specific, limiting the range of possible answers restrictively, while the Assessor Demonstration Recording Checklist is not specific enough.		



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At interview, the trainer stated that the Portfolio items resulted from a group assessment task based around running a small retail business. The trainer was not clear how individual assessments would be derived from a team-based project.	SF-1.5.5 Finding	BSB20115 Certificate II in Business The assessment recording procedure is not systematic or clear. <i>Evidence</i> - The three tasks are inconsistently numbered, for example, Assessment Task (AT)1 is not always the portfolio. - The Student Competency Evaluation Record (for recording final outcomes) has been used as a progress sheet when it is not designed for this. For Student B 2019 – <i>BSBCUS201 Deliver a service to customers</i>, the trainer has ticked the Not Competent box on the Student Competency Evaluation Form although this is not a completed summative assessment. The form has two trainer signatures and three different dates on it. One NYC has been changed using a tick in the Satisfactory column. - The evidence is not always stored with the unit it relates to. Each of the twelve units has its own Student Assessment Guide with the three assessment tasks, although two of these (the portfolio and the demonstration) are the same in every unit Guide. Only the Written Questions vary from unit to unit. The portfolio and demonstration evidence are attached to any unit's Student Assessment Guide so that, for example, the spreadsheets evidence may not be stapled to the Student Assessment Guide for <i>BSBITU212 Create and use spreadsheets</i> - Student D 2018 – <i>BSBITU212 Create and use spreadsheets</i> Student Assessment Guide for AT2 Portfolio has the comment, "incompleted portfolio" and the direction to look in 5 other Student Assessment Guides for the evidence. - For AT3 Demonstration, Student D was deemed satisfactory with the comment, "Demonstration complete", with no other detail, comment or record. Required Rectification(s) The RTO must develop a clear and systematic assessment recording procedure.
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2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.	Compliant
Evidence/Documentation Reviewed	
636 Meeting Individual Needs Policy and Procedure 304 Student Welfare, Care and Safety Policy - CCG Student Handbook 2019 – relevant sections informing students of various kinds of support, both internal and external - Pre-Training Review Form and process 7 x LLN Robot assessment summaries - Interview with Kristen Thelle, Director of Quality and Services: - The RTO uses LLN Robot to gather LLN information. This eliminates variation between staff assessments and keeps it objective. It provides a report which is easy for students to understand. The LLN Report is printed and put in the student file so the trainer sees it there before training starts. If the report indicates that a student needs support, the VET Manager prints the supplementary training activities supplied by LLN Robot and goes through them with the learner. This is documented in the student's Training Plan. For VETiS students, the RTO relies on the school's evaluation of their LLN, so they do not do LLN Robot. - Trainers are timetabled to be available to students before and after most classes, and during term breaks - The RTO has a Volunteer Coordinator and uses volunteers to mentor students when appropriate. Volunteers are often ex-teachers or have other relevant backgrounds. A men's shed operates out of the site and some attendees become volunteer mentors. - There is close coordination with the onsite secondary college. 12 x Student enrolment documents - Interview with Julie Knight, Records Officer: - She does enrolments for apprentices and trainees. The VET Manager, Julie Thomas, does classroom enrolments. They both pass on information about barriers to learning or special needs verbally to trainers. - She has recently developed a new form, 601-2M ATTP Induction Visit Record Form, to summarise key information gathered at enrolment for trainers.	



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- Interview with Jayden Cooke, Trainer in **BSB20115 Certificate II Business**: – Jayden gave some examples of support for students. The group is small, 13 students, so he has developed a good knowledge of the individual students.
- Interview with Andrea Tindle, Trainer in **AHC30706 Certificate III Horticulture**:
 - Andrea gave some examples of support for students and explained the system for filing emails and scans of other relevant documents online in Axcelerate.
 - She speaks with her trainees weekly and if she identifies any problems she will follow up, including with the employer.



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2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.	
Evidence/Documentation Reviewed	Compliant
• 105 Continuous Improvement Policy • 105-1 Continuous Improvement Procedure • Industry Consultation Record Forms for AHC30716 Certificate III in Horticulture and BSB20115 Certificate II Business • Continuous Improvement Register 2016-2019 spreadsheet with relevant items • RTO Performance Indicator Report 2017 • AQTF learner and employer survey report 2018 • Senior Management Team Meeting minutes for 2019, including Action List spreadsheets with date, person responsible and status • Board Meeting minutes - monthly for 2019 • Interview with Kristen Theille, Director of Quality and Services, and Tracel Devereux, Director of Education and Training: - The RTO does not conduct an internal student or end of course survey, as it is a lot of work to amalgamate the information, and the students do 2-3 surveys already so they don't want to overload them. They have decided to rely on the Victorian Student Satisfaction Survey. - They also rely on their 'open door' policy and active encouragement of a constant flow of feedback from staff and students. Informal daily communication is frequent and productive. - The trainer or other person takes the TAS and a sample of assessment documents annually (before the course starts), to an employer and discusses it with them and records their feedback. - Trainers are encouraged to keep engaged in their industry and are offered up to 3 days p.a. paid leave to do this. This is recorded in their PD tracker spreadsheet - During term breaks each department has a meeting followed by a meeting with the VET Manager. There are also all-trainer meetings during term breaks when they are available. Strategic planning for the year takes place in February before classes start. On this day the RTO also conducts PD for the whole staff in morning, then in pm the trainers and assessors do specific material for the year.	



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– The Senior Management Team consists of the CEO and 5 directors. They meet fortnightly and there is a continuous improvement standing agenda item. The VET Manager and senior teachers in college also make reports.	
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	
• Website – https://ccg.asn.au/ – includes detailed course information and clear information on fees and charges • Print brochures for individual courses are detailed • Pre-Training Review process and documents • Fees and Charges Statement supplied prior to enrolment with a detailed breakdown of fees – signed by student • 2019 Enrolment Form • 601-3J Student Rights and Responsibilities form – outlines these with signature space • 601-3 General Accredited Course Pre-Enrolment Procedure – includes Student Notification of Course Entry Offer or Refusal – Applicant signs that they have completed all PTR procedures. The Pre-Training Review process is thorough.	



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2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.		Non-Compliant
Evidence/Documentation Reviewed		
635-3 ATP Training and Assessment Procedure – for trainees and apprentices 601-2B ATP Pre-Enrolment Employer Information 635-3G Employer Responsibilities Form – states a minimum of 4 face-to-face training visits per year, and the brochure says the same. 2 x AHC30706 Certificate III Horticulture trainee Delivery Plans - Interview with Kristen Theile, Director of Quality and Services: - The pre-training review process is that the RTO is notified of a new trainee; the trainee does the LLN Robot assessment; and if their LLN is not to the required level, the VET Manager has a discussion with the employee and employer. - The TAS states there are a minimum of 4 visits per year in order to allow for employer variation. The visits are recorded on a paper Contact Sheet and then scanned into the trainee's Accelerate file. - Employers are provided with the Student Learner Guides. - Interview with Andrea Tindle, Trainer in AHC30706 Certificate III Horticulture (Traineeship): - The trainer visits trainees every 6-8 weeks, approximately 8 visits per year. - She has phone or email contact with the trainees once a week. She contacts the employer if she feels from the trainee contact that there is an issue.		
SF-2.4.1 Finding	Required Rectification(s)	
AHC30716 Certificate III in Horticulture (Traineeship) There is insufficient evidence that the RTO informs workplace personnel of their relevant roles and responsibilities in relation to the workplace training of trainees or that it is systematically guiding and monitoring the progress of the training provided by the workplace.		The RTO must inform workplace personnel of their roles and responsibilities in relation to the workplace training of trainees and must systematically guide and monitor the progress of the training provided by the workplace.



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Evidence	
• The RTO does not provide any specific guidance to employers on what they could assist or expect trainees to do during the 1976 hours of Supervised Workplace Learning (TAS p.5) which would contribute to their achievement of the units of competency. No defined activities are nominated or recommended to be provided by the employer. • The RTO does not require the trainee or employer to keep a systematic record of work tasks completed by the trainee during the 1976 hours of Supervised Workplace Learning in order to monitor their learning and practice against the units of competency. • 601-2B ATP Pre-Enrolment Employer Information p.4 states that there is a Withdrawal Log that "the trainee will use to record their training every time you have allocated study time at work", i.e. Structured Workplace Learning. However, at interview, the trainer confirmed that no such log exists, although the trainer records the trainee's verbal summary of what they have done weekly in Axcelerate after her phone/email contact. • The RTO does not provide any explicit guidance to employers on what they could assist or expect trainees to do during their Structured Workplace Learning which would contribute to their achievement of the units of competency.	

2.5 - Learners receive training, assessment and support services that meet their individual needs.	Compliant
Evidence/Documentation Reviewed	
Compliance outcome assessed based upon findings of S.2.1 and S.2.3.	

2.6 - Learners have timely access to current and accurate records of their participation and progress.		Compliant
Evidence/Documentation Reviewed		
- CCG Student Handbook 2019 - Section 21 Access to your records 602 Student Access to Records Policy 12 x student files – learner participation and progress records viewed are accurate		

2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.		Compliant
Evidence/Documentation Reviewed		
424 Complaints and Appeals Policy - CCG Student Handbook 2019 – Section 33 103-2 Student Complaint Procedure - Complaints Register 2006-2019 - Interview with Kristen Theille, Director of Quality and Services: - Formal complaints are recorded in the Register. Nonformal/verbal complaints are dealt with but not recorded. - The process is to have an informal meeting with all parties with a mediator role, and this seems to solve most problems. The RTO has had no written complaints since mid-2017. - Students are encouraged to approach staff if they are not happy with something.		



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3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.		Compliant
Evidence/Documentation Reviewed		
- Website – https://ccg.asn.au/ and print brochures for individual courses include detailed course information and clear information on fees and charges 601-3 General Accredited Course Pre-Enrolment Procedure – includes Student Notification of Course Entry Offer or Refusal – Applicant signs that they have completed all PTR procedures. The Pre-Training Review process is thorough. 12 x student files containing Enrolment forms and related documentation 2 x Trainee Training Plans in student files - RTO Performance Indicator Report 2018 - Senior Management Team Meeting minutes for 2019, including Action List spreadsheets with date, person responsible and status - Board Meeting minutes – monthly for 2019 105 Continuous Improvement Policy 105-1 Continuous Improvement Procedure - Continuous Improvement Register 2016-2019 spreadsheet with relevant items 424 Complaints and Appeals Policy - CCG Student Handbook 2019 – Section 33 Complaints and Appeals - Facilities etc. see 1.3 635-3H ATP Student Induction Checklist, signed by both employer and trainee 635-3G Employer Responsibilities Form 635-1T8 Resource Checklist (including note of anything which may not be available at site of employment, signed off by employer) 635-3D ATP Visit and Contact Record Form		



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- 601-2B ATP Pre-Enrolment Employer Information
- 601-2C ATP Pre-Enrolment Student Information
- ATP Payment Agreement

3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.

Compliant

- 105 Continuous Improvement Policy
- 105-1 Continuous Improvement Procedure
- Continuous Improvement Register 2016-2019 spreadsheet with relevant items
- RTO Performance Indicator Report 2018
- Senior Management Team Meeting minutes for 2019, including Action List spreadsheets with date, person responsible and status
- Board Meeting minutes – monthly for 2019
- Interview with Kristen Theile, Director of Quality and Services, and Tracel Devereux, Director of Education and Training, see S.2.2
- Interview with Tracel Devereux, Director of Education and Training:
 - A recent example of continuous improvement is the introduction of a new system of ticketing for any improvements identified by trainers for assessment tools.
 - The RTO is a flat organisation – management consists of the CEO and 4 directors. They have an 'open door' policy, encouraging frequent communication between all levels of staff. All items which enter this system become recorded and must be dealt with. Several years ago, they established a practice that any issue, even if heard indirectly, is taken up with the staff member or student involved, which has established a good communication flow and problem-solving strategy.
 - Each director provides a written report to the Board monthly.
 - The RTO Performance Indicator Report is discussed at the Board meeting, and also circulated to staff and relevant items discussed with trainers.
 - A Staff survey is conducted annually, and directors meet with staff to discuss the results.



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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
3.4 - The RTO manages records to ensure their accuracy and integrity.	Compliant
• 102 Records Management Policy • 102-1 Records Management Procedure • Interview with Kristen Theille, Director of Quality and Services: – Student Records staff check all enrolment records before they are filed. They keep a spreadsheet of omissions to be rectified. – All rolls are online. • 12 x Student files including enrolment forms, assessment records and other relevant documentation.	



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Detailed Findings – 2016 VRQA Guidelines for VET Providers

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

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

Not Audited in
Phase 2 audit

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:

- a) projected student enrolments by qualifications
- b) a range of financial indicators, including
 - 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 4.3.1(2) of the Act.

Not audited in
Phase 2 audit



Not audited in Phase 2 audit	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 address 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 AVE/MISS 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	GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes: 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: 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.



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

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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. • 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. • Services 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
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: 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.	Not audited
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: 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.	Not audited
GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by: 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



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

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GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO must provide, in print or through referral to an electronic copy, current and accurate information that: 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	Not audited
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
GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of: 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.	Not audited
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



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

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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: a) vocational competencies at least to the level being delivered and assessed; b) current industry skills directly relevant to the training and assessment being provided; and c) current knowledge and skills in vocational training and learning that informs their training and assessment. Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.	Compliant
Jayden Cooke – Trainer in BSB20115 Certificate II Business • FNS60204 Advanced Diploma of Accounting – Gippsstafe 18/03/2010 • FNS40604 Certificate IV in Financial Services (Accounting) – Gippsstafe 12/02/2009 • FNS30304 Certificate III Financial Services (Accounts Clerical) – Gippsstafe 12/02/2009 • BSB40407 Certificate IV in Small Business Management – Community College Gippsland 23/03/2013 • CV, trainer skills matrix – Evidence of vocational currency • Staff Professional Development Tracker – evidence of industry currency and professional development in competency-based training and assessment. Andrea Tindle – Trainer in AHC30706 Certificate III Horticulture • Advanced Certificate in Horticulture – The Victorian College of Agriculture and Horticulture 30/08/1995 • CV, trainer skills matrix – Evidence of vocational currency • Staff Professional Development Tracker – evidence of industry currency and professional development in competency-based training and assessment.	



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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
Jayden Cooke – Trainer in BSB20115 Certificate II Business - TAE40116 Certificate IV Training and Assessment – Chisholm Institute 08/07/2018 Andrea Tindle – Trainer in AHC30706 Certificate III Horticulture - TAE40116 Certificate IV Training and Assessment – 25/01/2019 TAE Training Academy RTO: 32413	
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
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
GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer: 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.	Not Audited



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GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.	Non-Compliant
• Training and Assessment Strategy for BSB20115 Certificate II in Business (classroom VETIS), including delivery plan • Training and Assessment Strategy for AHC30716 Certificate III in Horticulture (classroom), including delivery plan • Training and Assessment Strategy for AHC30716 Certificate III in Horticulture (Traineeship), including delivery plan • 601-3 General Accredited Course Pre-Enrolment Procedure - Pre-Training Review process is thorough • 7 x LLN Robot assessment summaries • Interview with Jayden Cooke, Trainer in BSB20115 Certificate II Business • Interview with Andrea Tindle, Trainer in AHC30706 Certificate III Horticulture • Interview with Kristen Theile, Director of Quality and Services • Interview with Tracel Devereux, Director of Education and Training	
GF.4.1.1 Finding	Required Rectification(s)
BSB20115 Certificate II in Business (classroom VETIS) The RTO has not accurately identified the amount of training provided and has not demonstrated how its training and assessment strategies and practices will enable the cohort of learners to meet the requirements for the units of competency. <i>Evidence</i> • The TAS: - describes the cohort as secondary students with no prior qualifications. At interview the trainer stated that this year the 13 students are drawn from Years 10-12 combined and range from 15-20 years of age. At interview the Director of Quality and Services stated that many students don't have internet	The RTO should accurately identify the amount of training it provides to learners and demonstrate how its training and assessment strategies and practices will enable the cohort of learners to meet the requirements for the units of competency.

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access at home so they may come into the college during school holidays to do work, although this can be difficult because the campus is out of town and there is no bus service during the school holidays. – states that learners are provided with 240 hours of face-to-face training in the classroom, which is 67% of the 360 nominal hours. – includes 240 hours of unsupervised self-paced learning with no defined activities allocated to it. At interview the trainer estimated that he requires students to complete approximately 40 hours' worth of work outside of class over the duration of the course. – incorrectly includes 230 hours of optional trainer support in the amount of training. No records are kept of who actually attends, for how long or the activities attending students have been engaged in during these times. • At interview the Director of Quality and Services, and the Director of Education and Training stated that classes where all students were expected to attend and where the content of the units was completely delivered was a duration of 37 weeks. However, the Delivery Plan (TAS pp.9-10) shows all units delivered in 30 delivery weeks.	
GF4.1.2 Finding AHC30716 Certificate III in Horticulture (classroom) The RTO has not accurately identified the amount of training provided and has not demonstrated how its training and assessment strategies and practices will enable the cohort of learners to meet the requirements for the units of competency. <i>Evidence</i> • The TAS: – states that the cohort of learners has no skills or experiences in the horticulture industry and need to gain the skills and experience from the delivery of the course. The minimum age for enrolment is 15 years old. ACSF 3 in LLN skills is required. – states that learners are provided with 444 hours of face-to-face training in the classroom, which is 46% of the 965 nominal hours.	Required Rectification(s) The RTO should accurately identify the amount of training it provides to learners and demonstrate how its training and assessment strategies and practices will enable the cohort of learners to meet the requirements for the units of competency.



– incorrectly includes 451 hours of optional trainer support in the amount of training – includes 370 hours of unsupervised self-paced learning with no defined activities allocated to it. At interview the Trainer, Andrea Tindle, stated that she has found self-directed learning was not suitable for the cohort, who tend to be kinaesthetic and hands-on learners. • There is a significant level of optional support provided, but no records are kept of who actually attends, for how long or the activities attending students have been engaged in.	
CF.4.1.3 Finding	Required Rectification(s)
AHC30716 Certificate III in Horticulture (Traineeship) The RTO has not accurately identified the amount of training provided and has not demonstrated how its training and assessment strategies and practices will enable the cohort of learners to meet the requirements for the units of competency. <i>Evidence</i> • The TAS: – states that the cohort of learners are currently employed in the horticulture industry but have little or no skills or previous experience. The minimum age for enrolment is 15 years, and students should have LLN skills to ACSF level 3 or be prepared to undertake foundation skills training. – states that the amount of training includes 1976 hours of supervised workplace learning and totals 2,829 hours. This is an unrealistic figure as it would total 54.5 hours of learner commitments per week for 52 weeks, with no annual leave or public holidays taken into account. It is equivalent to an average of 20 hours of study-related activities per week outside of work hours. – states that learners are provided with 16 hours of face-to-face contact visits. At interview the trainer stated that she actually visits each trainee approximately every 6 weeks (8 visits per year) for 3 hours = 24 hours. This is 2.5% of the 965 nominal hours. – incorrectly includes 451 hours of optional trainer support time in the amount of training	The RTO should accurately identify the amount of training it provides to learners and demonstrate how its training and assessment strategies and practices will enable the cohort of learners to meet the requirements for the units of competency.

– incorrectly includes 370 hours of self-paced learning with no defined activities allocated to it. There is no explanation for how students who are fully employed would manage 10 hours of self-paced learning per week. • The RTO does not provide any specific guidance to employers on what they could assist or expect trainees to do during the 1976 hours of Supervised Workplace Learning (TAS p.5) which would contribute to their achievement of the units of competency. No defined activities are nominated or recommended to be provided by the employer. • The RTO does not require the trainee or employer to keep a systematic record of work tasks completed by the trainee during the 1976 hours of Supervised Workplace Learning in order to monitor their learning and practice against the units of competency. There is no document which requires the employer to sign off and date to verify that certain work tasks have been completed as the workplace contribution to the trainee's learning. • The RTO does not provide any explicit guidance to employers on what they could assist or expect trainees to do during their Structured Workplace Learning which would contribute to their achievement of the units of competency.	
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GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:		Non-Compliant
a) the existing skills, knowledge and the experience of the student; b) the mode of delivery; and c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.		
• Training and Assessment Strategy for BSB20115 Certificate II in Business (classroom VETiS), including delivery plan • Training and Assessment Strategy for AHC30716 Certificate III in Horticulture (classroom), including delivery plan • Training and Assessment Strategy for AHC30716 Certificate III in Horticulture (Traineeship), including delivery plan • 601-3 General Accredited Course Pre-Enrolment Procedure - Pre-Training Review process is thorough • 7 x LLN Robot assessment summaries • Interview with Jayden Cooke, Trainer in BSB20115 Certificate II Business • Interview with Andrea Tindle, Trainer in AHC30706 Certificate III Horticulture • Interview with Kristen Theille, Director of Quality and Services • Interview with Tracel Devereux, Director of Education and Training		
GF4.2.1	Finding	Required Rectification(s)
BSB20115 Certificate II in Business (classroom VETiS)	The RTO has identified the learner cohort but has not ensured the amount of training provided is suitable for that cohort, giving them time to be trained in each skill and knowledge area; time to practice and apply these skills and knowledge requirements; and, time in the different contexts they would experience in the workplace. <i>Evidence</i> • The TAS: – describes the cohort as secondary students with no prior qualifications. At interview the trainer stated that this year the students are from Years 10-12 and range from 15-20 years of age. At interview the Director of Quality and Services stated that many students don't have internet access at home so they	The RTO must ensure the amount of training provided is suitable for the cohort, giving them time to be trained in each skill and knowledge area; time to practice and apply these skills and knowledge requirements, and time in the different contexts they would experience in the workplace.



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may come into the college during school holidays to do work, although this can be difficult because the campus is out of town and there is no bus service during the school holidays. - states that learners are provided with 240 hours of face-to-face training in the classroom, which is 67% of the 360 nominal hours. - includes 240 hours of unsupervised self-paced learning with no defined activities allocated to it. - At interview the trainer estimated that he requires students to complete approximately 40 hours' worth of work outside of class over the duration of the course. - incorrectly includes 230 hours of optional trainer support in the amount of training. No records are kept of who actually attends, for how long, or the activities attending students have been engaged in. • At Interview the Director of Quality and Services and the Director of Education and Training stated that classes where all students were expected to attend and where the content of the units was completely delivered was a duration of 37 weeks. However, the Delivery Plan (TAS pp.9-10) shows all units delivered in 30 delivery weeks.	GF.4.2.2 Finding AHC30716 Certificate III in Horticulture (classroom) The RTO has identified the learner cohort but has not ensured the amount of training provided is suitable for that cohort, giving them time to be trained in each skill and knowledge area; time to practice and apply these skills and knowledge requirements; and, time in the different contexts they would experience in the workplace. <i>Evidence</i> • The TAS: - states that the cohort of learners has no skills or experiences in the horticulture industry and need to gain the skills and experience from the delivery of the course. The minimum age for enrolment is 15 years old. ACSF 3 in LLN skills is required. - states that learners are provided with 444 hours of face-to-face training in the classroom, which is 46% of the 965 nominal hours. Required Rectification(s) The RTO must ensure the amount of training provided is suitable for the cohort, giving them time to be trained in each skill and knowledge area; time to practice and apply these skills and knowledge requirements; and, time in the different contexts they would experience in the workplace.
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- incorrectly includes 451 hours of optional trainer support in the amount of training - includes 370 hours of unsupervised self-paced learning with no defined activities allocated to it. At interview the Trainer, Andrea Tindle, stated that she has found self-directed learning was not suitable for the cohort, who tend to be kinaesthetic and hands-on learners. • There is a significant level of optional support provided, but no records are kept of who actually attends, for how long, or the activities attending students have been engaged in.	
GF.4.2.3 Finding	Required Rectification(s)
AHC30716 Certificate III in Horticulture (Traineeship) The RTO has identified the learner cohort but has not clearly identified the amount of training provided through the Traineeship mode of delivery to ensure that it gives that cohort systematic training in each skill and knowledge area; and structured opportunities to practise and apply these skills and knowledge requirements. Evidence • The TAS: - states that the cohort of learners are currently employed in the horticulture industry but have little or no skills or previous experience. The minimum age for enrolment is 15 years, and students should have LLN skills to ACSF level 3 or be prepared to undertake foundation skills training. - states that the amount of training includes 1976 hours of supervised workplace learning and totals 2,829 hours. This is an unrealistic figure as it would total 54.5 hours of learner commitments per week for 52 weeks, with no annual leave or public holidays taken into account. It is equivalent to an average of 20 hours of study-related activities per week outside of work hours. - states that learners are provided with 16 hours of face-to-face contact visits. At interview the trainer stated that she actually visits each trainee approximately every 6 weeks (8 visits per year) for 3 hours = 24 hours. This is 2.5% of the 965 nominal hours. - incorrectly includes 451 hours of optional trainer support time in the amount of training	The RTO must clearly identify the amount of training provided through the Traineeship mode of delivery to ensure that it gives the cohort of learners systematic training in each skill and knowledge area, and structured opportunities to practise and apply these skills and knowledge requirements.



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– incorrectly includes 370 hours of self-paced learning with no defined activities allocated to it. There is no explanation for how students who are fully employed would manage 10 hours of self-paced learning per week. • The RTO does not provide any specific guidance to employers on what they could assist or expect trainees to do during the 1976 hours of Supervised Workplace Learning (TAS p.5) which would contribute to their achievement of the units of competency. No defined activities are nominated or recommended to be provided by the employer. • The RTO does not require the trainee or employer to keep a systematic record of work tasks completed by the trainee during the 1976 hours of Supervised Workplace Learning in order to monitor their learning and practice against the units of competency. There is no document which requires the employer to sign off and date to verify that certain work tasks have been completed as the workplace contribution to the trainee's learning. • The RTO does not provide any explicit guidance to employers on what they could assist or expect trainees to do during their Structured Workplace Learning which would contribute to their achievement of the units of competency.	
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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.	Not audited
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.	Not audited
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: 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.	Not audited
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
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: 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



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: 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
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