

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

Audit Date: 19 and 20 May 2014

RTO: Laverton Community Integrated Services Inc.

Applicant Details			
Applicant Name	Laverton Community Integrated Services Inc.	TOID	6408
Address	12 Crown Street, Laverton Vic 3028		
	Website	www.lcis.org.au	
Registration Contact	Ms Alexandra Jedlicko		
Phone Number	03 9369 2726 - 0409 243 994	Email	jedlickoa@lcis.org.au
Audit Team			
Audit Firm	Moore Stephens	Auditor/s	Anna-Louise Allen
Auditor/s		Other Attendees	
Registering Body Details			
Contact Person	Emma Hickingbotham		
Phone Number	9032 1562	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	1, 3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.3, 3.4
VRQA Guidelines Audited	1,2,3,4,5		
Audit Date/s	19 and 20 May 2014		
RTO Background			
<p>Laverton Community Integrated Services Inc. [LCIS] is a local Not-for-Profit organisation operating under the Community Development Model and is underpinned by the Social Justice principles. The Laverton Community Centre was established in 1974 with the assistance of Rotary.</p> <p>LCIS is managed by a volunteer based Board of Management, representative of the Community and contributing the skills required for good governance. In 2012, LCIS became a Public Benevolent Institution providing tax relief for all donations over \$2.00. LCIS serves the communities of Laverton, Altona Meadows and the broader municipality of Hobsons Bay.</p> <p>In 2011, the organisation undertook a major re-structure incorporating new branding, all under the newly incorporated Laverton Community Integrated Services Inc. Today LCIS operates three business arms;</p> <ul style="list-style-type: none"> • Laverton Community Centre and Neighborhood House – providing recreational and leisure programs and activities. Emergency Financial and Material Relief, Community Meals and a Crisis Intervention Service. • Laverton Community Education Centre – providing both accredited and non-accredited vocational education, predominately to Adults. • Laverton Community Children’s Centre – providing Integrated Children Services such as Long Day Care, Kindergarten, Alternative Care and Playgroups. <p>These services are all provided within the Crown Street Community Precinct. The Laverton Community Centre is now operating from inside the newly built Laverton Community Services Hub located on Railway Avenue.</p>			

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In May 2013, the previous Education Manager died suddenly forcing a review of RTO policies and procedures.

Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
22259VIC	Course in EAL	Vic
22250VIC	Certificate I in EAL (Access)	Vic
22251VIC	Certificate II in EAL (Access)	Vic
CHC30712	Certificate III in Children's Services	Vic
CHC30212	Certificate III in Aged Care	Vic
CHC30312	Certificate III in Home and Community Care	Vic

Interviewee(s) – Staff name and position; employer name and position	
Michael Pernar	CEO
Alexandra Jedlicko	Education Manager
Kathy Magsterovic	VET Co-ordinator
Jan Daly	Trainer Aged Care and Home and Community Care
Cala Posnjak	Trainer Children Services

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

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
1	Governance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Interactions with the Registering Body	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3	Compliance with Legislation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Insurance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5	Financial Management	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6	Certification & Issuing of Qualifications & Statements of Attainment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7	Recognition of Qualifications Issued by other RTOs	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	Accuracy and Integrity of Marketing	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	Transition to Training Packages/Expiry of Accredited Courses	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Summary of Non-Compliance²				
CF6.1				
Certificates and Statements of Attainment do not meet the Australian Qualifications Framework (AQF) requirements				
Strengths				
Laverton Community Education Centre has a CEO who is involved with the day to day operation of the RTO.				

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	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.1 – Continuous Improvement Strategy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2 – Training and Assessment Strategies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3 – Training and Assessment Resources	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.4 – Trainer and Assessor Competency	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.5 – Assessment Strategies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Standard 2	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1 – Meeting the Needs of Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2 – Continuous Improvement of Client Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3 – Provision of Information to Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4 – Third-Party Engagement in Training and Assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.5 – Provision of Support Services to Clients	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.6 – Learner Access to Records of Participation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.7 – Complaints and Appeals Strategy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Standard 3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.1 – Operations Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2 – Continuous Improvement of Operations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3 – Third-Party Training and/ or Assessment Services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3.4 – Records Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Summary of Non-Compliance³			
<p>SF1.3.1</p> <p>The RTO did not demonstrate that they have access to staff, facilities, equipment and training and assessment materials consistent with the requirements of the Training Package</p> <p>SF 1.4.1</p> <p>Trainer Assessor files do not meet the requirements of the NSSC.</p> <p>SF1.5</p> <p>Assessments for CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care and CHC30712 Certificate III in Children’s Services do not meet the principles of assessment and rules of evidence.</p>			

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

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Audit Summary – VRQA Guidelines for VET Providers

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

Summary of Non-Compliance⁴

GF1.3

Trainer/assessor files did not include the following verified or certified and/or signed documents:

- position description

GF2.1.1

The RTO has not systematically validated their Assessment Processes.

GF2.3.1

The RTO did not demonstrate processes in place for the retention of sufficient samples of Mater Assessment Tools to demonstrate that quality education and training has occurred.

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

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GF5.1.1

Training and Assessment Strategies do not match actual practice.

GF1.5.2

The RTO does not have a process in place for assessing and ensuring the sufficiency of trainer and assessor staff.

GF1.5.3

Assessment is not mapped to the Training Package and unit requirements. Assessment does not meet the principles of assessment and rules of evidence.

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Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance			Compliant
CF.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Condition 1 was Compliant	The RTO has appropriate governance structures in place.	Evidence reviewed during the audit: <ul style="list-style-type: none"> • Organisational Chart • Interview with CEO and Education Manager • Board Member files • Code of conduct for a staff or board member of Laverton Community Integrated Services Inc • Budget Development and Approval Policy and Procedure • Dissemination of information policy • Governance Policy • BOM members satisfy Fit and Proper Person Checks • Board of Management Meeting 26th February 2014 • Education Manager's report to Board March 2014 • Board Minutes 	No rectification required.

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CONDITION 3 – Compliance with Legislation			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Condition 3.</p> <p>The RTO has a systematic process to review and manage compliance with relevant Commonwealth, State or Territory legislation and regulatory requirements.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Organisational Chart • Interview with CEO and Education Manager • LCEC Dissemination of information policy • LCEC Governance Policy • LCEC Quality Management Policy & processes • Position Description – CEO • Education Manager – PD • Staff induction policy • Induction checklist • Induction Feedback • Interview with the Education Manager – indicated that a re-induction of all staff will take place in the middle of the year • Staff Handbook • Staff meeting minutes – Monthly 2013 & 2014 • Student information • Website 	<p>No rectification required.</p>	

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CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment			Non-Compliant
CF6.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with Condition 6. This condition requires that:</p> <p>Certificates and Statements of Attainment do not meet the Australian Qualifications Framework (AQF) requirements:</p> <ul style="list-style-type: none"> The Employability skills statement appears on Record of results and Statement of attainment. These should be removed The Statement of Attainment contains AQF statement and employability skills statement. Both should be removed. The statement on the Statement of Attainment should read: 'A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units' 	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> LCEC Qualifications Issuance Policy LCEC Student Management System Policy Student Handbook Staff Handbook LCEC Quality Management Policy LCEC Administration and Records management policy Student Files Certificate and Statement of Attainment template 	<p><u>Actions:</u></p> <p>The RTO should revise their templates for Certificates, statement of results and Statement of Attainment to ensure they comply with the AQF requirements</p>
	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Compliant with this aspect of Condition 6.</p> <p>The RTO has a mechanism in place to retain client records for a period of 30 years</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> LCEC Qualifications Issuance Policy LCEC Student Management System Policy Student Handbook Staff Handbook LCEC Quality Management Policy 	<p>No rectification required.</p>

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	<ul style="list-style-type: none">• LCEC Administration and Records management policy V1.2 Feb 2014	
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CONDITION 7 - Recognition of Qualifications Issued by other RTOs			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Condition 7.</p> <p>The RTO recognises the AQF Qualifications and Statements of Attainment issued by any other RTO.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Student Management System Policy • Student Handbook • Staff Handbook • LCEC Quality Management Policy • RPL information and application kit • Credit Transfer application 	<p>No rectification required.</p>	

Improvement Opportunities
<p>The RTO is using a number of terms without explanation – Credit Transfer, Recognition of Current Competency and National Recognition. It is suggested that the RTO refer to the Training Package for clarification and avoid using terms without explanation.</p>

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CONDITION 8 - Accuracy and Integrity of Marketing			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Condition 8.</p> <p>The RTO's marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Website • Information Sessions • Course Brochures: • LCEC Marketing Policy V2.1 February 2014 	<p>No rectification required.</p>	

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CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Condition 9.</p> <p>The RTO has managed the transition from superseded Training Packages within 12 months of their publication on the Training.gov.au.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Administration and Records Management Policy V1.2 Feb 2014 • LCEC Transition to new Training Package Policy V1.2 Feb 2014 • Student Handbook 	<p>No rectification required.</p>	

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Detailed Findings - AQTF Standards

STANDARD 1

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 1.1.</p> <p>The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCIS Strategic Plan 2012 – 2015 • Laverton Community Education Centre Business plan • Risk Identification and Management policy • Risk Management Plan 2014 • LCIS Code of Ethics • LCEC Customisation of Training Policy V1.1 November 2013 • LCEC Continuous Improvement Policy V6.0 August 2013 • LCEC Learning, delivery and assessment policy • LCEC Customisation of Training Policy V1.1 November 2013 • LCEC Cultural Diversity Policy V3.1 Sept 2013 • LCEC People with Disabilities Policy V5.1 Oct 2013 • Quality Improvement Register • LCEC Administration and Records Management Policy V1.2 Feb 2014 • LCEC Budget Development and Approval Policy V2.1 	<p>No rectification required.</p>	

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Improvement Opportunities
The RTO might consider clarifying the process for recording items on the Quality Improvement Register.

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ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 1.2.</p> <p>Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Training and Assessment Strategy 22259VIC Course in EAL • Training and Assessment Strategy 22250VIC Certificate I in EAL (Access) • Training and Assessment Strategy 22251VIC Certificate II in EAL (Access) • Training and Assessment Strategy CHC30712 Certificate III in Children's Services • Training and Assessment Strategy CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care • Industry consultation register – blank • Industry consultation folder: • Laverton Community Children's Centre – Kate Kirner Manager – Industry consultation 9/4/14 – review and feedback on the structure of the course and assessment during work placement • Hazeldean Nursing Home Williamstown – Jennifer Williams Assistant Manager 16/11/10 • Manor Court Werribee, Kerry Bailey, 16/11/10 • Glendale Aged Care, Margaret, Manager 17/11/10 • Alanvale Paul, Manager 17/11/10 • Chris Smith Benetas St George, Manager 15/11/10 	<p>No rectification required.</p>	

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	<ul style="list-style-type: none"> • Williamstown Childcare Centre, Sue Evans, coordinator 23/8/10 • Altona Meadows Children's Centre Erica Grubb, 12/10/10 • Hobson's Bay Children's Centre, Maria Bircher, Coordinator 12/10/10 • Bright Steps, Williamstown, Donna Love Coordinator 13/10/10 	
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Improvement Opportunities

The RTO should consider a more systematic approach to industry consultation. Some of the consultation in relation to Aged Care and Home and Community Care dates back to 2010.

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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.			Non-Compliant
1.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with Element 1.3.</p> <p>The RTO did not demonstrate that they have access to staff, facilities, equipment and training and assessment materials consistent with the requirements of the Training Package.</p> <p>Facilities and equipment required to deliver Child Care, Aged Care and Home and Community Care are not specified in the Training and Assessment Facilities. Students undertake a work placement however this is not adequately described to demonstrate its role in the training and assessment of the units within the qualifications.</p> <p>There was no alignment between the work placement and the training package requirements. There was also no documented process for reviewing facilities and equipment to determine sufficiency or appropriateness to deliver the units of competency in line with the Training Package requirements.</p> <p>Staff files did not meet the requirements of the NSSC. See recommendations in Standard 1.4 below.</p> <p>Assessments for Certificate III in Children's Services, Certificate III in Aged Care & Certificate III in Home and Community Care did not meet the principles of</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Training and Assessment Strategy 22259VIC Course in EAL • Training and Assessment Strategy 22250VIC Certificate I in EAL (Access) • Training and Assessment Strategy 22251VIC Certificate II in EAL (Access) • Training and Assessment Strategy CHC30712 Certificate III in Children's Services • Training and Assessment Strategy CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care • Interview with Aged Care/HACC trainer • Interview with Children's Services Trainer • Interview with VET Manager • Class 9B certificate for the LCEC <p>Staff Files</p> <ul style="list-style-type: none"> • Cala Posenjak • Jan Daly • Judith MacBean • Margaret Pascall • Farhana Ahmed <p>Assessment Tasks</p>	<p>Actions:</p> <p>The RTO should review their training and assessment strategies for Certificate III in Children's Services, Certificate III in Aged Care & Certificate III in Home and Community Care to ensure that they detail the specific facilities and equipment required to deliver and assess the units of competency in line with the Training Package requirements.</p> <p>The RTO should document a process for assessing reviewing and maintaining appropriate facilities and equipment. This process should also include the setting up of work placements and the role of the work placement in the training and assessment process.</p> <p>Trainer/Assessor files should be reviewed in line with the recommendations in Standard 1.4.</p> <p>Assessment tools for Certificate III in Children's Services, Certificate III in Aged Care & Certificate III in Home and Community Care should be reviewed in line with training package requirements and the principles of assessment and rules of evidence.</p>

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<p>assessment or rules of evidence. See recommendations in Standard 1.5 below.</p> <p>Staff, equipment or training and assessment materials are not available to deliver as per Training Package or accredited course requirements.</p> <ul style="list-style-type: none"> • Current facilities and / or equipment present a risk to client safety • Resources are not sufficient or appropriate to deliver adequate training or assessment • Resources are not aligned to training package requirements • No strategy to review resources for sufficiency and appropriateness 	<ul style="list-style-type: none"> • VU21292 Recognise, give and follow simple and familiar oral directions • VU21449 Read and write short simple messages and forms • VU21458 Read and write simple personal communications and transactional texts • CHCCHILD401B Identify and respond to children at risk • CHCFC301A Support the development of children • CHCAC319A Provide support to people living with dementia – core for both • CHCDIS301C Work effectively with people with a disability – C – HACC & E – Aged • CHCPA301B Deliver care services using a palliative approach – C Aged • CHCICS304B Work effectively with Carers – C HACC 	
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ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:			Non-Compliant
1.4.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>		
	<p>1.4.1 Finding</p> <p>The RTO is Non-Compliant with Element 1.4.</p> <p>Trainers and Assessors do not meet the requirements determined by the National Quality Council or its successors.</p> <p>The trainer matrix for Jan Daly to demonstrate that the trainer has the relevant vocational competencies at least to the level being delivered and assessed. The trainer does not hold the Certificate III in Home and Community Care and there was no evidence of vocational experience against this qualification. No strategies to maintain vocational currency were identified for this trainer.</p> <p>Cala Posenjak and Farhana Ahmed do not hold the TAE40110 and there was no evidence of demonstrated equivalence or direct supervision.</p> <p>Carla's file did not contain a signed position description or Strategies to develop of VET knowledge & skills. Farhana's file did not contain a signed position description or Professional Development Strategies.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Staff Induction Policy V3.1 January 2014 • LCEC Student Conduct Policy V2.1 Sept 2013 • LCEC Student Management System Policy V1.1 April 2014 • LCEC Student Selection and Enrolment policy V3.2 • LCEC Information Technology Policy V4.1 July 2013 • LCEC Learning, Delivery and Assessment Policy V2.1 August 2013 • LCEC Supervision of Trainers Policy V1.1 Sept 2013 • LCEC People with Disabilities Policy V5.1 Oct 2013 • LCEC Performance Appraisal Policy V3.1 Aug 2013 • LCEC Plagiarism Policy V1.1 May 2014 • LCEC Qualification Issuance Policy V4.0 March 2014 • LCEC Quality Management Policy V1.0 Feb 2014 	<p>Actions:</p> <p>The RTO must ensure that Trainer/assessor files demonstrated that they meet the NSSC requirements. In particular:</p> <ul style="list-style-type: none"> • Evidence of trainer and vocational qualifications that are complete and verified • Current professional development strategies that meet all three areas specified by the NSSC • Evidence of industry experience for trainers / assessors.

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<p>No trainer files contained signed position descriptions. Judith McBean's file contain Professional Development records from 2011.</p>	<ul style="list-style-type: none"> • LCEC Recognition of Prior Learning Policy V2.1 July 2013 • Staff Handbook <p>Trainer Files</p> <ul style="list-style-type: none"> • Cala Posenjak • Jan Daly • Judith MacBean • Margaret Pascall • Farhana Ahmed 	
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ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):			Non-Compliant
a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated.			
1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with Element 1.5.</p> <p>Training and Assessment strategies described in the RTO Strategies for Certificate III in Children's Services, Certificate III in Aged Care & Certificate III in Home and Community Care are not consistent with the Master Assessments available at audit, the student and staff files audited and interview with the Trainers and VET Co-ordinator.</p> <p>The Training and Assessment Strategies for Children's Services, Aged Care and HACC do not include information about facilities and equipment. While a work placement occurs it is unclear in the strategies and Assessment documentation when this happens and how it contributes to Training and Assessment.</p> <p>The Training and Assessment Strategy for Certificate III in Aged Care & Certificate III in Home and Community Care states that First Aid is delivered by St John Ambulance, however interview and review of the trainer and student files indicated that it is a contract trainer, trading as First Choice First Aid who delivers and assesses the First Aid units.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Training and Assessment Strategy 22259VIC Course in EAL • Training and Assessment Strategy 22250VIC Certificate I in EAL (Access) • Training and Assessment Strategy 22251VIC Certificate II in EAL (Access) • Training and Assessment Strategy CHC30712 Certificate III in Children's Services • Training and Assessment Strategy CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care • Interview with Aged Care/HACC trainer • Interview with Children's Services Trainer • Interview with VET Manager • Class 9B certificate for the LCEC • Student files for Aged Care/HACC. Children's Services and EAL • Trainer Files 	<p>Actions:</p> <p>The RTO should revise their training and Assessment Strategies which support:</p> <ul style="list-style-type: none"> • Certificate III in Children's Services, • Certificate III in Aged Care & Certificate III in Home and Community Care <p>To ensure that they accurately describes the actual training and assessment strategies used.</p> <p>The RTO should include more detail regarding how they have access to the facilities and equipment needed to train and assess to the requirements of the Training Package, this also includes trainer's and assessors for specialised units such as First Aid.</p> <p>The RTO should ensure that the timing and role of the work placement in the training and assessment process is adequately described and reflects actual practice.</p>

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<p>Assessment strategies do not match with those described in the Master Assessment Tools that were available for audit and the Student Files audited. The Training and Assessment Strategies for Children's Services, Aged Care and HACC apply a 'catch all' approach to assessment strategies, identifying all assessment methods for each unit. However, the Master Assessment Tools identify specific assessment methods with supporting tools.</p>		<p>Assessment strategies identified in the Training and Assessment strategies must match those actually used by trainer/assessors.</p>
<p>1.5.2 Finding</p>	<p>Evidence/Documentation Reviewed</p>	<p>Required Rectification(s)</p>
<p>The RTO is Non-Compliant with Element 1.5.</p> <p>Assessments for the following units do not meet the principles of assessment or rules of evidence:</p> <p>Certificate III in Children's Services</p> <ul style="list-style-type: none"> • CHCFC301A Support the development of children • CHCCHILD401B Identify and respond to children at risk <p>CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care</p> <ul style="list-style-type: none"> • CHCAC319A Provide support to people living with dementia – core for both • CHCDIS301C Work effectively with people with a disability – C – HACC & E – Aged • CHCPA301B Deliver care services using a palliative approach – C Aged 	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Training and Assessment Strategy 22259VIC Course in EAL • Training and Assessment Strategy 22250VIC Certificate I in EAL (Access) • Training and Assessment Strategy 22251VIC Certificate II in EAL (Access) • Training and Assessment Strategy CHC30712 Certificate III in Children's Services • Training and Assessment Strategy CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care • Interview with Aged Care/HACC trainer • Interview with Children's Services Trainer • Interview with VET Manager <p>Assessment Tools to support the following units</p>	<p>Actions:</p> <p>The RTO should review the assessments for Certificate III in Children's Services, Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care.</p> <p>Master copies of all assessment tools and process must be in place. This includes:</p> <ul style="list-style-type: none"> • The learning or competency unit(s) to be assessed • The target group, context and conditions for the assessment • The tasks to be administered to the candidate • An outline of the evidence to be gathered from the candidate

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<ul style="list-style-type: none"> • CHCICS304B Work effectively with Carers – C HACC <p>Certificate III in Children's Services</p> <ul style="list-style-type: none"> • CHCFC301A Support the development of children • CHCCHILD401B Identify and respond to children at risk <p>The master assessment tools and processes were not available at the time of audit. Interview with the trainer stated that they were the Aspire tools on the CD, however the CD was missing from the case.</p> <p>The Assessments to support these units did not:</p> <ul style="list-style-type: none"> • Address the essential knowledge and skills of the unit, nor were they practically applied. There was no clarity around the timing of the work placement and its contribution to assessment. The Work placement log is as the name suggests and there is no clear link to this record and assessment against the unit requirements. • Include guidance for assessors about the context and timing of assessment and how to measure competence • Meet the critical requirements of assessment, including the requirement for assessment over a period of time and the Candidate to do the task. <p>One case study has been used to demonstrate an appropriate response to indicators of risk or harm. The actual case study was not available for review at audit.</p>	<p>Certificate III in Children's Services</p> <ul style="list-style-type: none"> • CHCFC301A Support the development of children • CHCCHILD401B Identify and respond to children at risk <p>CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care</p> <ul style="list-style-type: none"> • CHCAC319A Provide support to people living with dementia – core for both • CHCDIS301C Work effectively with people with a disability – C – HACC & E – Aged • CHCPA301B Deliver care services using a palliative approach – C Aged • CHCICS304B Work effectively with Carers – C HACC <p>22259VIC Course in EAL</p> <ul style="list-style-type: none"> • VU21292 Recognise, give and follow simple and familiar oral directions <p>22250VIC Certificate I in EAL (Access)</p> <ul style="list-style-type: none"> • VU21449 Read and write short simple messages and forms <p>22251VIC Certificate II in EAL (Access)</p> <ul style="list-style-type: none"> • VU21458 Read and write simple personal communications and transactional texts 	<ul style="list-style-type: none"> • The evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules) • The administration, recording and reporting requirements • The evidence of how validity and reliability have been tested and built into the design and use of the tool. <p>Assessment instruments:</p> <ul style="list-style-type: none"> • Profiles of acceptable performance measures • Templates and Performa's • Specific questions or activities • Evidence and observation checklists • Checklists for the evaluation of work samples • Recognition portfolios • Candidate self-assessment materials. <p>A guide to:</p> <ul style="list-style-type: none"> • Instructions for the candidates • Instructions for administering the assessment tool, including resources needed to conduct assessment and the context for the use of tools • Guidance for development or review of decision-making process • Guidance on reasonable adjustments • Specified variations or restrictions on the tools
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<p>The Work placement log for Children’s Services records attendance and a list of tasks – loosely mapped to units. No tasks relate to the unit CHCCHILD401B.</p> <p>Assessment processes identified in the Strategy for training and assessment do not match what was evident in the student file</p> <p>There was no evidence of the Commercially-purchased assessment materials having been validated to confirm relevance to the RTO’s delivery strategies and target students</p> <p>No mapping documents to demonstrate how assessment meets the critical unit requirements were in place.</p> <p>CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care</p> <ul style="list-style-type: none"> • CHCAC319A Provide support to people living with dementia – core for both • CHCDIS301C Work effectively with people with a disability – C – HACC & E – Aged • CHCPA301B Deliver care services using a palliative approach – C Aged • CHCICS304B Work effectively with Carers – C HACC <p>The model used for these assessments was consistent across the units audited. Each unit was supported by:</p> <ul style="list-style-type: none"> • Oral/written task 		<ul style="list-style-type: none"> • Rules for verifying assessment decisions • OHS requirements, for example, identified hazards in the assessment environment and appropriate controls and reporting mechanisms • Information on access and equity considerations. <p>The RTO should conduct regular systematic validations of assessment tools and processes and moderate assessment decisions made by assessors across their student base.</p>
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<ul style="list-style-type: none"> • Portfolio • Selected workbook activities <p>There was no indication of how these Assessment methods met the critical unit requirements. In all cases the oral/written task was a question which had been answered by the student in writing. The portfolios were usually not more than three items, in CHCAC319A the portfolio is one article. This does not constitute a portfolio,</p> <p>CHCICS304B, CHCPA301B & CHCDIS301C included a final assessment, which was not described, but would appear to have been from the Small Print Resource.</p> <p>Assessment practices for CHCICS304B on the student file do not meet the rules of reliability, sufficiency and validity. Activity 1 is blank and has been marked satisfactory. Another activity relating to Fire Safety In the home has no answer, and the assessor has written discussed in class. This does not provide sufficient evidence of the decision making process for deeming competency.</p> <p>5 strategies for working with carers were required, only 4 were given and the task was marked as satisfactory, with the comment – Very Good?</p> <p>A final assessment was require, however there is no evidence of the final assessment? An overall record sheet records the student as competent.</p>		
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<p>CHCDIS301C although the written questions address the elements, there is demonstration of how these assessment tasks address the critical knowledge and skills. No evidence of collection of evidence over time or a specific work context.</p> <p>CHCPA301B states there are 3 assessment tasks, however there are written tasks only, one of which is a Case Study which has not been completed. The case study on page 70 was not completed. The student has crossed out the lines, and the assessor has put a tick on the page? The Questions from page 90 have not been marked and Part B of the Case Study on page 132 has not been completed. The student has been deemed competent.</p> <p>In there are no mappings of assessment tasks to unit requirements. There is no assessor Guide or model answers for workbook activities and final assessments. All units state that they are most appropriately assessed in the workplace – however there is no link to the work placement or of assessment occurring.</p> <p>Instructions to the candidate are vague and unclear. There are no instructions to the assessor. The instructions need to include conditions of the assessment and any rules around achieving competency.</p>		
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Improvement Opportunities

Student files audited for the EAL programs indicate that some trainer/assessors are not following RTO Records Management procedures. The following concerns were identified:

- Trainer/assessor is not completing the box re the assessment task meeting the required curriculum;
- Student has not signed the assessment record sheet;
- Competency being ruled at the task level.
- Primary evidence of Assessment is not always on the files
- Evidence of work does not always contain the student name, date and Unit of Competency.

White out is being used on files. These records are legal documents.

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Detailed Findings - AQTF Standards

STANDARD 2

ELEMENT 2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 2.1.</p> <p>The RTO establishes the needs of clients and delivers services to meet these needs.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Learning, delivery and assessment policy • AVETMISS enrolment form with declarations • Student information • Fees, concessions and refunds policy • Payment plan agreement • LCEC Student Management System Policy • LCEC People with Disabilities Policy V5.1 Oct 2013 • ACER online LL&N assessment • Enrolment interviews for VET and EAL • Interview with Education Manager • Interview with VET Coordinator 	<p>No rectification required.</p>	

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ELEMENT 2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 2.2.</p> <p>The RTO continuously improves client services by collecting, analysing and acting upon relevant data.</p> <ul style="list-style-type: none"> No evidence that data has been collected to inform continuous improvement of client services Data on client services is collected but not analysed or acted upon 	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> LCIS Strategic Plan 2012 – 2015 Laverton Community Education Centre Business plan Risk Identification and Management policy Risk Management Plan 2014 LCIS Code of Ethics LCEC Customisation of Training Policy V1.1 November 2013 LCEC Continuous Improvement Policy V6.0 August 2013 Learning, delivery and assessment policy LCEC Customisation of Training Policy V1.1 November 2013 LCEC Cultural Diversity Policy V3.1 Sept 2013 LCEC People with Disabilities Policy V5.1 Oct 2013 Quality Improvement Register LCEC Administration and Records Management Policy V1.2 Feb 2014 LCEC Budget Development and Approval Policy V2.1 LCEC Complaints and Appeals Policy V3.1 Feb LCEC Student Management System Policy LCEC People with Disabilities Policy V5.1 Oct 2013 	<p>No rectification required.</p>	

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Improvement Opportunities
No suggested improvement opportunities relating to Element 2.2

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ELEMENT 2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.			Compliant
SF.2.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Compliant with Element 2.3.</p> <p>Before clients enrol or enter into training, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Student Management System Policy • Student Handbook • LCEC Short Course Enrolment Procedure V2.0 April 2014 • LCEC VET Course Enrolment Procedure V1.0 April 2014 • Website • LCEC Learning, delivery and assessment policy • AVETMISS enrolment form with declarations • Student information • LCEC Fees, concessions and refunds policy • Payment plan agreement • LCEC Student Management System Policy • ACER online LL&N assessment • Enrolment interviews for VET and EAL • Interview with Education Manager • Interview with VET Coordinator 	<p>No rectification required.</p>

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ELEMENT 2.6 - Learners have timely access to current and accurate records of their participation and progress.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>Element 2.6 was Compliant</p> <p>Learners have timely access to current and accurate records of the participation and progress.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Student Management System Policy • Student Handbook • Website • AVETMISS enrolment form with declarations • Student information • Interview with Education Manager • Interview with VET Coordinator 	<p>No rectification required.</p>	

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ELEMENT 2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 2.7.</p> <p>The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Complaints and Appeals Policy V3.1 Feb • LCEC Continuous Improvement Policy V6.0 August 2013 • Complaint arising from the interim course evaluations • Two students raised concerns about the First Aid Trainer • This was followed up with the trainer and confirmed that the trainer had made some inappropriate comments. A written apology has been required from the trainer to the students. • Interim Course Evaluation x 2 students Certificate III in HACC and Aged Care • Record of investigation findings • Email correspondence between Trainer Tony Mesman from First Choice First Aid and VET Co-ordinator Kathy Majstorivic 	<p>No rectification required.</p>	

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Detailed Findings - AQTF Standards

STANDARD 3

ELEMENT 3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 3.1.</p> <p>The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Student Management System Policy • Student Handbook • Website • LCEC Learning, delivery and assessment policy • AVETMISS enrolment form with declarations • Student information • LCEC Fees, concessions and refunds policy • Payment plan agreement • LCEC Student Management System Policy • LCEC Student selection and enrolment policy • ACER online LL&N assessment • Enrolment interviews for VET and EAL • Interview with Education Manager • Interview with VET Coordinator 	<p>No rectification required.</p>	

Improvement Opportunities

A range of documents and agreements/confirmation of understandings are in place. The RTO might consider combining some of these into one service agreement.

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ELEMENT 3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 3.2.</p> <p>The RTO uses a systematic and continuous improvement approach to the management of operations.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCIS Strategic Plan 2012 – 2015 • Laverton Community Education Centre Business plan • Risk Identification and Management policy • Risk Management Plan 2014 • LCIS Code of Ethics • LCEC Customisation of Training Policy V1.1 November 2013 • LCEC Continuous Improvement Policy V6.0 August 2013 • Learning, delivery and assessment policy • LCEC Customisation of Training Policy V1.1 November 2013 • LCEC Cultural Diversity Policy V3.1 Sept 2013 • LCEC People with Disabilities Policy V5.1 Oct 2013 • Quality Improvement Register • LCEC Administration and Records Management Policy V1.2 Feb 2014 • LCEC Budget Development and Approval Policy V2.1 • LCEC Complaints and Appeals Policy V3.1 Feb 	<p>No rectification required.</p>	

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Improvement Opportunities

The RTO should continue to develop their processes around the use of their Quality Management Register to ensure it reflects activities that have occurred.

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ELEMENT 3.4 - The RTO manages records to ensure their accuracy and integrity.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 3.4.</p> <p>The RTO manages records to ensure their accuracy and integrity</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCIS Strategic Plan 2012 – 2015 • Laverton Community Education Centre Business plan • Risk Identification and Management policy • Risk Management Plan 2014 • LCIS Code of Ethics • LCEC Cash Handling Procedure V2.0 April 2014 • LCEC Refund Procedure V4.1 April 2014 • LCEC Customisation of Training Policy V1.1 November 2013 • LCEC Continuous Improvement Policy V6.0 August 2013 <ul style="list-style-type: none"> • LCEC Student selection and enrolment policy • LCEC Short Course Enrolment Procedure V2.0 April 2014 • LCEC VET Course Enrolment Procedure V1.0 April 2014 • LCEC Learning, delivery and assessment policy • LCEC Customisation of Training Policy V1.1 November 2013 • LCEC Cultural Diversity Policy V3.1 Sept 2013 • LCEC People with Disabilities Policy V5.1 Oct 2013 • Quality Improvement Register 	<p>No rectification required.</p>	

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	<ul style="list-style-type: none"> • LCEC Administration and Records Management Policy V1.2 Feb 2014 • LCEC Budget Development and Approval Policy V2.1 • LCEC Complaints and Appeals Policy V3.1 Feb 	
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Improvement Opportunities

Ban liquid paper. This should not be used on student files or records of declarations.

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Detailed Findings – VRQA Guidelines for VET Providers

Non-Compliant

GUIDELINE 1.3 The provider must provide information about its management systems.

staff records management system and administration capacity, including arrangements that are in place to ensure that for each training and assessment staff member the following verified or certified and/or signed documents are held by the RTO

- trainer skills matrix – signed by trainer/assessor
- assessor qualifications – verified by RTO or otherwise certified
- vocational qualifications – verified by RTO or otherwise certified
- CV - signed by trainer/assessor
- professional development activities – verified and/or signed by trainer/assessor
- position description
- employment contract/agreement.

GF1.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Not Compliant with Guideline 1.3.</p> <p>Trainer records did not include the required:</p> <ul style="list-style-type: none"> • Signed position description • Current Professional Development records verified and/or signed by trainer/assessor • Trainer skills matrix , signed by trainer/assessor which details vocational experience at least to the level being delivered 	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Staff Induction Policy V3.1 January 2014 • LCEC Student Conduct Policy V2.1 Sept 2013 • LCEC Student Management System Policy V1.1 April 2014 • LCEC Student Selection and Enrolment policy V3.2 • LCEC Information Technology Policy V4.1 July 2013 • LCEC Learning, Delivery and Assessment Policy V2.1 August 2013 • LCEC Supervision of Trainers Policy V1.1 Sept 2013 • LCEC People with Disabilities Policy V5.1 Oct 2013 • LCEC Performance Appraisal Policy V3.1 Aug 2013 • LCEC Plagiarism Policy V1.1 May 2014 • LCEC Qualification Issuance Policy V4.0 March 2014 	<p>Actions:</p> <p>The RTO must maintain records of in line with VRQA Guideline 1.3 and include the following verified or Certified and/or signed documents:</p> <ul style="list-style-type: none"> • Position description • Trainer skills matrix – signed by trainer/assessor • Professional development activities – verified and/or signed by trainer/assessor

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	<ul style="list-style-type: none"> • LCEC Quality Management Policy V1.0 Feb 2014 • LCEC Recognition of Prior Learning Policy V2.1 July 2013 • Staff Handbook <p>Trainer Files</p> <ul style="list-style-type: none"> • Cala Posenjak • Jan Daly • Judith MacBean • Margaret Pascall • Farhana Ahmed 	
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GUIDELINE 2.1 - The provider must demonstrate that it is able to monitor course quality, externally moderate student performance and drive continuous improvement in course delivery.			Non-Compliant
2.1.2	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with Guideline 2.1.</p> <p>The RTO has limited evidence of validation records in place to monitor course quality.</p> <p>A range of records for a total of 10 units dating from 2012 – 2013 were audited. Some of these resulted from a Session with the Wyndham Community and Education Centre Inc. relating to units from Children’s Services.</p> <p>This is not a systematic approach to the quality review of the course delivery. The records stat that there was a review of written assessment and placement booklet for the units, however these was not supporting evidence.</p> <p>Actions and outcomes from the validation sessions are very brief with ticks next to a listing of the rules of evidence and principles of assessment. The main outcome was that mapping was required.</p> <p>There was no evidence of the implementation of these actions.</p> <p>The Moderation/validation register (contained in the Quality Improvement Register) lists a plan of units to be addressed for 2014. There was no evidence to support any of the items on the register in 2014. Interview with</p>	<p>Evidence reviewed during the audit:</p> <p>Assessment Tool Validation Form – instructions. This has only been completed for one of the assessment tasks.</p> <ul style="list-style-type: none"> Unit CHCAC318B Work effectively with older people <p>Required changes and up-dates – list of 7 units to be reviewed in 2012 and 2013 – Part of transition???</p> <p>Wyndham Community and Education Centre Inc - VELG Ultimate Assessment Validation Workshop – units covered</p> <ul style="list-style-type: none"> CHCPR303D Develop an understanding of children’s interests and development needs – 16/10/13 CHCCN305B Provide care for babies – 16/10/13 Assessment Tool Validation Form <p>Student files</p> <ul style="list-style-type: none"> Children’s Services Aged Care Home and Community Care EAL 	<p>Actions:</p> <p>The RTO should review their procedures to support the validation of their course delivery to ensure that the approach is systematic and applied across all qualifications.</p> <p>Records of these activities need to clearly identify the corrective action to be taken. Evidence of the implementation of these actions must also be maintained. For each item appearing on the Quality Improvement Register there must be evidence to explain the actions that have occurred.</p>

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the VET and Education Managers confirmed that this was a plan, yet to be implemented and documented		
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<p>Improvement Opportunities</p> <p>The process of reviewing files to ensure completeness of assessment evidence prior to issuance of a Certificate or Statement of attainment could be linked to the quality control process for course delivery.</p>

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GUIDELINE 2.2 - The provider must demonstrate that it has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 2.2.</p> <p>The RTO has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Plagiarism Policy V1.1 May 2014 • Student Handbook • Assessment Record Sheets contain a student and assessor declaration 	<p>No rectification required.</p>	

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GUIDELINE 2.3 - The provider must demonstrate that they can provide quality education and training to students			Non-Compliant
2.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with Guideline 2.3.</p> <p>While the Guideline requires that the RTO retains all policies, procedures and processes for a unit of competency for a minimum of 1 year post completion of the unit, including mechanisms for the retention of master resources, the RTO was not able to provide master copies of all assessment tasks to support all units of competency. Student files reviewed contained all evidence to support assessment.</p> <p>The RTO will need to ensure that they maintain a file of master copies of all assessment tasks for a minimum of 12 months from the time they cease to use these assessment tasks.</p> <p>The RTO had master copies of the assessment tools for Certificate III in Aged Care and Home and Community Care, although the evidence on the files did not always adhere to these tasks.</p> <p>There were no master files for the assessment tasks for the Certificate III in Children's Services, the CD was missing from the Aspire CD case. In addition, it was apparent that the trainer/assessor was modifying assessments and not following the assessments indicated on the assessment record sheets.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCIS Strategic Plan 2012 – 2015 • Laverton Community Education Centre Business plan • Risk Identification and Management policy • Risk Management Plan 2014 • LCIS Code of Ethics • LCEC Customisation of Training Policy V1.1 November 2013 • LCEC Continuous Improvement Policy V6.0 August 2013 • LCEC Learning, delivery and assessment policy • LCEC Cultural Diversity Policy V3.1 Sept 2013 • LCEC People with Disabilities Policy V5.1 Oct 2013 • Quality Improvement Register • LCEC Administration and Records Management Policy V1.2 Feb 2014 • LCEC Budget Development and Approval Policy V2.1 • LCEC Complaints and Appeals Policy V3.1 Feb 	<p>Actions:</p> <p>The RTO should revise their procedure to ensure that master copies to support all assessments are retained for a period of 1 year post the use of each version.</p> <p>The RTO must also ensure that they have processes in place for the retention of sufficient samples of student's assessment to demonstrate that quality education and training has occurred. This includes:</p> <ul style="list-style-type: none"> • a copy of class materials used in the delivery of the unit of competency (or cluster of competencies), during that study period, including overheads, website references, reference material and handout materials • any case study material that has been used in class for that unit <p>The RTO should also monitor the assessor's use of validated assessment tools. Further procedures on reasonable adjustment and instructions to the candidate and assessor should specify that changes to assessments must not compromise the validity of the assessment process.</p>

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<p>Master assessment tasks to support the Diploma of Children's Services (currently not being delivered) and the ESL/EAL framework were in place.</p> <p>When auditing student files it was clear that some assessment tasks had not been completed. There was no explanation why. Not all files contained evidence from the work placement and where there was evidence in place this did not appear to have any influence on the deeming of competency.</p> <p>The guideline requires that the RTO retain a copy of all assessment tasks, including tests, assignment, role plays, projects and case studies. It also requires that copies of procedures for the use of assessment tasks be retained. These were not in place for Certificate III in Children's Services and were not comprehensive enough for Aged Care and Home and Community Care, making it was difficult to assess validity of assessment.</p> <p>Where an Assessor makes an adjustment or leaves an assessment out. This must be supported by an explanation of why this was done and to demonstrate that this has not impacted on the validity of the assessment. There was no evidence of procedure to guide assessors and to ensure they do not decide on the assessments as they feel like it.</p> <p>Deficiencies in validation records are dealt with in Guideline 2.1 above.</p>		
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Improvement Opportunities

Administrative processes need to be put in place to monitor assessor's use of the validated assessment tools.

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GUIDELINE 4.1 - A provider must not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 4.1.</p> <p>The RTO does not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Risk Identification and Management policy • Risk Management Plan 2014 • LCIS Code of Ethics • LCIS Work its Environment (OH&S) • LCEC Customisation of Training Policy V1.1 November 2013 • LCEC Learning, delivery and assessment policy • Course Brochures • Training and Assessment Strategy 22259VIC Course in EAL • Training and Assessment Strategy 22250VIC Certificate I in EAL (Access) • Training and Assessment Strategy 22251VIC Certificate II in EAL (Access) • Training and Assessment Strategy CHC30712 Certificate III in Children's Services • Training and Assessment Strategy CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care 	<p>No rectification required.</p>	

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GUIDELINE 4.2 - A provider must not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 4.2.</p> <p>The RTO does not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Risk Identification and Management policy • Risk Management Plan 2014 • LCIS Code of Ethics • LCEC Customisation of Training Policy V1.1 November 2013 • LCIS Work its Environment (OH&S) • LCEC Learning, delivery and assessment policy • Course Brochures • Training and Assessment Strategy 22259VIC Course in EAL • Training and Assessment Strategy 22250VIC Certificate I in EAL (Access) • Training and Assessment Strategy 22251VIC Certificate II in EAL (Access) • Training and Assessment Strategy CHC30712 Certificate III in Children's Services • Training and Assessment Strategy CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care 	<p>No rectification required.</p>	

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GUIDELINE 4.4 - Providers must indicate the measures they intend to take to address matters of student safety.			Compliant
GF.4.4.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Compliant with Guideline 4.4</p> <p>Both the RTO and School policies are designed to address matters of student wellbeing and Safety.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Risk Identification and Management policy • Risk Management Plan 2014 • LCIS Code of Ethics • LCIS Work its Environment (OH&S) • LCEC Customisation of Training Policy V1.1 November 2013 • LCEC Learning, delivery and assessment policy • Course Brochures • Training and Assessment Strategy 22259VIC Course in EAL • Training and Assessment Strategy 22250VIC Certificate I in EAL (Access) • Training and Assessment Strategy 22251VIC Certificate II in EAL (Access) • Training and Assessment Strategy CHC30712 Certificate III in Children's Services • Training and Assessment Strategy CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care 	<p>No rectification required.</p>

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GUIDELINE 5.1 - The provider must demonstrate that they have the capacity to deliver and assess ALL the courses requested/on the scope of registration.		Non-Compliant	
5.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with Guideline 5.1</p> <p>Training and Assessment Strategies do not match actual practice.</p> <p>Training and Assessment strategies described in the RTO Strategies for Certificate III in Children's Services, Certificate III in Aged Care & Certificate III in Home and Community Care are not consistent with the Master Assessments available at audit, the student and staff files audited and interview with the Trainers and VET Co-ordinator.</p> <p>The Training and Assessment Strategies for Children's Services, Aged Care and HACC do not include information about facilities and equipment. While a work placement occurs it is unclear in the strategies and Assessment documentation when this happens and how it contributes to Training and Assessment.</p> <p>The Training and Assessment Strategy for Certificate III in Aged Care & Certificate III in Home and Community Care states that First Aid is delivered by St John Ambulance, however interview and review of the trainer and student files indicated that it is a contract trainer, trading as First Choice First Aid who delivers and assesses the First Aid units.</p> <p>Assessment strategies do not match with those described in the Master Assessment Tools that were</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Short Course Enrolment Procedure V2.0 April 2014 • LCEC VET Course Enrolment Procedure V1.0 April 2014 • LCEC Customisation of Training Policy V1.1 November 2013 • LCEC Learning, delivery and assessment policy • Course Brochures • Training and Assessment Strategy 22259VIC Course in EAL • Training and Assessment Strategy 22250VIC Certificate I in EAL (Access) • Training and Assessment Strategy 22251VIC Certificate II in EAL (Access) • Training and Assessment Strategy CHC30712 Certificate III in Children's Services • Training and Assessment Strategy CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care 	<p>Actions:</p> <p>The RTO should revise their training and Assessment Strategies which support:</p> <ul style="list-style-type: none"> • Certificate III in Children's Services, • Certificate III in Aged Care & Certificate III in Home and Community Care <p>To ensure that they accurately describes the actual training and assessment strategies used.</p> <p>The RTO should include more detail regarding how they have access to the facilities and equipment needed to train and assess to the requirements of the Training Package, this also includes trainer's and assessors for specialised units such as First Aid.</p> <p>The RTO should ensure that the timing and role of the work placement in the training and assessment process is adequately described and reflects actual practice.</p> <p>Assessment strategies identified in the Training and Assessment strategies must match those actually used by trainer/assessors.</p>

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<p>available for audit and the Student Files audited. The Training and Assessment Strategies for Children's Services, Aged Care and HACC apply a 'catch all' approach to assessment strategies, identifying all assessment methods for each unit. However, the Master Assessment Tools identify specific assessment methods with supporting tools.</p> <p>While agreements with appropriate workplaces for work placement are in place more work is required to demonstrate that these can provide experiences to support the delivery and assessment for the intended number of students undertaking each qualification within the Community Services training package.</p>		
GF.5.1.2 Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>Detail of second finding relating to Guideline 5.1</p> <p>The RTO does not have a procedure for assessing and ensuring that they have offers and acceptance of employment to a sufficient number of training and assessing staff to undertake delivery and assessment of the requested number of students in each qualification including a statement as to why the number of staff proposed is deemed to be sufficient.</p> <p>Trainer/assessor files do not contain verified evidence that all proposed training and assessing staff meet NQC requirements.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • LCEC Staff Induction Policy V3.1 January 2014 • LCEC Student Conduct Policy V2.1 Sept 2013 • LCEC Student Management System Policy V1.1 April 2014 • LCEC Student Selection and Enrolment policy V3.2 • LCEC Information Technology Policy V4.1 July 2013 • LCEC Learning, Delivery and Assessment Policy V2.1 August 2013 • LCEC Supervision of Trainers Policy V1.1 Sept 2013 	<p><u>Actions:</u></p> <p>The RTO should develop a procedure for assessing and ensuring that they have offers and acceptance of employment to a sufficient number of training and assessing staff to undertake delivery and assessment of the requested number of students in each qualification including a statement as to why the number of staff proposed is deemed to be sufficient.</p> <p>The RTO must ensure that Trainer/assessor files demonstrated that they meet the NSSC requirements. In particular:</p>

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	<ul style="list-style-type: none"> • LCEC People with Disabilities Policy V5.1 Oct 2013 • LCEC Performance Appraisal Policy V3.1 Aug 2013 • LCEC Plagiarism Policy V1.1 May 2014 • LCEC Qualification Issuance Policy V4.0 March 2014 • LCEC Quality Management Policy V1.0 Feb 2014 • LCEC Recognition of Prior Learning Policy V2.1 July 2013 • Staff Handbook <p>Trainer Files</p> <ul style="list-style-type: none"> • Cala Posenjak • Jan Daly • Judith MacBean • Margaret Pascall • Farhana Ahmed 	<ul style="list-style-type: none"> • Evidence of trainer and vocational qualifications that are complete and verified • Current professional development strategies that meet all three areas specified by the NSSC • Evidence of industry experience for trainers / assessors.
GF.5.1.3 Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>Detail of third finding relating to Guideline 5.1</p> <p>Assessment material <i>does not</i> include for each unit of competency(or cluster of competencies):</p> <ul style="list-style-type: none"> • Clear advice to students as to how the unit(s) will be assessed • Assessment tasks for the unit(s) that are consistent with and meet the requirements of the unit(s) of competency. a mapping of skills and 	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Training and Assessment Strategy 22259VIC Course in EAL • Training and Assessment Strategy 22250VIC Certificate I in EAL (Access) • Training and Assessment Strategy 22251VIC Certificate II in EAL (Access) • Training and Assessment Strategy CHC30712 Certificate III in Children's Services 	<p><u>Actions:</u></p> <p>The RTO should review the assessments for Certificate III in Children's Services, Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care.</p> <p>Master copies of all assessment tools and process must be in place. This includes:</p>

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<p>knowledge and critical aspects of evidence against assessment tasks</p> <ul style="list-style-type: none"> • A mapping of employability skills against assessment tasks • A clear set of assessment criteria/model answers for each assessment task • An assessment record sheet for each assessment task – <i>A range of versions. RTO currently in circulation, The RTO is moving to a standardised format for assessments.</i> They will also need to ensure that Trainer/assessors adhere to these procedures. • An overall assessment record sheet for the unit(s) of competence to show achievement of the participant against each of the specified assessment tasks, signed by both assessor and student– <i>Files indicate that the appropriate signatures are not being collected or feedback to students being recorded</i> • A documented assessment validation approach – The approach to validation is not systematic and requires further documentation –activities have been scheduled, however there was no evidence of them occurring. The validation procedure in place will require more work before being rolled out. • A rigorous process to ensure that no student can be recorded as competent without clear evidence that they have successfully completed all specified assessment requirements including 	<ul style="list-style-type: none"> • Training and Assessment Strategy CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care • Interview with Aged Care/HACC trainer • Interview with Children’s Services Trainer • Interview with VET Manager <p>Assessment Tools to support the following units</p> <p>Certificate III in Children’s Services</p> <ul style="list-style-type: none"> • CHCFC301A Support the development of children • CHCCHILD401B Identify and respond to children at risk <p>CHC30212 Certificate III in Aged Care & CHC30312 Certificate III in Home and Community Care</p> <ul style="list-style-type: none"> • CHCAC319A Provide support to people living with dementia – core for both • CHCDIS301C Work effectively with people with a disability – C – HACC & E – Aged • CHCPA301B Deliver care services using a palliative approach – C Aged • CHCICS304B Work effectively with Carers – C HACC <p>22259VIC Course in EAL</p> <ul style="list-style-type: none"> • VU21292 Recognise, give and follow simple and familiar oral directions <p>22250VIC Certificate I in EAL (Access)</p>	<ul style="list-style-type: none"> • The learning or competency unit(s) to be assessed • The target group, context and conditions for the assessment • The tasks to be administered to the candidate • an outline of the evidence to be gathered from the candidate • The evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules) • The administration, recording and reporting requirements • The evidence of how validity and reliability have been tested and built into the design and use of the tool. <p>Assessment instruments:</p> <ul style="list-style-type: none"> • Profiles of acceptable performance measures • Templates and proformas • Specific questions or activities • Evidence and observation checklists • Checklists for the evaluation of work samples • Recognition portfolios • Candidate self-assessment materials. <p>A guide to:</p> <ul style="list-style-type: none"> • Instructions for the candidates • Instructions for administering the assessment tool, including resources needed to conduct
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<p>ensuring that assessment record sheets include reference to all required assessments consistent with the matrix developed in 1 above. A process is in place, however the file audit indicates that this may not be working. Students appear to have not completed essential tasks, but are still being deemed competent.</p>	<ul style="list-style-type: none"> • VU21449 Read and write short simple messages and forms <p>22251VIC Certificate II in EAL (Access)</p> <ul style="list-style-type: none"> • VU21458 Read and write simple personal communications and transactional texts 	<p>assessment and the context for the use of tools</p> <ul style="list-style-type: none"> • Guidance for development or review of decision-making process • Guidance on reasonable adjustments • Specified variations or restrictions on the tools • Rules for verifying assessment decisions • OHS requirements, for example, identified hazards in the assessment environment and appropriate controls and reporting mechanisms • Information on access and equity considerations. <p>The RTO should conduct regular systematic validations of assessment tools and processes and moderate assessment decisions made by assessors across their student base.</p>
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Improvement Opportunities

The RTO should pursue using a standardised format for assessments. Assessment tasks must be validated and then their use mandated. Where an assessor makes a decision to drop out an assessment task, without referring back to the unit requirements, this action results in an invalid assessment.

An administrative process of checking evidence prior to the issuance of a certificate or statement of attainment should identify this practice and help to rectify invalid assessments

Files indicate that the appropriate signatures are not being collected or feedback to students being recorded This will need to be discussed with Trainers and monitored by administration. This is also a potential risk for compliance with funding requirements